Participatory Design Processes: Building an Evaluation Framework

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Declaration

‘This thesis is the result of the author’s original research. It has been composed by the author and has not been previously submitted for examination which has led to the award of a degree.’

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Ainslie Kennedy

Signed:

Date: 29th March 2021

Abstract

The main aim of this thesis is the development, testing and application of a method for the assessment of participatory projects of urban planning and development. Extending greater opportunities for formal citizen involvement has been a mainstay of service and spatial planning policy in Scotland. However, the monitoring and evaluation [M&E] of a participatory endeavour [PE] is often neglected, which drives a wedge between narratives and actual experiences on the ground. Evaluation is important from several perspectives i.e., from PE sponsors to participants, as it endeavours to better understand whether participatory approaches are superior to other ways of working. This doctoral research addresses the lack of assessment and helps bridge the gap between participation claims and evidence by offering a Five Phase Sequence guiding evaluation of participation.

I first asked why the Scottish Government supported a particular method for facilitating citizen and stakeholder participation i.e., the 'charrette'. Then, I endeavoured to understand how this method had been implemented across Scotland. Finally, I asked what the process and outcome features can reveal about the effectiveness of such participatory initiatives. Answers to these questions are needed for two reasons. First, reflecting on programme implementation will benefit policy makers, commissioners and practitioners in the design and delivery of PEs as I offer a set of procedural recommendations. Second, I present a critique on the way formal citizen participation is currently conceptualised, implemented and passively revered as doing good. Broader literature is accepting there is no panacea for perfect participation; my study helps researchers interested in unearthing conditioning factors that either inhibit and/or support PEs as they play out in their specific contexts. A pause in the pursuit for better participation is needed; otherwise, theory and practice may endlessly centre on better processes to engage citizens in urban development projects to no avail. More practically, time, money and energy will be spent on procedural innovations that continue to fall short -due to unknown conditioning factors- of the anticipated outcomes.

My study is framed by three core stages and uses a sequential, qualitative multi-method case study methodology to deliver a) an extensive in-breadth overview of Scotland's Charrette Mainstreaming Programme [CMP], Activating Ideas [AI] and Making Places [MP] initiative, and b) an intensive, in-depth analysis of two charrette cases. Relying on evaluation theory, critical

realism is the paradigmatic framework and an approach inspired by Realistic Evaluation [RE] was used, in the latter stage, to identify conditioning factors that contributed to the charrette cases' effects. To analyse *effectiveness* of two charrette cases I conducted an outside, summative evaluation using six process and three outcome criteria (derived primarily from theory) to assess case quality through Client Team [CT], Design Team [DT] and participant perspectives. The Five Phase Sequence developed and tested for charrette evaluation is my main contribution.

Findings first show the charrette mechanism has morphed into a more generic community engagement tool since its initial introduction through the 2010 Charrette Series. A national interest in community empowerment has significantly impacted who commissions a charrette-styled project and how it is used. Second, this study shows inherent tensions between national policy advocating more engagement and reaching idealised widespread, inclusive participation through a macro and micro focus of empirical practice. However, this study also shows several gains, which indicates a less an ideal participatory process is not a doomed pursuit.

Thesis Structure

This thesis is oriented around three stages: Stage One, Two and Three. Before getting to those, I first set the scene in Chapter One by discussing the relevant history and UK policy context framing public participation in architectural, planning and place-making processes. In Chapter Two, I provide a short personal history but more broadly explore what it means to do research in architecture. Research in architecture is newer than other fields, therefore building an understanding first and foremost of doctoral qualities and situating this thesis in its wider 'research' context was an important starting point. This exploration will serve others coming to research from a discipline with roots outside basic or applied science. Having gained traction on research methodologies, I turn inward to recount the steps taken over the course of this doctoral project in Chapter Three. Here, research questions and methods or 'tactics' used in this study are shared.

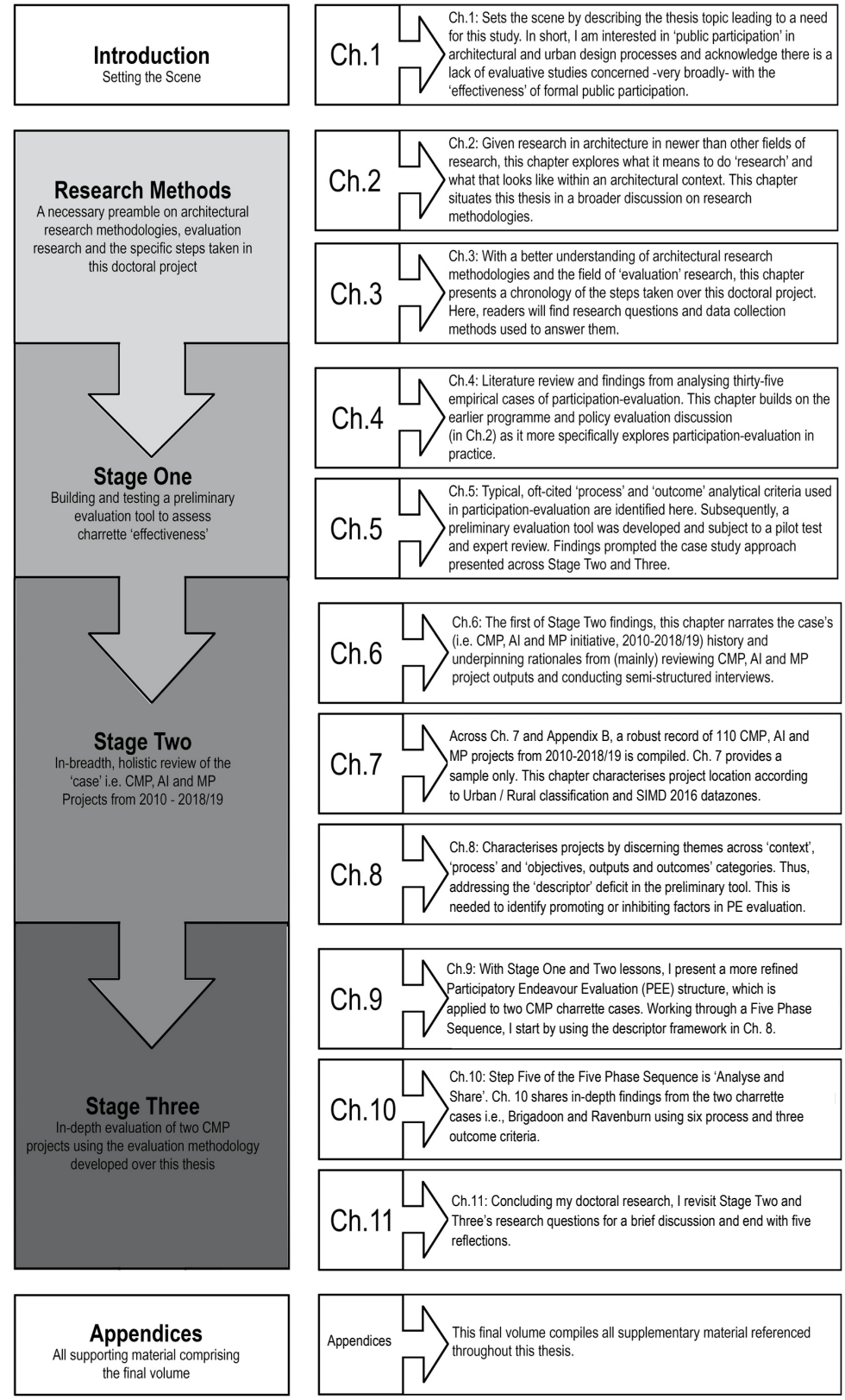
Following chapters one to three, I introduce Stage One in Chapter Four that endeavoured to build a tool for charrette evaluation in Scotland. Taking a step down from more abstract discussions in Chapter Two, I present a short literature review and content analysis of thirty-five examples of participation-evaluation. The purpose was to deconstruct the PE evaluated (i.e., the evaluand) alongside methods and criteria selected. Findings from this exploration led to my preliminary evaluation tool, which focussed on 'analytical' variables. The preliminary framework was put through a test: a pilot test and expert review is presented in Chapter Five.

With lessons from the pilot test and expert review, I set out to get closer to the Scottish charrette acknowledging a lack of context in the preliminary tool. Chapter Six and Seven assess the 'case' identifying 110 charrette-style projects with national government support. Alongside Appendix B, these chapters provide a robust record of the CMP, AI and MP initiative. Chapter Six explores the history of these initiatives and the rationales driving formal participatory activities.

Having introduced and detailed the 'case', I move on to characterise CMP, AI and MP projects in Chapter Eight; thus, concluding Stage Two. The purpose is to build a case characterisation tool responding to lessons learned from the pilot test and expert review of Chapter Five. Chapter Nine kickstarts Stage Three: the case characterisation tool becomes the first step in a Five Phase Sequence to evaluate two charrette cases from the overall 'case' i.e., two CMP

projects commissioned in 2016-2017. Chapter Ten shares findings from a summative, outside evaluation using six theory derived process and three outcome criteria. Rounding off Stage Three and this thesis, Chapter Eleven provides a discussion and reflections on key findings combed from the entire doctoral journey. Following the Bibliography readers can find appendices housing all supplementary material.

Thesis Stages and Flow Diagram



Chapter Diagram i Stages and chapter flow diagram

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Abbreviations

CT	Client Team
DT	Design Team
PE	Participatory Endeavour
M&E	Monitoring and Evaluation
LDP	Local Development Plan
LOIP	Local Outcome Improvement Plan
LP	Locality Plan
NP	Neighbourhood Planning / Plans
LPP	Local Place Plan
TC	Town Centre Regeneration
CPP	Community Planning Partnerships
SNP	Scottish National Party
EbD	Enquiry by Design
SSCI	Scottish Sustainable Communities Initiative
DPZ	Duany Plater-Zyberk & Co
SNH	Scottish National Heritage
PAD	Planning and Architecture Division
EU	European Union
UK	United Kingdom
UN	United Nations
USA	United States of America
AI	Activating Ideas
CMP	Charrette Mainstreaming Programme
MP	Making Places
ICF	Investing in Communities Fund
A&DS	Architecture and Design Scotland
SIMD	Scottish Index of Multiple Deprivation
LLTNPA	Loch Lomond and the Trossachs National Park Authority
SNA	Stakeholder Network Analysis
NCI	National Charrette Institute
RIBA	Royal Institute of British Architects
R/UDAT	Regional Urban Design Assistant Teams
CC	Calls for Collaboration
CRS	Caudill Rowlett Scott
NDPB	Non-Departmental Public Body
NGO	Non-Governmental Organisation

EPG	Empowered Participatory Governance
RE	Realistic Evaluation
TOC	Theories of Change
NRS	National Records of Scotland
ARC	Architects' Revolutionary Council
NAM	New Architecture Movement
CDC	Community Design Centre
TAC	Technical Aid Centre
TIP	Tenement Improvement Project
PB	Participatory Budgeting
SBR	Science Based Research
APRS	Association for the Protection of Rural Scotland
QGIS	Quantum Geographic Information System
OECD	Organisation for Economic Cooperation and Development

Disclaimer

Chapter Three explains interviewee groups identified for this study. As part of Stage Two, public sector officials with CMP, AI and MP initiative management experience are one of several groups. Individuals from this group were either employed or formerly employed by the Scottish Government and worked directly or indirectly on the CMP, AI and MP initiative. Interviewees asserted responses were their own personal opinions. That is, comments do not constitute a formal Scottish Government stance on issues discussed, but conveyed their personal thoughts, experiences and perspectives only.

As per course regulations for postgraduate awards at the University of Strathclyde, this thesis does not include appendices or annotations toward the final word count. For clarity, please know 'annotations' in the context of this work is understood to include standalone block quotes (i.e., those often over 40 words), footnotes, captions and text presented as part of figures and tables.

As per a verbal request, readers should understand any reference to a Planning Aid for Scotland [PAS] delivered charrette is a reference to their unique Charrette*plus*® model ("PAS," n.d.). I have opted not to use the term 'Charrette*plus*®' when a) protecting participant identify and b) when quoting verbatim from publicly available outputs e.g., when PAS has used 'charrette' instead of 'Charrette*plus*®' in their authored outputs.

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Chapter One: An Introduction

in architecture new ideas are at least 50 years old. (De Carlo, 2005, p 3)

Perhaps a well-timed thesis given statutory requirements for public participation in planning legislation recently celebrated their 50th birthday. Town and Planning Country Act in 1968 formally embedded the concept of public participation with statutory requirements outlining its role in development planning. Four years prior, a Planning Advisory Group provided recommendations on 'how to avoid dissatisfaction with planning decisions' (Inch et al., 2019, p. 739) noting a growing discontent of public institutions (Skeffington Committee, 2013). Planning was the first, or one of the first depending on the source, policy arena to evidence this participatory shift (Brownill & Inch, 2019; Richardson & Connelly, 2005). Meaning, Britain was arguably one of the forerunners in this new planning direction.

In 1969 the now historically significant report 'People and Planning', led by the Skeffington Committee, was tasked with considering how publicity and participation could be applied in practice (Brownill & Inch, 2019; Huxley, 2013; Inch et al., 2019; Parker & Street, 2018). Participation[1] was defined as 'sharing in the formulation of policies and proposals' and acknowledged a view of community must extend beyond organised groups (Skeffington Committee, 2013). However, plan authorship was firmly reserved for the local planning authority (Huxley, 2013). Nevertheless, the report recognised an egalitarian, normative right of citizens to influence the community they live in and the substantive benefit this brings:

> Planning is a prime example of the need for this participation, for it affects everyone. People should be able to say what kind of community they want and how it should develop: and should be able to do so in a way that is positive and first-hand. It matters to us all that we should know that we can influence the shape of our community. (Skeffington Committee, 2013, p. 3 [Section 8])
>
> As well as giving the individual the chance of saying how his town or village should develop, participation also offers him the opportunity of serving the community and thereby becoming involved in its life, contributing to its well-being and enriching its relationships. Nor are the benefits just to the individual; many groups attract people

[1] Participation is often used alongside other terms that have come into circulation: consultation, involvement, engagement, collaboration and empowerment. Bishop (2015) notes there is little agreement on clear distinctions, but these terms can indicate different levels of involvement. Whilst I have used 'participation', 'involvement' and 'engagement' interchangeably the latter terms (collaboration and empowerment) denote partnership working and/or some form of power transfer. Consultation, here, has been used to indicate instances of one-way communication.

> whose local knowledge and skill often produce new and valuable ideas. (Skeffington Committee, 2013, p. 3 [Section 9])

Policy change and the report were set against a 1960s backdrop of mounting social dissonance and grass-root activism, which was evident not only in Britain but across the Atlantic. The now-famed Arnstein (1969) 'ladder' depicting eight participation rungs from tokenism to control, is arguably America's seminal contribution (see Gaber (2019) for a review). Although much was happening around this time, the Skeffington Report has been criticised for reflecting little of the context in which it was conceived and presenting state-initiated participation as a remedial course of action. It arguably foregrounds a white, middle-class aesthetic through a pre-determined bureaucratic framework in which individuals' contributions would be invited, judged and possibly incorporated (Brownill & Inch, 2019; Huxley, 2013; Inch et al., 2019). Authors suggest this is most evident in the report's illustrations of polite protestors calling, for example, for royal theatre over a bingo hall. It is this point in history that demarcates a policy shift firmly promoting formal, state-initiated participation.

1.1 A Participatory Turn

A palpable demand from a peripheral set of actors calling for alternative housing production systems and city planning was evidenced through the actions of planning and architecture scholars (intellectuals, academics); self-organised community groups opposing the mainstream, paternalistic bulldozer approach (grass-root activism); and changes in professional services to aid the disenfranchised (community design centres [CDC], technical aid centres [TAC]). Slum clearance had become the mainstream fight against 'unimaginably, primevally awful' housing conditions in Britain's major cities (Hall, 2002, p. 243). Understandably, a target had been put on the back of desolate housing scenes from the late nineteenth century.

The Industrial Revolution had seen urbanisation on an unprecedented scale; London, arguably becoming the 'greatest city in Europe and even the world' (Hall, 2002, p 32), mushrooming from 900,000 to 4.5 million inhabitants at the start of the nineteenth century (Fishman, 1982). The 'giant city' and its 'festering slums' had become a global problem (Hall, 2002, p. 46; Walters, 2007, p. 21). Violence, squalor and premature death were all very real problems for the inner-city poor, which stirred social disharmony threatening state

destabilisation. A mired, bleak urban existence catalysed modernist architects and planners that began characterising cities as an 'uncontrolled, malignant growth that was poisoning the modern world' (Fishman, 1982, p 12). Primed with the motivation to deliver a better alternative, trust was placed on the expert, rational planner.

Out of the cesspit, utopia was imagined (Awan, 2011). The likes of Patrick Geddes, Ebenezer Howard, Le Corbusier and Frank Lloyd Wright postulated alternative, blueprint plans of a cleaner, healthier way of life. These 'fixed end-state plans' grew from a tabula rasa and did not accommodate broader stakeholder and citizen input (Lane, 2005). The modernists and their comprehensive model poorly accommodated difference and maintained a 'single public interest' existed, which rendered citizen involvement needless (Grant, 2006, p 164; Lane, 2005; Richardson & Connelly, 2005). Further, it implicitly sanctioned expert-led planning outputs, which 'tends to de-legitimise and stigmatise objections to planning proposals as parochial' (Lane, 2005, p 290). Therefore, with a clear vision, resting on *public interest*, slum clearance became mainstream and decentralisation was the goal (Towers, 2003); in Glasgow for example, the 1945 plan postulated by Robert Bruce, who was inspired by American movements and modernists, condemned great swaths of the city (Gillick, 2018; Haywood, 2016; Slaven, 2013).

Across the globe, tower block complexes peppered landscapes winning awards; for example Pruitt Igoe was celebrated as a 'precedent-breaking' arrival but its televised demise eighteen years later ostensibly demarcated the end of modernist architecture that had been vehemently critiqued (Bristol, 1991; Rainwater, 1967, p. 116). Recognising good intentions, Jane Jacobs denounced the planner, suggesting professional education had rendered 'experts' to abandon everything innately and intuitively known about good cities:

> This is the most amazing event in the whole story tale: that finally people who sincerely wanted to strengthen great cities should adopt recipes frankly devised for undermining their economies and killing them. (Jacobs, 1961, p 21)

Therefore, as one ill was seemingly rid another was conceived (Walters, 2007). Prioritising the technical, the design and the physical was a flawed approach. It restricted architects and planners from seeing the social constructs binding communities that characterised them as 'anything but a slum' (Taylor, 1999, p. 41). Looking to external sources for a new direction, a social constructivist epistemology gained traction within architecture and planning (Awan, 2011; Jenkins et al., 2010; Walters, 2007). Professionalism was being challenged more

broadly too as Illich dubbed 'the mid-twentieth century The Age of Disabling Profession; an age when people had "problems", experts had "solutions" and scientists measured imponderables as "abilities" and "needs"' (Illich, 1977, p. 10; Parker & Street, 2018, Ch. 2). More specifically within architecture, the formal regulatory body -the Royal Institute of British Architects [RIBA]- was under attack from younger, oppositional organisations (e.g., Architects' Revolutionary Council [ARC] and New Architecture Movement [NAM]) that deplored the profession's seemingly narrow remit, which excluded 'large parts of the population' i.e., the marginalised and disenfranchised (Awan, 2011, p 43).

Therefore, faith in the profession's typical operations and the perception of architect or planner as *expert* waned. Increasingly, more focus on community and the everyday took precedence, at least for some. Architecture had become, 'too important to be left to architects' (De Carlo, 2005, p. 13). Instead, what separated 'builders and users' had to be dissolved to become 'two different parts of the same planning process' (Ibid., 2005, p. 13). The user or citizen was increasingly recognised as the expert from which architects should learn. Instead of a critical outsider, the architect needed a new vantage point, this time from within (Till, 2005). New radical thinking around autonomous, self-governing cities -that arguably acted as the ideological bedrock for other planning directions (see Hall, 2002, Ch. 8)- scrutinised more closely the 'role of community in the built environment development process' (Jenkins et al., 2010, p. 24), concluding people were experts of their own situation and the city should be 'built by its own inhabitants' (Hall, 2002, p. 290; Wates & Knevitt, 2013). Architects like John Turner, John Habraken, Nabeel Hamdi, Walter Segal, Giancarlo de Carlo, Henry Sanoff, Lucien Kroll and Christopher Alexander were some of the important figures, or 'Radical architects', within this reorientation towards a more participatory practice (Luck, 2018a, p 142).

Examples of housing development projects that 'engage[d] as closely as possible with the people who would ultimately occupy the settlement' became more common (Thwaites et al., 2007, p. 73). For Alexander however, the production phases do not represent distinct entry points in which to collect user input. Rather the act of making is inexorably tied to the 'interior of a person' or 'interior of a people'; there is no disconnect (Alexander et al., 2012, p. 65). Participation was not thought to stop with *process* but more holistically conceptualised within a self-governing imaginary bestowing financial and managerial control (Awan, 2011; Hall, 2002). The infrastructure at a local level supports *informal*, ever-present participation of inhabitants in the modification of their everyday environments (Porta et al., 2018). Writing on the global

South, Galuszka (2019, p. 155) similarly frames 'co-productive governance' as a longer-term, flexible model working both inside and outside bureaucratic frameworks; thus, contrasting with the shorter-lived consultative spaces within regulatory frameworks that have become typical in the global North.

The self-build era gained traction in the 1960s, as users, or dwellers, were offered an alternative to the products of mass housing production and invited into the design and construction of their homes and communities (Albayrak de Brito Colaço & Mennan, 2021; De Castro Mazarro, 2015; Hilmer, 2020; Holland, 2018). These processes reconfigured the architect's role to one of facilitator and enabler as professionals were typically anchored by a social commitment to serve the urban poor. From the United Kingdom [UK] to transnational organisations, these perceivably unconventional approaches to housing production were given a degree of support with case studies peppering the global South and North (Holland, 2018). Developments within planning theory accompanied these practice innovations as 'advocacy planning' responded to the Civil Rights movement in America and the ostensibly frenzied, 'national nervous breakdown' in Britain as everyone rallied to save something (Hall, 2002, p. 288).

There was a spread of education programmes endeavouring to build individuals' and communities' capacity to engage in planning issues (Inch et al., 2019, see p. 743). For example, a goal of 'transactive planning' was to 'decentralise planning institutions by empowering people to direct and control social processes which determine their welfare' (Lane, 2005, p 293); ultimately recasting civil-society relationships. Additionally, there was a growing interest in new tools as a means for opening-up design processes (Awan, 2011), and a 1962 UK conference 'laid the origins of The Design Research Society' that signalled the 'beginning of the participatory design in architecture' (Albayrak de Brito Colaço & Mennan, 2021, p 86).

The CDCs in the United States of America [USA] and TACs in the UK was a practical application of advocacy planning as professionals represented those in a fight against top-down decision-making (Jenkins et al., 2010). Unlike mainstream practice, architects -often, young and inexperienced- used their professional services to work with disenfranchised communities (Awan, 2011; Luck, 2018a). A Scottish example includes Raymond Young's Tenement Improvement Project [TIP] born from his student days at the University of

Strathclyde. The TIP realised the 'single greatest cause for environmental decay' lay with a flawed 'ownership and management system' that needed reconfiguring (Robertson, 1989, p 69). With the advent of a 'community-based housing association movement', Glasgow became an exemplar city in urban regeneration based on a suite of new organisations, reoriented professional services and voluntary participation of residents (Robertson, 1989, p 67). Constituted as ASSIST in 1972, this community-based architectural firm is one of the few TACs that made it out of the 1980s.

Other notable changes to the architectural design process could be discerned through the case of Byker Wall. The local planning authority halted demolition plans, instead listened to residents, and appointed a Swedish[2] architect known for his people-centred approach. Living on-site and establishing an architect's office, Ralph Erskine had an open-door policy, a community liaison committee and an overall commitment to reflecting needs of the *user client* in housing re-design. Although receiving a Grade two listing in 2007 -partly for its innovative public participation methodology- the project has been met by mixed commentary (Boughton, 2018; Hall, 2002; Towers, 2003; Wates & Knevitt, 2013).

Collectively these examples fall (very loosely) or at least parallel with the now retired, all-encompassing banner of Community Architecture. The purpose is not to glaze over terminology nuance, which is a thorn in many authors' side (see Bailey, 2010; Bailey & Pill, 2015; Bishop, 2015; Galuszka, 2019; Tippett & How, 2020; Toker, 2007; Watson, 2014), but make visible a connected shift amidst the burgeoning concept of 'public participation' as theory and practice revered the integration of professional and user input (Broome, 2005; Stelzle & Noennig, 2017; Toker, 2007). Alexander's Pattern Language was one such participatory tool (see Batchelor & Lewis, 1986; Broome, 2005); although, possibly an unanticipated and misapplication of his work (Thwaites et al., 2007).

The generally shared ethos was 'environments work better if the people who live, work and play are actively involved in its creation and management' (Wates & Knevitt, 2013, p. 18). Originally on the outskirts, Community Architecture found favour, notably in commendations from the Prince of Wales and finally through the appointment of Rod Hackney as RIBA's

[2] British born Ralph Erskine lived predominantly in Sweden before relocating to Byker, Newcastle for the purposes of the project.

president in December 1986 (Towers, 2003; Wates & Knevitt, 2013). Considered a pioneer of Community Architecture, Hackney had been active in the fight against slum clearances in Macclesfield, Cheshire. However, in 1989 the RIBA's subsequent president declared the movement dead (Jenkins et al., 2010; Towers, 2003).

Yet citizen participation has fully cemented itself as a universal, ubiquitous practice spanning multiple policy sectors (Ganuza et al., 2016; Monno & Khakee, 2012). Participation has many factions, and the practices and developments described above belong to an oppositional, insurgent 'radical' form of participation that was disdainful of the comprehensive, rational, expert-led model that eschewed any need for broader participation in built environment production and management processes (Luck, 2018a). Looking toward 'Other Ways of Doing Architecture', professionals worked -and still do- with a purposefully ethical, political and ecological intent that decried a more compliant, silent architectural practice serving the mainstream (Awan, 2011).

What was observable within planning and architecture in the mid twentieth century was tethered to a much broader 'participatory turn' (Bherer et al., 2016), which remains alive and well (Arboleda, 2014; Richardson & Connelly, 2005). The same criticisms were extended to what was perceivably an ineffective liberal, representative democracy that was failing to reach its democratic ideals (Bherer et al., 2016; Watson, 2014). As society disengaged in formal politics, a political system fashioned in the 19th century was ostensibly struggling with the heterogeneity of the 21st century (Fung & Wright, 2003; Wilson, 1999). Within the development field, the shift was in reaction to the 'shortcomings of top-down development approaches' (Cooke & Kothari, 2001, p 5). In response, alternative, participatory arrangements gained traction amongst resistance camps as well as public, private and civic institutions as a means to enhance -or for the resistance camps, reconfigure- a foundering polity (Avritzer, 2017; Bherer et al., 2016; Cornwall, 2002; Ganuza et al., 2016; Swyngedouw, 2005). In the 1960s there was an emancipatory, empowerment kernel germinating an egalitarian ethos that envisioned transformative practices culminating in new state-society relations (Bherer et al., 2016; Piper & von Lieres, 2016; Polletta, 2016).

By the 1990s, there were countless participatory interventions; albeit, of a different strain. Spanning the global North and South, the concept manifested in a multiplicity of ways across a multiplicity of arenas (Ganuza et al., 2016). Appealing to both left and right governments,

doors previously closed were opened as traditionally, expert-led issues were subject to citizen scrutiny (Bherer et al., 2016; Cornwall, 2002; Newman, 2005). Participation was increasingly revered 'as the saviour from all evil' (Miessen, 2010, p 14) and the 'crux of democratic urban governance' (Lemanski, 2017, p 15). This 'third wave of democratization' is distinctly global, and its reception has been 'striking' in terms of 'sheer scope and scale' (Avritzer, 2017, p 28; Healey, 2006a; Miessen, 2010; Polletta, 2016, p 232). By the mid 1990s the World Bank and United Nations [UN] underscored participation's cruciality as a foundational prerequisite for sustainable development (Nair, 2016; Pateman, 2012; Pieterse, 2013; Richardson & Connelly, 2005). Local empowerment and decentralised decision-making were at the core of the development field (Polletta, 2016), with 'formulaic approaches to participative decision-making' being 'promoted and even imposed' by international donor agencies (Hailey, 2001, p 88). New forums, new institutions, new policies, new recommendations and new funding channels speckled a formally bureaucratic landscape as it accommodated the tidal wave of citizen participation in spatial and community planning arenas.

The suite of complementary spaces held 'the promise of greater democracy and grassroots empowerment' (Swyngedouw, 2005, p 1992), as it was thought to mobilise citizens into service production and delivery; generate more socially acceptable decisions; reduce opposition; enable citizen influence; brand politicians more responsive and morally just; enhance transparency and accountability for decisions taken; improve the distribution of services and resources; address the democratic deficit by deepening democracy; build local capacity and improve civic skills; reduce the poverty gap; stunt corruption; and overcome exclusion (Bherer et al., 2016; Clifford & Tewdwr-Jones, 2013b; Damer & Hague, 1971; Fung & Wright, 2003; Lemanski, 2017; Löfgren & Agger, 2021; Monno & Khakee, 2012; Nair, 2016; Piper & von Lieres, 2016; Swyngedouw, 2005; Tippett & How, 2020; Van Wymeersch et al., 2019). The goals are countless and evidently deployed against various, sometimes incompatible, objectives. For example, an emphasis on more public participation leading to higher rungs of the ladder -i.e., partnership, delegated power and citizen control- sit uneasy with targets for efficiency and speedier decision-making (Aitken, 2010; Brownill & Inch, 2019; Clifford & Tewdwr-Jones, 2013b; Tippett & How, 2020).

With these observed failings and new potentialities, political and scholarly domains have been dominated by participatory variants discussed in terms of participatory democracy, urban governance, co-production, deliberative democracy, consensus-building, collaborative

planning, Empowered Participatory Governance [EPG], participatory planning, co-productive governance, participatory development, collaborative governance and so forth (Edwards et al., 2008; Fung & Wright, 2003; Galuszka, 2019; Healey, 2006a; Innes, 2004; Pieterse, 2013; Piper & von Lieres, 2016; Richardson & Connelly, 2005; Sanoff, 2010). Although each carry a different hallmark (e.g., see Pateman (2012) and Sanoff (2006) on the differences between participatory democracy and deliberative democracy), an important takeaway is these democratic innovations reconfiguring state-civil society relations unpacked alongside a government-to-governance transition (Monno & Khakee, 2012). This is generally, and broadly, understood as the mobilisation of private, public and civic actors in decision-making and management processes with an emphasis on collaboration and devolved state power (Coaffee & Healey, 2003; Lemanski, 2017; Swyngedouw, 2005). Perceived as the problem, national government is thought too costly and inefficient, hence, its lessened role and new hope placed in 'unregulated markets' for improved 'economic development' (Clifford & Tewdwr-Jones, 2013a, p 40; Fung & Wright, 2003; Swyngedouw, 2005).

Governments identified unsustainable, welfare-dependent communities that had to become capable, resilient and ultimately sustainable (McIntyre & McKee, 2012; Revell & Dinnie, 2020). Viewed through a 'Foucauldian concept of 'governmentality'' state power is outsourced via vertical and horizontal channels rallying a wider suite of actors to play a role in governing because complex societal problems are not best managed from the top (Barnes et al., 2007, p. 64; Newman, 2005). Hence, a similar emphasis on collaboration, partnership, inclusion and networked governance is coupled with collective and individual responsibilisation (Elwood, 2004; Miraftab, 2009; Newman, 2005; Swyngedouw, 2005). All of which strengthens the role of the 'local' (Mayo et al., 2007; McIntyre & McKee, 2012; Mohan & Stokke, 2000; Swyngedouw, 2005), whilst keeping central government 'at a distance' and marking a move toward 'government through community' (Rose, 1996, p 336). Scholars observe a 'global rescaling towards the localisation of democracy' (Lemanski, 2017, p 17) as global and local arenas are privileged in the dispersing of state power through up-scaling (i.e., to international agencies) and down-scaling (i.e., to regional, local, urban bodies) (Newman, 2005). A process termed, 'glocalisation' (Ghose, 2005; Swyngedouw, 2005). Although, it is argued this is not a 'decline in state power', rather a different configuration (Clifford & Tewdwr-Jones, 2013a, p 55).

Therefore, the participatory turn paralleled and matched well with the critique of Keynesian politics and the affirmative state, which allowed a neoliberal governance agenda to take hold (Clifford & Tewdwr-Jones, 2013a; Pieterse, 2013; Polletta, 2016). Whilst inclusive, participatory arrangements proliferated they are distinguishable from the 1960s variant; notably, new spaces have had their 'radical edge blunted' (Richardson & Connelly, 2005, p 88) and the 'emancipatory dimension has all but disappeared' (Ganuza et al., 2016, p 329; Lawson et al., 2017; Mosse, 2004). Instead, tokenistic, pseudo-participation is thought to reign (Albayrak de Brito Colaço & Mennan, 2021; Galuszka, 2019; Jenkins & Forsyth, 2010; Pateman, 1970; Polletta, 2016; Till, 2005). Its uncritical adoption across many spheres speaks to its downfall as those promoting 'socially innovative forms of governance' can be simultaneously 'pursuing a neo-liberal agenda' (Swyngedouw, 2005, p 1993; Till, 2005). Both equally demand a restructuring of state-civil society relations and a recasting of the state's role.

Even interventions badged 'innovative' have been watered-down to their least offensive iteration (Avritzer, 2017; Bherer et al., 2016; Cornwall, 2004a; Piper & von Lieres, 2016; Polletta, 2016). Galuszka (2019) makes an example of Participatory Budgeting [PB] in the global South, and Arboleda (2020) points to six manipulative practices disguised as 'participatory'. Citizens -often cast as consumers- are offered binary (less messy, more straightforward) options to select; are given a voice on trivial issues; or are perceived as data-sources only for decision-makers (Arboleda, 2020; Clifford & Tewdwr-Jones, 2013b; Galuszka, 2019; Pateman, 1970). These means are thought to suit politicians and professionals alike since a) votes lend pre-vetted options legitimacy and offload responsibility, or even blame, to citizens and b) there is little threat of destabilisation (Bailey & Pill, 2015; Miessen, 2010; Till, 2005). According to Galuszka (2019, p 149), privileging 'individualised voting' strips groups of their momentum and agency when many innovations 'by the urban poor lies in collective organisation rather than individual endeavours'.

These collective efforts materialise 'because formal channels of engagement do not exist or are not satisfactory' (Watson, 2014, p 71); thus, innovations materialise not because of institutionalised practices but in spite of them (Galuszka, 2019; also see recent research by Silvonen, 2021). Formal participatory arrangements can stunt creativity, annul criticality and impose a 'code of conduct' outlining 'how you should participate' (Lemanski, 2017; Miessen, 2010, p 47). Miessen (2010, p 54) asks, 'why is participation mostly understood as a

consensus-based, deliberately positive, and politically correct means of innocently taking part in societal structures?' Almost seen as something separate to the messy, complex reality of everyday life (Polletta, 2016).

Authorities have remained non-prescript in how citizen participation is understood and practiced (Piper & von Lieres, 2016). Its definition is extremely malleable, thus wildly popular and 'susceptible to misuse by a wide array of urban actors' (Galuszka, 2019, p 155). Genericism makes it easy for institutions to acknowledge the concept with little substantive change and for the dominant interpretation to stifle more emancipatory connotations (Pieterse, 2013; Polletta, 2016; Swyngedouw, 2005; Till, 2005). Authors observe terms 'real' and 'meaningful' have long been in play 'without consideration of what that would really entail' (Brownill & Inch, 2019, p 5); for example, the Habitat Agenda Declaration in 1996 claimed 'meaningful participation and involvement for civil society actors' are good characteristics of 'a successful urban future' (HABITAT II, 1996, p 13; Pieterse, 2013, p 63).

Whilst organic, everyday citizen involvement is considered a necessary building block for any built environment (Habraken, 1986; Rómice et al., 2020), the type of participation is not identifiable in the above quote. Another study shows one interpretation of 'meaningful participation' effectively 'ruled out equal power' (Polletta, 2016, p 236). The cost of ubiquity is ambiguity, erosion and loss of significance (Luck, 2018b; Smith & Iversen, 2018); 'meaningful participation' remains an adoptable phrase in recent literature (Mitlin, 2021; Wilson et al., 2019).

Thus, under the participative governance banner, citizen participation becomes synonymous with input and choice, not control or dissent (Monno & Khakee, 2012; Newman, 2005; Polletta, 2016; Till, 2005). Participation remains vulnerable in the wake of changing administrations; a challenge it must learn to withstand (Fernández-Martínez et al., 2020; Galuszka, 2019). So too, does the lack of guidance on emotive, 'racially charged participation' undermine practice (Beebeejaun, 2004; Inch et al., 2019, p. 746); despite urban conflict and civil unrest at its policy conception.

Therefore, with little egalitarian conviction, researchers draw attention to the 'insidious modes of inclusionary control' (Kothari, 2001, p 143), which fuels the accusation community participation better serves the state and extends their control by taming insurgents through 'sanctioned' spaces and replacing 'social movements' with a professionalised, legitimated

Non-Governmental Organisation [NGO] sector (Lemanski, 2017; Miraftab, 2009, p 34 & 41; Piper & von Lieres, 2016; Richardson & Connelly, 2005). Scholars have taken issue with the emphasis on *talk* and *discussion* within these new arrangements, and the oversimplification of *community* conceptualised as a homogenous unit free of power permutations (Avritzer, 2017; Clifford & Tewdwr-Jones, 2013a; Richardson & Connelly, 2005; Till, 2005). Watson (2014) differentiates collaborative planning practice from co-production processes based, partly, on the former's tendency for longer-term policymaking and less action. Avritzer (2017) claims the flaw with some democratic innovations is their lack of embeddedness within the political system they set to challenge. There are no guarantees deliberative outputs will even be considered given their trajectory is determined by the existing 'power-holders':

> Thus, Habermasian theory falls short of providing an alternative way of reconnecting reason and will because, regardless of the rationality of the results of public debate, it is left to power-holders to decide whether to incorporate them into policy. (Avritzer, 2017, p 17)

The societal conditions on which some new theories and practices are predicated, are often absent. Especially, in the global South. Communities subject to an 'external development logic' that are often western-centric (Galuszka, 2019, p 145; IIED, 2021, see 7:20) differ immensely -politically, historically, culturally and so forth- from the societies where the political thinking emanated (Pieterse, 2013; Watson, 2014). Set against weak democracies and little participatory experience or resource, researchers argue consensus-oriented means may inhibit rather than enable (Brownill et al., 2019; Ghose, 2005; Lemanski, 2017; Nair, 2016; Piper & von Lieres, 2016). Instead of rebalancing the scales, formal participatory interventions can become counterproductive, achieving the antithesis of greater involvement (Mitlin, 2021; Silvonen, 2021); can entrench or deepen divides as new spaces privilege the 'good', or already empowered citizen; ignore the pre-existing power relations infusing 'local knowledge' construction; impose agreement nulling disagreement; and permit old hierarchical tiers to usurp new arrangements (Brownill & Inch, 2019; Clifford & Tewdwr-Jones, 2013a, p 53; Galuszka, 2019; Inch, 2015; Lemanski, 2017; McAreavey, 2009; Mosse, 2004; Newman, 2005; Richardson & Connelly, 2005). Therefore, critics of communicative and deliberative approaches underscore its vulnerability in the shadow of seemingly insurmountable forces as the 'same old patterns of power repeat themselves' (Clifford & Tewdwr-Jones, 2013b; Newman, 2005; Till, 2005, p 20).

Those on society's outskirts may have found more opportunities for participation but these spaces could be unmasked as conventional, top-down processes offering little power transfer (Richardson & Connelly, 2005). In summary, scholars are mindful to distinguish between direct and resistant forms of participation and that which has been institutionalised and formalised by 'various political projects, with very different and far less emancipatory agendas' (Bherer et al., 2016; Brownill & Inch, 2019, p 10; Mosse, 2004; Newman, 2005; Piper & von Lieres, 2016). Whilst new configurations have strengthened the position of some, the governance framework 'has diminished the participatory status of groups associated with social-democratic or anti-privatisation strategies' (Ganuza et al., 2016; Swyngedouw, 2005, p 2003).

Returning to architecture literature, unsurprisingly, Toker (2007) has traced a fading of empowerment, social activism and advocacy terms embedded in original conceptions of 'community design'. Similarly, Till (2005) distinguishes Placatory Participation from Transformative Participation, and Arboleda (2014, p 221) points to the 'conflicting relationship between participation and governance' as the 'most contentious issue raised by participation criticism today'. The remnants from an impassioned, social activity operating outside, or on the administrative fringe, appears to have been largely appropriated by the existing polity (Brownill & Inch, 2019; Jenkins & Forsyth, 2010, see Ch. 3):

> Whilst participation has been incorporated into the language of planning and architecture, this new status has perhaps more than anything ensured its definition and role can now be described and controlled by institutional actors -that is, by those organisations which participation was meant to keep in check! As a consequence, we have participatory practice which operates through a narrow set of defined tools -charrette community design workshops, planning pilots and toolkits, place making initiatives- and produce a limited set of outputs -slick documentation and cheap public art. (Gillick & Ivett, 2018, p. 4)

Rather than challenging the political status quo, the same 'participative' terminology can be used to bolster it. This paints a rather bleak picture of citizen participation as a once tenacious, undeterred practice, fighting on behalf of the urban poor, that was quickly chained and tamed by the elite before its re-release. Participation's protagonists have no shame in admitting its pitfalls -its little impact, tendency to depoliticise and leave inequality intact- but this does not mean it is a lost cause (Ganuza et al., 2016). It is an inconsistent, deeply 'imperfect and incomplete approach' (Arboleda, 2014, p 223) that must be viewed not through a binary lens but as a living, breathing project wed to the constant dismantling and rebuilding

of societal structures. It has long been acknowledged urban life is messy and political (Forester, 2000; Healey, 1999a; Miessen, 2010; Mitlin, 2021; Till, 2005; Watson, 2014).

Forester (2000, p 914) is under no illusion power permeates, coerces and manipulates and responds with the 'whole point of 'communicative' analysis is' to 'distinguish enabling from disabling practices', which is not the same as to 'chase the tail of some abstract ideals' espoused in communicative theory. Of course, dissent and contention are needed in consensus-building; in its absence there would be no need for collaboration (Innes & Booher, 2015). Likewise, Healey (2006a, p 320) did not imagine 'a consensus that wiped out conflicts or neutralised power relations' but instead 'shared appreciation' and temporary agreement on actions. Collectively, these early proponents of collaborative approaches believe in communication power i.e., the effects of interaction and discussion that invoke learning, reflection and possible reframing of one's position (Newman, 2005). Yes, there is no guarantee deliberative outputs will travel but understandings are essentially shaped by these shared exchanges. Thus, collaboration is not always doomed to be a debilitating experience.

Even when citizen involvement is framed within a state-led programme and must work inside its parameters, participants are not necessarily in a hopeless snare. For example, Arboleda (2020) showcases how a state-initiated *housing* intervention can satisfactorily tick-the-*housing*-box and meet the community's self-identified priority for water harvesting. Although a shift in power would see participants set the agenda, the example demonstrates ingenuity that manages to tilt the scales in citizens' favour. Writing in 2019, Van Wymeersch et al. bring the discussion firmly into the 21st century as they observe 'Participatory planning is trending among policy makers all over the world'. Thus, the conversation continues.

1.2 Participation Permanently in Policy

Set against the global 'popularity of participatory democracy' (Bherer et al., 2016, p 228), the concept unsurprisingly experienced a rollercoaster ascent in British policy with Damer and Hague (1971) questioning its warm reception amidst little interrogation. Huxley (2013, p 1528 & 1532) problematises 'participation' questioning how it became 'a given ideal and aim' that is regularly administered, in varying ways, as a 'solution to certain problems'. Its rhizomic undergrowth firmly roots the concept as an 'unmitigated good', a 'good thing' that weathers few harsh critiques i.e., that threaten to uproot it entirely (Brownill & Inch, 2019; Clifford &

Tewdwr-Jones, 2013b; Conrad, Cassar, et al., 2011, p. 761; Till, 2005; Tippett & How, 2020, p. 109).

Reflecting 'Ten years after completing the first edition of *Collaborative Planning',* celebrated scholar Patsy Healey was 'surprised, pleased and also a little alarmed by its reception' (Healey, 2006a, p xi). Public sector and planning reforms since New Labour in the 1990s and the 2010 Conservative-led coalition government have embedded a participatory rhetoric (Clifford & Tewdwr-Jones, 2013b). Although, in different ways and through different lenses (Bailey & Pill, 2015). State-led empowerment and dialogic, communicative means were preferred by New Labour in the 1990s (Bailey & Pill, 2015; Mace, 2013). The communicative and/or collaborative approach (see Harris, 2002 for a discussion) endeavours to use communication power as a means of forging new, reframed understandings and agreements, as opposed to negotiations and trade-offs (Healey, 1992, 2003; Innes, 2004; Innes & Booher, 2015), which should help participants overcome self-interest in favour of the 'common good' (Mace & Tewdwr-Jones, 2019). However, its application has often been used as if it were a bolt-on addition rather than the 'intellectual perspective [with] a bundle of discursive techniques and practices that may be called into use' (Healey, 2012, p. 63).

With a change in administration (i.e. Conservative and Liberal Democrat coalition), community empowerment -a now common term cutting across multiple policies with 'little articulation of what it means or how it plays out' (Lawson & Kearns, 2010, p. 1459)- was further cemented through the Localism Act in 2011 (McKee, 2015): a move termed 'bizarre' by Francesca Sartorio, quoted in Inch et al. (2019), given participation's peppered history and widespread criticism (see Cooke & Kothari, 2001; Hickey & Mohan, 2004). Rather than a state-led approach, urban regeneration initiatives were scrapped in favour of self-help and encouraging active citizenship -at an individual level- in delivering local solutions (Bailey & Pill, 2015). Unlike New Labour relying on communicative means to generate a consensual, common-good approach, monetary incentives have helped pave the way. Thus, incentivising participation in formal plan-making and the adoption of rational, pro-development choices (Mace & Tewdwr-Jones, 2019; McKee, 2015; Parker & Street, 2018, Ch. 2; Rolfe, 2018). The Localism Act has therefore been criticised as a highly prescript form of engagement where communities are given greater responsibility to deliver state-agreeable outputs, rather than be supported in finding local, alternative realities (Parker & Street, 2018).

A similar scene in Scotland. Since the Scottish National Party's [SNP] 2007 appointment, the Community Empowerment Act 2015 has been in the making. Framed by the 2011 Christie Commission that discouraged top-down service provision, the community empowerment agenda welcomes greater community involvement, partnership working, community asset ownership and places new requirements on landowners to engage communities (Elliott et al., 2019; Revell & Dinnie, 2020). Amidst policy strengthening of community involvement, Scotland is ostensibly wading into more civically active territory following a re-energising 2014 independence referendum (O'Hagan et al., 2019).

New participatory spaces, ultimately within a governance framework, are characterised as new opportunities for communities to *gain power* in influencing, possibly managing and controlling, public services (Rolfe, 2018). Within the context of both English and Scottish planning legislation is the devolved power to author either Neighbourhood Plans [NP] or more recently in Scotland Local Place Plans [LPP]. Unlike Skeffington Report recommendations, authorship now extends beyond the local authority; however, LPPs must conform to their Local Development Plan [LDP] sibling, hence, the extent for genuine challenge is unsurprisingly questioned in these new state-created participatory spaces (Brownill & Bradley, 2017; Government, 2017; Kevin Murray Associates & Dundee, 2017; Parker et al., 2015).

Whether primarily regarded as state decentralisation for efficiency purposes or a step toward remedying the democratic deficit through *more* involvement (Clifford & Tewdwr-Jones, 2013b; Mayo et al., 2007), participation, inclusion and citizen empowerment have long been mainstays in UK policy (Barnes et al., 2007). This melting pot of co-existing yet inconsistent theories provide the contested policy milieu for public participation in the twenty-first century.

1.3 Citizen Participation and its Evaluation

Hypotheses and claims made about public participation in comparison to evidenced outputs are a 'source for bitter disappointment for those interested in progressive planning' (Beebeejaun & Vanderhoven, 2010, p. 284). It remains the right thing to do yet 'concerns about the effectiveness and equity of such processes' remains pertinent (Tippett & How, 2020, p. 109). The discussion thus far shows broader literature is not short on doubters accusing the rhetoric of nurturing a 'growing disillusionment' with its failed promises (Reed, 2008, p 2418), and as recently as 2020 authors continue to identify and trace causes of the negative effects

of participatory involvement (Fernández-Martínez et al., 2020, p. 720). Arboleda (2014, p 197) claims little has changed since contributions from Cooke and Kothari (2001) and Hickey and Mohan (2004) debated participation's worth as it is simultaneously 'still celebrated, and is still "tyrannical"'.

Amidst this uneven terrain and participation's inevitable complex reality, the pursuit for a fair, accessible, diverse collaborative design process that minimises power distortion is still, somehow, relevant (AlWaer & Cooper, 2020). I observe the topic of citizen participation in the contexts of spatial and community planning being continuously revisited in special issues of academic journals (as recently as 2021)[3] and it equally occupies governments as they further embed commitment to participation in policies. The Scottish Government, committed to strengthening community involvement, is re-exploring -or perhaps more accurately, continuing to explore- barriers to participation and fishing for new methods and their effective delivery, ostensibly to bring an end to the challenges (AlWaer & Cooper, 2020; yellow book ltd et al., 2017). It sounds like a similar task given to those on the Skeffington Committee in 1968.

Much has happened since then, of course. And, as the saying generally goes, no person ever steps in the same river twice, for it is not the same river and s/he is not the same person (Guthrie, 1962). Context is everything. Therefore, studies into 'effective' participation practices may never be irrelevant but also never likely to find a 'solution' (Brownill & Inch, 2019). Instead, research offers moments of pause shaping our collective understanding of participation in practice and its achievement of intended and unintended effects within its given physical, social, economic, cultural, and temporal setting. I suggest the outputs of this work offer just that i.e., observations to inform reflection on current guidance and policy and their future iterations in this specific context. It is a resource that, till now, has not been available. Till now, there has been little exploration in the Scottish context and little information available on how assessment and evaluations can be conducted. Thus, more informed policy revisions are thought possible, and with continued M&E application, policies and guidance can grow based on empirical findings. When I started out, Pacione (2014), Conrad, Cassar, et al. (2011), Beebeejaun and Vanderhoven (2010), MacLeod (2013), Grant (2005, 2006); Onyango

[3] See Planning Practice and Research, 2010, Volume 24, Issue 3; Journal of Civil Society, 2016, Volume 12, Issue 3; and Built Environment, 2019, Volume 45, Issue 1 & 2; Environment and Urbanization, 2021, Volume 22, Issue 2

and Hadjri (2010), Bond and Thompson-Fawcett (2007), Brand and Gaffikin (2007), Aitken (2010), Baker et al. (2007); Baker et al. (2010), Blackstock et al. (2007); Blackstock and Richards (2007), Bailey (2010); Bailey and Pill (2015), Bedford et al. (2002) and Mannarini and Talò (2013) were just some of the key literature sources identifying a lack of participation evaluation or assessment and/or reporting of participation's limitations. I set out to address this knowledge gap.

Lane (2005, p 297) suggests since Arnstein's contribution, participation literature has been 'bedevilled' by questions on how best to 'evaluate the success or effectiveness of public participation efforts', which may explain why Luck (2018a, p 153), more recently, claimed participatory design initiatives 'are seldom credited for their longer-term achievements or discussed in research impact terms'. Now, what is needed is 'careful studies probing the operation and impacts of particular initiatives' to help 'adjudicate between the champions and critics of contemporary exercises in citizen democracy' (Polletta, 2016, p 234).

More specifically, several authors underscored an evaluation deficit in Scotland assessing the merits of public participation application in a planning context (Aitken, 2010; Green, 2010; Pacione, 2013, 2014). Writing specifically about development in the contested 'urban fringe' of Scottish cities, Pacione (2014, p. 32) claims there has been 'relatively few in-depth investigations of the efficacy of public participation'. Amidst the policy context described earlier (also see Chapter Six), there was a burgeoning interest in Scotland in one particular mechanism, the *charrette*. Onyango and Hadjri (2010) and MacLeod (2013) commented directly on Scotland's earliest charrettes.

Often the etymology of the word kickstarts its introduction: translated from French, it means 'cart' or 'chariot'. Architecture students at the Ecole des Beaux Arts in the 1800s were said to know their design time was almost through when they heard the rattling of the cart that had come to collect their presentations. Ostensibly sending them into a panic of last-minute amendments, the word has since become synonymous with the idea people working frenziedly till the last possible minute (Gibson Jr & Whittington, 2010; Sanoff, 1999; Sutton & Kemp, 2006; Walters, 2007).

The charrette is ultimately a participatory mechanism that compresses the unification of professional architectural and urban design assistance alongside citizen and stakeholder involvement in an intensive, collaborative process. The earliest example of this way of working

was perhaps ‘Squatters’ in 1948, which happened quite serendipitously (Campion, 2019). The architectural firm Caudill Rowlett Scott [CRS] decided to live on-site to avoid long commutes, save money and overcome the disconnect between designer, client and the design approval committee. As the design came to a close, the firm had ‘unanimous and enthusiastic board approval for the project’ and had learned involving users in the planning process was a key ingredient for its endorsement (Campion, 2019, Ch. 2). Thus, ‘Squatters’ became a staple.

Charrettes are styled and delivered differently given their different purposes e.g., a design charrette, a research charrette, an educational charrette and so forth (Gibson Jr & Whittington, 2010; Sanoff, 1999). However, common traits include their intensive, compressed format and three distinct phases moving from idea generation and/or brainstorming to decision-making and/or brain-raising, and finally preferred, consensual proposals emerging from shared reasoning (Forester et al., 2013; Innes & Booher, 1999b; Lennertz & Lutzenhiser, 2017; Sanoff, 1999). Consensus is not discussed in terms of trade-offs, bargaining and negotiation. Rather, positions are reformulated meaning what one once sought changed as a result of the collaborative experience (Sanoff, 1999).

It falls under the dialogic, interactive umbrella of participatory techniques compared to, for example, other more passive, in-breadth consultative tools. It requires hands-on, *in-the-room* engagement from a deliberately diverse group of stakeholders, citizens and professionals. Although it may be fair to conceptualise the charrette as a product, an off-the-shelf technique, it is also claimed, ‘The ideal of ‘communicative planning’ [is] embodied in the charrette format’ (Sanoff, 1999; Walters, 2007, p. 29). Forester et al. (2013, p. 271) conclude *design* charrettes ‘can be effective tools for creatively harnessing participatory, communicative action on urban design issues in contested political settings’. A contested public setting can be a key ingredient: a clear objective and sense of community urgency can invoke a more collaborative process with tenets of participatory democracy at its helm (Sanoff, 1999; Walters, 2007).

An early predecessor, subsequent to Squatters however, worked deliberately in communities with ‘some very serious problems’ (Batchelor & Lewis, 1986, p. 4). The very first Regional Urban Design Assistant Teams [R/UDAT] happened in 1967. Engineer, Mr Bell of Rapid City in South Dakota, USA, asked at a meeting with the then Director of Urban Programmes at the American Institute of Architects if there was anything ‘you architects’ could do to help with Rapid City’s problems. Following a formal request for assistance two architects and two

planners visited the city for three days equipped with some background research. Various informal meetings were had with stakeholders and citizens, which generated a holistic picture of community issues. Following verbal recommendations at the end of their three days, the team packaged these into a written report, which was handed over to Rapid City (exactly to who is unclear) approximately two weeks later. Re-visits normally followed. All for $900 USD[4] (Batchelor & Lewis, 1986).

The effects were unexpected: it subsequently mobilised actors, coordinated action through a newly established planning commission, forged new deliberative channels between citizen and state and spawned policy change. Thus, initiating countless more R/UDAT's (at community invitation only) across America. At the heyday of modernist critiques, architects found themselves not creating community designs but engaged effectively in dialogue and social research in which drawing became a communicative tool:

> Their drawings were not hardline and prescriptive design imposed "from above" but were tentative, exploratory sensitive and uncertain, as though searching to uncover meanings. Instead of inserting hard new buildings into old streets, or replacing entire city blocks, they found themselves treating urban communities like pieces of old and treasured quilts, picking up threads of meaning and value, patching and stitching. (Batchelor & Lewis, 1986, p. 13)

Process was equal to product; an interdisciplinary team and citizen involvement were key ingredients (Sanoff, 1999). R/UDATs did not shy from the era in which they were born and engaged in 'highly contentious issues in more complex cities' (Batchelor & Lewis, 1986, p. 9; Campion, 2019). More recently, this model has been repackaged part of the New Urbanism design movement. It resembles process and format (to that described) and (depending on the source) is somewhat sympathetic with post-modernists' stance on a pluralist society (Beauregard, 2002; Walters, 2007). Branded as anti-sprawl, anti-modernist and dependent on 'participatory involvement from stakeholders in the development process' (Beauregard, 2002; Grant, 2005, p. 183), the mechanism and attitude behind its implementation appear to echo some lost qualities of impassioned, mid-twentieth century public participation.

However, following Scotland's introduction to the New Urbanism design movement and trademarked charrette approach in 2010, 'non-trivial questions about the democratic credentials of the charrette' were raised (MacLeod, 2013, p. 2199; Onyango & Hadjri, 2010).

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[4] This would approximately be the equivalent of $6,675 USD in 2020

Others too question the model's democratic commitment and embodiment of typical participatory tenets (Bond & Thompson-Fawcett, 2007). Describing New Urbanism as an alternative branch of community design, it is less concerned with original aims of empowering individuals and communities, and more interested in collecting opinion on physical design (Bond & Thompson-Fawcett, 2007; Jenkins & Forsyth, 2010, Ch.3). The movement's frontman, Andres Duany, also purports a 'democratic' process can threaten good design outputs; therefore, professional values are upheld and taught, signalling a modernist comprehension of the planner as expert (Grant, 2005, 2006).

Nonetheless impressed, the Scottish Government began to fund a CMP, which later included an AI and MP fund that made grants available to enable charrette or charrette-type activities. Only this time, with 'local' built environment professionals. I started here: questioning the legacy of the initial three charrettes as a gateway to explore the current practices, motivations and experiences of state-endorsed but supposedly 'community-led' participatory design projects. For clarity, I selected the charrette (one of many participatory mechanisms) because it offered a timely lens from which to explore my broader interest in participatory design. The charrette trend in Scotland is an opening, a window into the evolving and ever-travelling theory and practice of community and stakeholder participation. This window allowed me to observe current practices and attitudes under the umbrella of participatory design in the context of spatial and community planning in Scotland. This thesis is focussed on participatory practices, which is not the same as an in-depth study into the 'charrette' mechanism as delivered by New Urbanism.

With reference to Bond and Thompson-Fawcett (2007, p. 468), the quest began with wanting to better understand how 'effective' the Scottish charrette was as a 'means of enabling community participation in planning'. Where did it sit in terms of participation or empowerment? What motivated the Scottish Government to facilitate more? Why did agencies want to deliver a charrette? What was the purpose of rolling out greater public involvement? How inclusive and who attended charrettes? How much influence do participants have on outputs? How much influence do outputs have beyond the charrette? What inequalities are evident in the interactions and implementation of outputs? How do citizens and stakeholders experience charrettes? Do they gain anything?

Like the messiness of participation itself, these questions oscillated back and forth. However, not atypical for a qualitative approach (see Chapter Two and Three) the research question, into the *effectiveness of the charrette*, evolved and narrowed through early rounds of data collection. The participation-evaluation deficit identified in literature was further cemented by Pilot Interviews in January 2017 (see Chapter Five) that reiterated little formal M&E really took place in the charrette context. A need for this study was once again evident. The first Scottish Government published 'evaluation' of charrettes -through a subset of projects- was not available until 2019 (Scottish Government), which followed my early exploration (Kennedy, 2017).

Whilst detailed fully in the next two chapters, my first -intentionally broad- research question was: how effective is the Scottish charrette as a means to deliver inclusive, participatory projects in community and/or spatial planning? This initial research question guided my early exploration of the topic, and findings from these rounds of data collection are presented across Chapters Four and Five. With the intention to develop, test and apply some form of charrette-evaluation, I started to ask how other researchers had approached the task. Chapter Four presents an empirical analysis of examples of participation-evaluation, and Chapter Five presents my preliminary tool for evaluation and the findings from a pilot test and expert review. I refer to this developmental phase as Stage One.

Stage One was undoubtedly the building block that enabled the sequential, qualitative multi-method case study approach I adopted. The 'case study' that follows is comprised of Stage Two and Three. Stage Two was driven by a set of four narrower research questions as I conducted an extensive, in-breadth review of the CMP, AI and MP initiative:

1. Why did the Scottish Government decide to trial and then expand the charrette model in the context of community and spatial planning?
2. How do CTs, DTs and initiative commissioners describe their rationales for using a charrette?
3. How have successful CMP, AI and MP award recipients used their funding grant?
4. At a local level, how similar or dissimilar are charrette applications across Scotland?

Stage Two findings were used in part to refine my evaluation methodology given Stage One found the preliminary framework for evaluation needed strengthening. This collection of findings and evaluation-methodology development can be seen across Chapters Six to Eight.

Confident in the revisions and upgrading of the preliminary framework, I then applied an intensive, in-depth review of two charrette cases through a more robust Five Phase Sequence for evaluation, which is detailed fully in Stage Three of this thesis (i.e., Chapters Nine and Ten). This intensive, in-depth review was guided by two evaluation objectives:

1. What can the procedural implementation of Scottish charrettes tell readers about the practice realities of participation theory underpinning the CMP, AI and MP?
    a. What factors inhibited and/or supported the CMP project's procedural implementation?
2. What evidence is there of participant gain and collective social change that can be (partly) attributed to the CMP project?
    a. What factors inhibited and/or supported participant gains and/or social change?

Observably, I have privileged a chronological account of my doctoral experience in the format of this thesis. As a result, I have not dedicated an entire chapter to 'literature review', which some readers may be accustomed to finding. Chapter Four kickstarts this study's 'findings' (i.e., Stage One findings) from early rounds of data collection, but also presents a short literature review on participation-evaluation. Literature covering participatory trends in architectural and planning practice, their associated theories and approaches to programme and/or policy evaluation have been explored throughout.

This first chapter is closest to home; it explores the participatory trend in practice and policy arenas most relevant to my academic background in architecture. As I move forward, as a 'researcher', I explore discussions on research methodology in Chapters Two and Three. Chapter Five builds on Chapter Four's short literature review with reference to typical, theory-derived analytical criteria for participation-evaluation. Discussions on Scotland's charrette popularisation are found in Chapter Six, along with literature-drawn references on participation 'rationales'. Similarly, literature is used for comparative purposes in Chapter Eight to ground the emerging typology of public participation endeavours, and Chapter Nine prioritises studies

that characterise and implement some form of M&E of participatory planning processes. Chapter Eleven enmeshes literature with empirical findings for a final discussion.

Collectively, this thesis makes five contributions. Whilst these are detailed more fully in Chapter 11 and Figure 86, they include:

1. A **new knowledge base** to support future monitoring and/or evaluation of participatory endeavours [C1].
2. New **practice reality insights** into current functioning and practice of participatory projects in Scotland in the context of the CMP, AI and MP [C2]
3. A new **participatory endeavour evaluation tool** (PEE) to characterise participatory endeavours and structure future monitoring and/or evaluations [C3].
4. A demonstration of the tool in action i.e., the **application, testing and reflections** [C4].
5. An **architectural research student resource** via Chapter Two's exploration of conducting research within architecture [C5].

Collectively, these eleven chapters directly address the M&E deficit that is apparent in our continued search for *meaningful*, effective community and stakeholder participation. This thesis provides a knowledge base from which others can rely on in the design and delivery of their M&E practices. The Five Phase Sequence presented in Stage Three acts as a garden trellis that others are encouraged to use. The image of a garden trellis is fitting; it is a guide, a skeletal frame from which evaluations -in their multiple and varying forms- can start to populate and embed practice. Researchers can and should refer to the strong foundation of development-sources that have been pulled together in this thesis to support participation-evaluation design. Therefore, contributions include a new knowledge base for M&E researchers [C1], a framework to support participation-evaluation i.e., the Five Phase Sequence [C3] and a demonstration of its testing and application [C4].

In addition, my study offers new insights into current participatory practices in Scotland, namely through the charrette trend lens. I pinpoint the start i.e., the Charrette Series in 2010, and trace what happened next [C2]. In doing so, I have been able characterise the types of participatory projects supported by the CMP, AI and MP initiative and offer a new tool that allows us to speak about our PEs by identifying descriptors i.e., through comparable and

distinguishing characteristics. This contribution derives from Stage Two's extensive, in-breadth case review (see Chapter Eight), and could easily be adopted (and adapted, if required) by best practice guidance to help those commissioning participatory projects to consider relevant, *influencing* factors in the design, delivery and later M&E of their projects and/or processes [C3].

This study's intensive, in-depth review of two charrette cases unpacks challenges and nuances as they unfold on the ground [C2]. Unlike the above, these observations may not neatly present explicit takeaways to embed directly into policy and guidance, however, these observations demonstrate the tensions current guidance can be partly responsible for creating. For example, the anecdotal requirement to justify project funding proposals with community support increases pressure on local community groups to design and deliver a charrette-like event, which can later be used as evidence to bolster funding applications. The felt pressure does not necessarily create genuine, shared alliances with a clear and agreed purpose for engagement or foster commitment to a more participatory way of working, but may set in motion a series of placatory activities thought necessary to move proposals forward (see Chapter Eleven). Thus, measures to ensure a demonstration of local support can inadvertently slow progress and tempt individuals into working in ways that are far less participatory and inclusive (see Chapter Ten and Eleven's Brigadoon discussions).

I argue empirical data in this thesis should serve future guidance and policy revisions as the effects of current guidance or best practice 'process' standards (see Chapter Nine's evaluative criteria) can be viewed through the accounts of Stage Three. I must accept however this is not an exhaustive exploration of on-the-ground experiences; I offer a snapshot of several charrette cases only at the micro-level. Nevertheless, I suggest these findings could be useful when developing new guidance. I am also keen to avoid portraying procedural fixes as a panacea for *effective* participation, therefore I share a series of procedural *recommendations* drawn from these new insights into participatory endeavours in the final chapter's Five Reflections. These are not commandments, but recommendations I encourage those involved in participatory project delivery to reference. Alongside the tools shared in this thesis (i.e., Chapter Eight's case characterisation and Chapter Nine's Five Phase Sequence for Evaluation), these recommendations are more easily shorn from the bulk of this thesis and may be used to inform future thinking and guidance around participation, and its design and delivery.

Finally, I draw novice researchers to Chapter Two. If, like me, you come to the world of research without a background in either applied or basic research and feel unsure about criteria for assessing doctorateness when your project straddles the science and art disciplines -as architecture is often anecdotally positioned- then please know I felt challenged. Understanding what a PhD demands in this field was not clear-cut and I found there is not a settled view. I spent time delving into the paradigms, theoretical lenses, research designs, credibility criteria and finally methods in relation to a broader research and methodological discussion. Now, Chapter Two is not all-encompassing, but it is something I wish I had access to when I was starting this journey. Therefore, I have written it, and consider it a contribution, because I think my younger self would have benefited. I hope it can help other students glean some understanding as they embark on *research* within architecture [C5].

Chapter One Conclusion

In summary, I have discussed citizen participation as a concept related to architectural production processes. From there, I traced its strengthening outside of architecture and more broadly in planning and more widely in policymaking in Britain. It remains a renowned, salient and necessitated practice despite its many holes and often unsubstantiated claims. My interest lies primarily with the unsubstantiated claims as I identify a wedge between narrative and evidence that goes unfilled due to a lack of participation-evaluation. As citizen participation is fervently practised, evaluation is not. This thesis addresses that gap. The following chapters privilege a chronological account of my work, which culminates in the offering of an evaluation framework that is tested through two charrette case studies.

Chapter Two: Situating the Research Approach into the Wider Context of 'Research' in Architecture

If the intended audience for this study includes architecture students, particularly those considering or doing research in architecture, then a transparent discussion on methodological development is warranted. Architectural research is *newer* than other academic disciplines that are well-versed in basic (i.e. theory, academia) and applied (i.e. practical, problem-focussed) research (Groat & Wang, 2013). In response, I heed Patton's (1990, p. 37) advice to develop an awareness of the methodological paradigms to better understand why decisions could be contested: it is 'important to know about the methodological paradigms debate in order to appreciate why methods decisions can be highly controversial'.

To situate this thesis in a broader discussion on *research* in architecture a preamble is required. Across Chapters Two and Three, a Matryoshka Doll is used as a visual aid to help navigate the discussion on methodology (see Figure 1). To start, a very brief overview of architectural research introduces this chapter, which lays the foundations for framing this study within a given paradigm (i.e., the first doll). A narrower discussion follows on the theoretical lens (i.e., second doll), which precedes a discussion on the overall strategy adopted here (i.e., third doll). Methods or tactics (i.e., fourth doll), are described in the following chapter. Before a short chapter summary, a section on research credibility brings this chapter to a close.

2.1 A Necessary Preamble

Research outputs are a consolidation, a synthesis of efforts taken to answer research questions; however, the process is 'messy' and iterative with little of the linear ease presented in said outputs or research handbooks (Bryman, 2016; Townsend & Burgess, 2009). Perhaps adding to this messiness is knowing research in an architectural context is a relatively nascent field. Especially, when compared to other academic disciplines that have long considered

grand, unifying theories (Groat & Wang, 2013). More broadly, what is considered 'doctoral' within the arts is uncertain (Nilsson et al., 2017).

Robinson (1990) suggested that there is a 'lack of disciplinary coherence' when it comes to 'knowledge-building' within architecture. One could argue research has forever been commonplace in architectural practice with re-applications and modifications in building design. Thus, the design process *is* a means of research (see Franck, 2017; Groat & Wang, 2013). However, Luck (2018a) observes a distinction:

> practice-based research can be difficult to distinguish between research in the form of novelty or innovation in practice, from more systematic investigation and exploration that characterises a novel research contribution for academic purposes. (Luck, 2018a, p 152)

In short, its consideration of the latter is a 'newer, and therefore less developed' practice (Groat & Wang, 2013, p. 42). Within architecture and planning, the diversity of research questions fits no one paradigmatic model; there is a 'large variety of traditions' available to researchers in such fields (Ibid, 2013; Palermo & Ponzini, 2014, p. 121). Whilst other schools have refined and aligned their practices with a familiar toolkit, architecture researchers generally have not (Groat & Wang, 2013).

As a result, there is greater methodological variation, which presents challenges to situating studies within the broader *research* landscape. However, this may be advantageous. Patton (1990, p. 38) suggests researchers may have become institutionalised, in a way, via their academic teachings that promote particular methodological paradigms. Thus, constraining their 'methodological flexibility' and responsiveness in designing research studies.

Next, I tentatively wade into a discussion on research paradigms, designs and/or strategies. If I intend on citing one paradigm (or more, although this is contested (Greene & Hall, 2010)) in framing this study, it is necessary to have a general handle on the literature. Literature describes research design as a nested, layered process (see Creswell & Clark, 2011, p. 39; Creswell & Poth, 2017, p. 57). Groat and Wang (2013, p. 10) provide a visual aid of nesting tables, which I see somewhat like a Matryoshka Doll[5]. The outer, largest doll represents

[5] I recognise others may contest the blunt distinction suggested in the Matryoshka Doll visual. Patton (1990; 2002, p.80) appears to refrain from this deconstruction suggesting often the same terminology can be used to

paradigms or worldviews; next, schools of thought; then, research strategies; and the smallest doll represents *tactics* or *methods*.

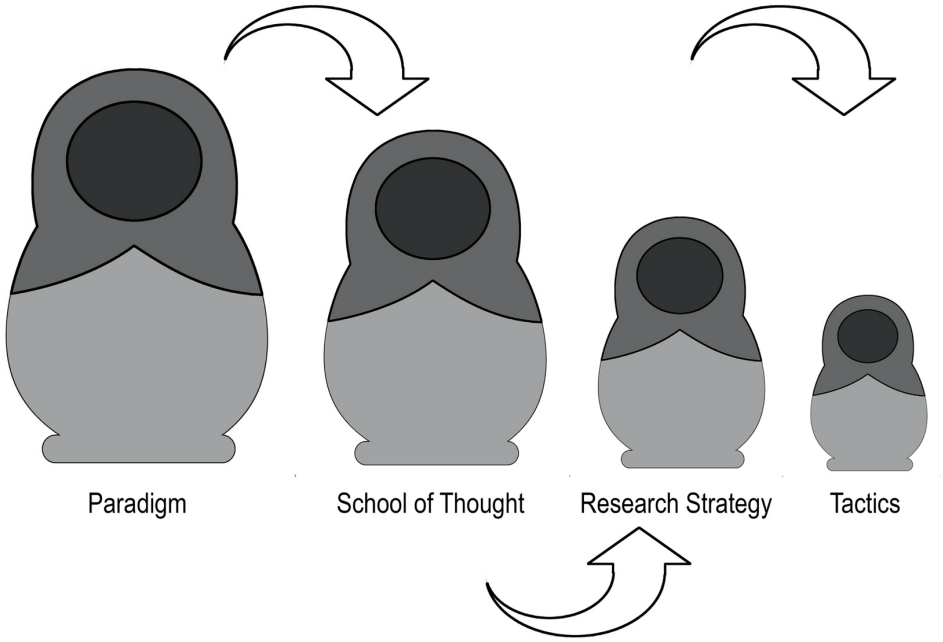

Figure 1: Matryoshka nesting doll: An analogy of methodological decision-making.

Below is a brief venture that acknowledges Groat & Wang's (2013, p. 66) advice to 'become familiar with how the underlying premises of the research traditions [students] may be encouraged to employ are situated within the overall context of research practices'. This chapter and next follow Figure 1's layers to justify the methodological reasoning used here. It also serves future and/or present students considering academic work within architecture.

2.1.1 Preamble: Methodological Paradigms

What constitutes research? Especially that of a non-traditional nature residing outside of what has become familiar scientific enquiry. Whilst this thesis does not have the scope to justly recount the paradigm wars (Denzin, 2017; Johnson & Gray, 2010; Lincoln et al., 2017; Maxwell & Mittapalli, 2010), it nevertheless recognises the answer to this question has been hotly contested. There is a call for an expanded definition (Denzin, 2017); within architecture, 'broader definitions of research in relation to design' (Groat & Wang, 2013, p. 51) are sought.

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describe either a paradigm, theoretical framework or research design. Therefore, these distinctions are somewhat 'arbitrary'. Creswell and Poth (2017) also recognise the overlap but suggests some distinction is useful. Here I prioritise the latter to help navigate the congested research terrain.

Denzin and Lincoln tempt the idea of omitting the word altogether: 'Should we even be using the word *research*?' (2017b, p 3; emphasis in original).

Robinson (1990) questions a societal tendency to favour rational, concrete, explanations with mathematical foundations over intuitive, subjective accounts of a scenario communicated through, say, poetry. Whilst naturalist inquiry is well-accepted as a methodological approach, a perception it is less scientific is thought to persist (Denzin & Lincoln, 2017b). Standards for quality have been unfairly mapped across research outputs underpinned by different epistemological and ontological assumptions. Seale (1999), Morse et al (2002), Guba (1981), Groat and Wang (2013) and Ellison and Eatman (2008) all discuss qualitative research quality and what this means for research across the spectrum. Denzin (2017, p. 13), echoing Guba (1990), calls for less controversary and more 'fruitful dialogue between and across paradigms'. What one might conceive to be an acceptable inquiry for new knowledge creation, another might not.

This dichotomous relationship among methodological approaches has long prevailed; crudely, it can be traced to just a few camps. At one end, quantitative research is described in terms of numerical and statistical data often objectively measuring relationships between variables (Bryman, 2016; Creswell, 2014). In the first paradigm war, anything outside of positivist or postpositivist is said to have been regarded as something lesser; the former was the 'gold standard' leaving qualitative approaches to struggle for a place at the table (Wright, 2006). A similar division is thought to prevail in the current, and third, paradigm war with mixed-methods, science based research [SBR] at one end and anti-SBR at another (Denzin, 2017; Denzin & Lincoln, 2017b).

Posited as the opposite of quantitative, is therefore qualitative research. Unlike quantitative studies, measurement of variance is not common (Maxwell, 2008). Instead, it is exploratory and generally favours multimethod approaches. It 'stress[es] the socially constructed nature of reality' and acknowledges an 'intimate relationship between the researcher and what is studied' exists (Denzin & Lincoln, 2011, p.8). The qualitative researcher studies 'things in their natural settings' and 'make[s] the world visible' through 'interpretive, material practices' (Denzin & Lincoln, 2017b, p. 10).

A middle ground is proposed; mixed methods is said to be the third methodological movement (Brierley, 2017). It believes integrating quantitative and qualitative methods to help overcome the deficit or weaknesses of either mono-method approach (Ibid, 2017). It stems from earlier interests in multi-methods, and constitutes the youngest of the three research methodologies (Creswell, 2014). Although, this practice is not without criticism; discontent was evident as paradigm 'purists' argued against mixing-methods in the second paradigm war (Creswell & Clark, 2011; Denzin, 2010, 2017). Further, mixed methods is said to take 'qualitative methods out of their natural home' (Denzin & Lincoln, 2017a, p. 14) and demote them to an ancillary role behind quantitative (Creswell & Clark, 2011, p.35). Nevertheless, proponents have batted-off arguments of incompatibility and even proposed studies with multiple or mixed paradigmatic foundations, however this is debated (Creswell & Clark, 2011; Denzin & Lincoln, 2017b, p.10; Greene & Hall, 2010).

Although these binary options (i.e. quantitative, qualitative and mixed-methods) are often presented as such, and thought to play an important role in research design, they are not so separate: a 'study *tends* to be more qualitative than quantitative or vice versa (Creswell, 2014 , p. 3; emphasis in original). Nevertheless, a 'methodological war' has been debated for decades (Mackenzie & Knipe, 2006). Along with Creswell (2014), others too have suggested this is a 'superficial issue' with a more important, and often skimmed, discussion on researchers' epistemological and ontological orientations warranting (Bryman, 2016, p. 31; Mackenzie & Knipe, 2006).

A methods debate is therefore cast within a philosophical discussion on research paradigms. Of which, there are now many compared to the original bookends: positivism and interpretivism (Niglas, 2010). Commensurability has been long debated, with Lincoln et al. (2017) still exploring this issue in the latest handbook of qualitative research. With a thick cord, these debates are tied to paradigm subscription, which is heavily value-laden revealing much about the researcher(s). Aligning oneself to a paradigm hints at one's attitudes, worldview, and general set of beliefs around knowledge construction (Creswell & Clark, 2011; Kivunja & Kuyini, 2017; Mackenzie & Knipe, 2006; Patton, 1990). Paradigm orientation is somewhat analogous to religion in that flitting between them can be thought uncommon (Cunliffe, 2011; Denzin & Lincoln, 2017a).

There are numerous definitions of 'paradigm' since Kuhn's introduction of the term, which suggested 'some accepted examples of actual scientific practice—examples which include law, theory, application, and instrumentation together— provide models from which spring particular coherent traditions of scientific research' (1970, p. 10). Reduced, a research paradigm can be inferred through a researcher's epistemological, ontological, axiological and methodological orientation (Asghar, 2013; Creswell & Clark, 2011).

Sometimes paradigms are implied, only implicitly (Creswell, 2014 ; Groat & Wang, 2013). Literature often advises clearly stating adopted tenets given this philosophical lens is the substrate from which a research study grows. In its absence, there is nothing to build on: 'Without nominating a paradigm as the first step, there is no basis for subsequent choices regarding methodology, methods, literature or research design' (Mackenzie & Knipe, 2006, p. 2). Often affiliations are posited: positivism and/or postpositivism infers quantitative methodology; interpretivism (constructivism) implies qualitative methodology; and mixed methods has been linked to the newer pragmatism paradigm (Creswell & Clark, 2011; Maxwell & Mittapalli, 2010; Niglas, 2010). However, critical realism has also been partnered with mixed-method studies (Creswell & Clark, 2011; Maxwell et al., 2010). Greene & Hall (2010) find this trio of options an unhelpful, and narrow, classification.

These are only guidelines. For example, a number of paradigms can claim use of qualitative inquiry because it does not strictly belong to a particular one (Denzin & Lincoln, 2017b; Niglas, 2010). Similarly, in architectural research Groat and Wang (2013, p.74) suggest there should be coherence within research design, but a paradigmatic allegiance does not dictate subsequent research design decisions; rather it informs them. Likewise, methods do not belong to any particular paradigm, or research design / strategy; the same tools to collect data can be deployed in different ways.

Whilst some place great emphasis on paradigm association, others are less concerned. Even critical, suggesting total abandonment of these discussions, or at least the qualitative - quantitative divide (Benz et al., 2008; Flyvbjerg, 2011; Gorard, 2010). These divisions and differences cloud the water making it difficult for novice researchers to navigate (Asghar, 2013; Gorard, 2010; Kivunja & Kuyini, 2017). Gorard (2010) does not blame the student, however. He suggests this philosophical substrate is illogical and is unlike the starting point many take to solve everyday problems. Therefore, he refrains from paradigm-talk, discounts

the net it casts over research development and refocuses on research design, which is a similar position mixed method pioneers, Tashakkori and Teddlie (2010), also take. These authors similarly advocate an approach that 'closely parallels everyday human problem solving in a way that neither qualitative nor quantitative methods alone can do' (Tashakkori & Teddlie, 2010, p. 273).

The emergence of pragmatism and its often cited partner, mixed methods, was seen as one way round the standoff between quantitative - qualitative and positivism - interpretivism; instead, mixed method approaches are said to 'thrive on learning from differences and creating new syntheses' (Johnson & Gray, 2010). Gorard (2010) is a proponent of mixed method approaches but disagrees with binding it to another, alternative paradigm. Rather, using multi sources and methods is a sensible, practical approach for data collection to help answer questions.

As Groat and Wang (2013) demonstrate, others (that appear to push the paradigm perimeter) have proposed workarounds in the form of either new paradigms and/or blurring the dichotomous edge with continuums (Benz et al., 2008; Cunliffe, 2011; Groat & Wang, 2013; Lincoln et al., 2017; Niglas, 2010). The latter avoids imprisoning researchers to one camp allowing more fluidity among the philosophical lenses and recognising overlap. Boundaries and definitions appear to be in constant schism (Groat & Wang, 2013, p.77; Lincoln et al., 2017). The former has enabled the latter with a growing number of available paradigm choices (Niglas, 2010).

It may also be worth mentioning Bryman (2007) here too. Despite such emphasis placed on paradigms and research approaches, Bryman's interviews with researchers generally lacked reference to 'philosophical issues (such as epistemological considerations)' in discussion of their research practices (2007, p. 13). Further Bryman's (2007) findings suggest research questions may also play a less formal role in research design and method selection than what is often described and instructed in research literature and handbooks. Instead, other factors inform the methodological choices researchers make.

	Positivism / Post-Positivism	Critical Realism	Pragmaticism	Critical / Transformative	Participatory	Constructivism / Interpretivism
References:	(Bryman, 2016; Creswell, 2014 ; Creswell & Clark, 2011; Creswell & Miller, 2000; Groat & Wang, 2013; Kazi, 2003; Lincoln et al., 2017; Mackenzie & Knipe, 2006; Niglas, 2010)	(Kazi, 2003; Maxwell & Mittapalli, 2010; Pawson & Tilley, 1997)	(Creswell, 2014 ; Creswell & Clark, 2011; Greene & Hall, 2010; Kazi, 2003; Mackenzie & Knipe, 2006; Patton, 1990, 2002)	(Creswell, 2014 ; Creswell & Miller, 2000; Kazi, 2003; Lincoln et al., 2017; Mackenzie & Knipe, 2006; Mertens, 2007; Mertens et al., 2010; Niglas, 2010)	(Creswell & Clark, 2011; Heron & Reason, 1997; Lincoln et al., 2017; Niglas, 2010)	(Bryman, 2016; Creswell, 2014 ; Creswell & Clark, 2011; Creswell & Miller, 2000; Groat & Wang, 2013; Kazi, 2003; Lincoln et al., 2017; Mackenzie & Knipe, 2006; Niglas, 2010)
Keywords:	Cause-and-effect; reductionist; deterministic; empirical; experimental; objective.	Explanation; generative causation; stratified reality-empirical, actual real.	Problem-focussed; pluralistic; real-word practice; middle-ground	Action-oriented; empowerment; change-oriented; advocacy; interventionist.	Experiential knowledge; collaborative; democratisation of content.	Subjective; relativism; meaning; anti-reductionist; situatedness; naturalistic.
Ontology; Epistemology:	Realism; Objectivist	Realism; Relativist / Interpretivist	Eschews 'any one system of philosophy or reality' (Mackenzie & Knipe, 2006, p. 4)	Historical realism; subjectivist	Participatory reality; extended epistemology to experiential	Relativism, co-constructed realities; subjectivist.
Typical Methodology:	May use qualitative methods, but predominantly quantitative.	Method-neutral; either quantitative, qualitative or mixed methods.	Method-neutral; either quantitative, qualitative or mixed methods.	Method-neutral; either quantitative, qualitative or mixed methods. Contextual, historical and oppressive factors described.	Method-neutral, consent / agreement sought on methodological plan. Collaborative inquiry.	May use quantitative methods, but predominantly qualitative.

Table 1: Often cited Paradigms and their characteristics: a short summary.

Based on this research literature, Table 1 concludes this chapter's 'preamble' with a summary of the often cited paradigms and their characteristics. Whilst positivism and constructivism - seemingly incommensurable philosophies (Lincoln et al., 2017)- are used as bookends, the remaining worldviews in-between should not be read as a continuum. Following this whistle-stop tour of research paradigms and architectural research's place within, the following sections turn inwardly to focus on the paradigm(s), theoretical lens, strategy and credibility standards relevant to this work.

2.2 The First Doll: An Appropriate Paradigm

With undergraduate and postgraduate education in architectural studies, I have not been trained to subscribe to any particular 'camp' described above. This doctoral project therefore begged an exploration into the philosophical lenses that are said to bind theories of *knowledge* (epistemology) and theories of *being* (ontology), which trickle down shaping a researcher's attitudes toward new knowledge creation. Set against the backdrop above, I attempt to work through the first Matryoshka Doll in Figure 1: Paradigms.

As the above suggests, this methodological journey was not clear-cut. Heeding Patton's (1990, p. 39) advice for '*methodological appropriateness'* (over 'methodological orthodoxy') I naturally leaned toward pragmatism. After all, it is the paradigm that decries linking methods to paradigms, claiming the former can work independent of the latter (Maxwell et al., 2010). Scriven (1997, p. 3/18) too admits if all studies were to engage with the 'epistemological issues that bear on it' then 'nothing else would ever get done'. So too does Patton (2002, p. 145) claim qualitative evaluation need not nominate the narrower *theoretical stance* or *school of thought* that qualitative researchers often reference (Creswell & Poth, 2017).

With an open mind however, a second methodological pitstop in this study was *evaluation* literature to better understand the paradigms, schools of thought and strategies relevant to its practice. As explained in Chapter One, I edged toward questions on the *effectiveness* of formal participation activities in architectural design and planning processes. Therefore, some

form of participation-evaluation (not necessarily participatory evaluation[6]) appeared a likely direction for this study. The participation concept, and practice, has long been salient. However, criticisms are waged and too often there are more examples of participatory processes not working than those that do (Beebeejaun & Vanderhoven, 2010).

So, how can one measure success? How can one build an un understanding of what works, where, for whom, and under what conditions? How can one tell if the charrette approach, as adopted in Scotland, is an effective way to deliver inclusive, participatory projects with community and stakeholders alike? Defining *effective* becomes challenging and the term *measure* may imply logical positivism, but that would be misleading here.

It would be futile to attempt a comprehensive definition of 'evaluation', given countless descriptions (Alkin et al., 2006). However, 'the philosopher king of evaluation' (Stevenson & Thomas, 2006, p. 8/30) provides this explanation:

> The key sense of the term "evaluation" refers to the process of determining the merit, worth, or value of something, or the product of that process. Terms used to refer to this process or part of it include: appraise, analyse, assess, critique, examine, grade, inspect, judge, rate, rank, review study, test. (Scriven, 1991, p. 139)

Similar to the preamble above, evaluation research and practice was beset by discussions on methodological paradigms; successive waves described as first, second, third and fourth generation evaluations (Laughlin & Broadbent, 1996; Lay & Papadopoulos, 2007); and numerous styles or models[7] (see Dahler-Larsen, 2017; Guba & Lincoln, 1981; Hassenforder, Ducrot, et al., 2016; Pawson & Tilley, 1997). Evaluation's 'first major boom' (Donaldson & Lipsey, 2006, p. 2/25), was around the time large-scale social programmes were implemented and evidence on their effectiveness was sought. Predominantly, empirical, experimental or

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[6] See Chapter Four for a literature review on evaluating PEs. In short, the approach to participation-evaluation may or may not be conducted collaboratively; participatory evaluation implies a joint assessment with PE participants.

[7] For example empowerment evaluation, critical evaluation, utilisation-focussed evaluation, pluralist evaluation, systematic evaluation, systemic evaluation (Hassenforder, Ducrot, et al., 2016; Pawson & Tilley, 1997); summative evaluation, formative evaluation, goal free evaluation, cost-free evaluation, functional evaluation, tailored evaluation, comprehensive evaluation, theory-driven evaluation, naturalistic evaluation, pre-ordinate evaluation, meta evaluation (Guba & Lincoln, 1981; Pawson & Tilley, 1997); connoisseurship evaluation, user-oriented evaluation, responsive evaluation, pragmatic-participatory evaluation, transformative-participatory evaluation and culturally responsive evaluation (Dahler-Larsen, 2017; Guba & Lincoln, 1981).

quasi-experimental methods, wed to a positivist paradigm, dominated practice. Based on a 'theory of causation' -that is, did x cause y- these methods were outcome- and effective-focussed (Donaldson & Lipsey, 2006; Kazi, 2003; Pawson & Tilley, 1997).

However, experimental methods produced inconsistent findings: programmes sometimes worked and sometimes failed (Blamey & Mackenzie, 2007; Pawson & Tilley, 1997). In revolt of insufficient methods, and questions equally ill-oriented, pragmaticism and constructivist paradigms spawned alternative evaluation approaches. Rehearsing the earlier commentary on pragmatism, this camp is thought to view the 'epistemology debates to be a waste of time' (Kazi, 2003, p. 7/11).

Patton (1990) a pragmatist advocate, is not concerned with following 'epistemological axioms but the matter of whether the practical cause of policy making is forwarded' (Pawson & Tilley, 1997, p. 13). Therefore, pragmatists are concerned with 'technical adequacy' and quality standards guiding evaluation practice (Donaldson & Lipsey, 2006; Pawson & Tilley, 1997, p. 13). However, it has also been described as an intellectually devoid paradigm (Kazi, 2003).

Posited as opposites, evaluation practices under the interpretivist or constructivist banner are staunchly critical of the outcome-focussed experimentalists on an ontological, epistemological and methodological basis. Guba and Lincoln (1989, p. 43) describe an ontology of relativism, maintaining realities are all social constructions and there is no external reality independent of any group's beliefs (Laughlin & Broadbent, 1996). Again, polar to positivist (or empirical) evaluation perspectives, constructivists do not accept the researcher can be independent from the study; in this case, the evaluand (i.e., that which is being evaluated). Rather, 'findings of a study exist precisely because there is an interaction between observer and observed' (Guba & Lincoln, 1989, p. 44).

Naturally, their methods tend to be qualitative and analysis is inductive. Deriving human meaning is paramount in constructivism. Thus, findings are one perspective or orientation, and their dedication to 'situational relativism' does not permit generalisations (Pawson & Tilley, 1997). Therefore, extrapolating and applying knowledge from one context to the next is inconceivable (Ibid, 1997). In short, whilst experimentalists focus on effects, constructivists focus on programme content, context and implementation. Satisfied that neither experimentalists, pragmatists nor constructivists had the optimum approach, pluralist,

comprehensive and/or theory-based evaluation developed to take the best from each and iron out the creases.

Interestingly, this evaluation perspective can largely be attributed to experimentalists concerned that even if their models did work, nothing would be learned about the programme; or 'what it is about a program which makes it work' (Pawson & Tilley, 1997, p. 26). Here, evaluators acknowledge 'variation in the delivery of programs' is going to exist (Ibid, 1997, p.26); whereas experimentalists failed to consider implementation, of the same intervention, would differ across sites (Patton, 1990; 2002, p. 162). Theory based evaluation is therefore concerned with context and its inevitable influence on a programme's anticipated outcomes: 'context is key to understanding the interplay between programme and effects. Context itself is multifaceted and operates at a variety of levels' (Blamey & Mackenzie, 2007, p. 441).

Context is vital to 'attributing cause' and understanding inhibiting and supporting factors (Ibid, 2007, p. 441). Yin (2013, p. 155) cites John Wholey (1979) as one of the forerunners in developing a 'program logic model' for analytical purposes. The idea is to diagram or hypothesise a programme's sequential phases tracing the anticipated outcomes; again, context is crucial. Therefore, ignoring contextual particulars could lead to a case study with 'incomplete if not misleading understanding of the case' (Yin, 2013, p. 162).

However, this shift from a methods-driven approach to theory-driven approaches require a definition of theory. This can be challenging given terminology is used interchangeably: literature cites programme theory, implementation theory, prescriptive and descriptive theories, normative and causal sub-theories (Blamey & Mackenzie, 2007; Chen, 1989; Dahler-Larsen, 2017; Donaldson & Lipsey, 2006; Marchal et al., 2012). Further, Scriven (1998, p. 59) challenges whether these theories constitute a theory at all by implying definitions often fall short of what is typically understood as *theory*; rather, 'a partial set of intermediate level of propositions' is offered.

Nevertheless, consolidating discussions into programme and implementation theory, is said to be a 'prerequisite to sound evaluation' (Pawson & Tilley, 1997, p. 56). Implementation theory is concerned with the 'hypothesised links between a programme's activities and anticipated outcomes' (Blamey & Mackenzie, 2007, p.444). Whilst, programme theory, or 'middle range theories' (Pawson & Tilley, 1997), are propositions considering the causal links between an

intervention's mechanisms (i.e. 'ideas and opportunities' (Pawson & Tilley, 1997, p. 57)) and desired outcomes (Blamey & Mackenzie, 2007). Taken together, programme and implementation theories constitute a 'theory of change' (Weiss, 1995).

I felt discussions within theory-based evaluation were relevant for this study, especially given expert reviewers stressed the causal relationships between charrette phases in the preliminary evaluation framework (see Chapter Five). However, others advocate goal-free evaluation trusting studies, devoid of theory, are equally plausible (Donaldson & Lipsey, 2006; Scriven, 1997). Patton (2002, Ch. 2) argues the process used to produce planning outputs could be responsible for nurturing more valuable outcomes than the intended output or stated goals.

Within theory-based evaluation, Weiss (1995), Chen (1989; 1990, 2005, 2006), Chen and Rossi (1983; 1989) and Pawson & Tilley (1997) have been notable contributors with Theories of Change [TOC] and RE becoming popular models under the theory-driven banner (Blamey & Mackenzie, 2007; Marchal et al., 2012; Weiss, 1995).

Further, Donaldson & Lipsey (2006) coin *program theory driven evaluation science*. The authors offer practice-steps and practice quality criteria pertaining to *evaluation theory*. A *programme theory* describes how a programme *should* work, and ultimately informs research questions and evaluation design. *Evaluation science* suggests systematic inquiry to avoid perceptions of second-rate or 'soft' investigation.

Although considering both (programme and implementation), TOC is thought to place more focus on describing process and implementation; whilst RE is particularly interested in explanatory strategies considering a cocoon of mechanisms, context and anticipated outcomes (Blamey & Mackenzie, 2007). Contextual variation is inevitable hence programme success is likely to differ. In RE therefore, evaluators pose propositions regarding *mechanisms for change* (M) and the potentially enabling and/or disabling *contexts* (C) likely to impact on the desired *outcomes* (O). Using a carpark scenario, the authors suggest traditional experiments would analyse the effect of CCTV on car crime rate by comparing pre-and post-intervention data. Instead, RE develops a 'comprehensive theory of the mechanisms through which CCTV may enter the potential criminal's mind, and the contexts needed if these powers are to be realized' (Pawson & Tilley, 1997, p. 78).

Unlike constructivists bound to *situational relativism* and deriving human meaning, RE is committed to *effects* and *answering what works* through these CMO configurations. Unlike experimental, empirical models (of evaluation's early days) and subsequent models under pragmatism or relativism, RE is built on scientific or critical realism. However, pragmatism and critical realism supposedly share a few traits: both are method neutral and pragmatist advocates have similarly echoed the ontological and epistemological foundations of critical realism. Critical realism combines a seemingly indifferent realist ontology (i.e., a real world exists independent of socially constructed theories and perceptions) with either a relativist or constructivist epistemology (i.e., all knowledge of the world is socially constructed) (Greene & Hall, 2010; Maxwell & Mittapalli, 2010; Schwandt & Gates, 2018).

More broadly, realist perspectives are interested in process theories i.e. the 'causal processes by which some events influence others' (Maxwell & Mittapalli, 2010, p. 13/29) and developing an explanatory body of knowledge (Pawson & Tilley, 1997). It is this 'causal analysis' and commitment to explanation that differentiate critical realism from constructivism's 'thick empirical description of a given context' (Fletcher, 2017, p. 182). Like Patton's (1990) writings on pragmatism, critical realism is not conceived to replace or sit at odds with other paradigmatic stances (Maxwell & Mittapalli, 2010). Rather, and like Greene & Hall's (2010) dialectic stance, it welcomes studies drawing from different 'mental models' (Ibid, 2010, p. 4/29) believing several perspectives are worth employing to gain a layered and nuanced understanding of phenomena. Instead of 'camps', paradigms become conceptual toolkits 'for getting your work done' (Maxwell & Mittapalli, 2010).

Choosing an off-the-rack paradigm and its suggested methodological partner is frowned upon, if little other critical thinking is adopted (Freshwater, 2007). Here, I have attempted to demonstrate an exploration of research paradigms and methodologies relevant to programme and policy evaluation. Whilst the original leaning toward pragmatism was not an inconceivable starting point for evaluation practice (Patton, 1990), I hope to have explained the relevancy of critical realism.

Critical realism is compatible with qualitative, quantitative and mixed-method studies; encourages research *design* as opposed to *models;* places greater emphasis on process, mechanism and context relevancy; challenges the concept of causality as conceived in the empirical, positivist perspective (Dahler-Larsen, 2017); and accepts generalisations, or

learning from contexts, can be inferred (Byrne, 2009a, 2009b; Harvey, 2009; Maxwell & Mittapalli, 2010; Pawson & Tilley, 1997).

Therefore, with an awareness of the different underlying philosophical norms that have guided *evaluation*, the remaining sections turn to the other dolls in Figure 1. Research strategies, tactics and credibility standards will be discussed in reference to the *mental models* brought to the study.

2.3 The Second Doll: A School of Thought

Qualitative researchers often narrow their worldviews or broader 'assumptions' with a theoretical lens, interpretive framework, school of thought or mini-paradigm (Creswell, 2014 ; Creswell & Poth, 2017; Groat & Wang, 2013). Conversely, Patton (1990; 2002, p. 137) claims researchers using statistics or experimental research designs can do so 'without doing a philosophical literature review of logical empiricism or realism'.

Therefore, so too can qualitative methods 'stand on their own' without the crutch of theory (Ibid, 2002, p. 137). Closer to home, Groat and Wang (2013) discussing architectural research methods, echo these sentiments. They advocate coherence but allegiance to a particular theory is not always necessary; although a paradigm, whether explicitly stated or not, will have a directional impact. I did not select a *theory*, or at least not consciously so to start. This study was not framed, for example, by critical race theory, feminism, disability or queer theory to name just a few (Creswell & Poth, 2017).

However, echoing others' sentiments, I accept personal values and experiences play a role (Dahler-Larsen, 2017). Not only is research shaped by the researcher, research shapes the researcher (Palaganas et al., 2017). One way to enhance a study's credibility is to position oneself (Creswell & Miller, 2000); that is, offer the reader insights into who the researcher is by describing beliefs, values and experiences, which inevitably have some impact on the study (Creswell & Poth, 2017; Wolcott, 2016). As Creswell and Poth (2017) suggest, it may be worth describing those as part of a methods chapter.

2.3.1 A Short, Personal History

As a MArch[8] student at the University of Strathclyde, I was involved in a 'new area of research, provisionally named 'Construction and Therapy' (Russell et al., 2014, p. 1). The premise was largely based on Christopher Alexander's concepts around alternative housing production that require 'something radically different from our contemporary professional activities' (Alexander et al., 2012, p. 6). Quintessentially, Alexander's production system fuses together the disconnects in contemporary production processes and places users front and centre of a 'single phase' process, from 'conception [to] construction' (Russell et al., 2014, p. 2).

This was my first experience conducting research and working directly with end-users in a collaborative process. The MArch research took place partly in San Kizito, Rwanda and involved children and their guardians. The rhetoric of the MArch challenged the typical architect-led design process that had become familiar throughout my undergraduate education via a prevailing studio culture. There were two major takeaways from this experience that are worth retelling.

First, I became increasingly interested in formal versus informal participation (Alexander et al., 2012; Beebeejaun & Vanderhoven, 2010; Porta et al., 2018). Including end-users in local decision making was not a new concept, it has long been championed (see Chapter One). Although Alexander's process and 'system of thinking' places great emphasis on end-users, it remains distinct from seemingly similar 'various noble efforts' (Alexander et al., 2012, p. 11, p. 73). Such as, for example, New Urbanism that has user-interaction (famously, via the charrette) firmly in its mainstream participatory production process. According to Alexander (and Construction and Therapy) highly formalised participation is distinctly different from the 'complex and uncoordinated' marks people leave on their environments i.e. informal participation (Porta et al., 2016b, p. 10/23). Alexander's production process (dubbed System A) is therefore in direct opposition to mainstream processes of System B i.e. the mechanical and ubiquitous production system that fails in delivering life-giving, nourishing environments (Alexander et al., 2012).

[8] Master of Architecture degree

Second, it was during data collection (as a MArch student) I experienced what Guillemin and Gillam (2004) call 'ethically important moments'. These are 'the difficult, often subtle, and usually unpredictable situations' occurring in the field (Ibid, 2004, p. 262). Reflecting inwardly, I became increasingly aware of the outsider status and possible power relations distorting discussion and interviewee responses. In response, I satisfied a personal curiosity with references to deliberative and communicative theories that discussed suspending power to produce equitable forums. Notably discourse ethics and communicative rationality traced to philosopher Jürgen Habermas[9] were of interest. I referenced advocates and critics of (formal) collaborative theory and practice.

Taken together, an interest in formal versus informal participation and the underlying theories guiding collaborative processes was a starting point for this study, at least in a theoretical sense. As Dahler-Larsen (2017) suggests, 'qualitative evaluators have an anchor in participatory or deliberative views of democracy and in an ethic of care'. This sentiment strikes a chord: it was my earlier MArch experience that laid the value foundations and led me to initially consider tenets within *communicative planning theory* as an evaluative measure for the dialogic spaces within participatory processes. Although I have not nominated a theory or lens, previous experience and subsequent reading into participation theories certainly left a mark. And consequently, shaped the approach taken in this research project.

2.4 The Third Doll: Research Strategy

This study's design or strategy is best described as a *sequential, qualitative multi-method case study* that passed through three major phases. Using Scriven's (1994) and Kazi's (2003) black, grey and clear box analogy[10], this study sits somewhere between grey and clear as it

[9] Proponents however have been clear in citing references other than Habermas' communicative action in the lining of their work (Forester, 2000; Harris, 2002; Healey, 2003; Healey, 2006a; Innes, 2004; Innes & Booher, 1999b); Innes and Booher (2004b); (Purcell, 2009; Tewdwr-Jones, 2002).

[10] Black box evaluations consider effects with little focus on the programme's inner workings; grey box uncovers a programme's component parts without exploring their connectedness; clear box advances the former by showcasing as much as possible how a programme's inner workings and its component parts are interrelated. With CMO configurations and explanatory strategies at its heart, RE projects are examples of clear box evaluations.

used predominantly qualitative methods to explore process, implementation and local diversity of charrette application in Scotland.

I have come to equate *research design* with shopping for the ultimate outfit; off the rack does not always fit best. Not unlike typical architectural production processes, creativity is used to make a more fitting, albeit still a criticisable, ensemble (Groat & Wang, 2013). An emergent research design is typical of qualitative studies: it is not unusual for qualitative research to regard the process as a malleable, evolving journey that narrows even after initial rounds of data gathering (Maxwell & Mittapalli, 2010; Watt, 2007). Often research questions change along with data collection strategies to better address the research problem (Creswell & Poth, 2017). Studies with foundations in critical realism too treat research design as a 'creative process with different phases that involve different types of activities'; rather than a strategy 'based on the sequence and implementation of method' (Zachariadis et al., 2013, p. 12).

Each stage of this study largely relied on multiple methods that are typically described as qualitative; except for Stage Three that included quantitative data derived from charrette participant surveys. The above discussion justifies qualitative methods for programme and policy evaluation. Pragmaticism and critical realism are method neutral; however, quantitative methods used in conjunction with a successionist view of causation is thought to be 'unsatisfactory and problematic' for evaluative studies (Zachariadis et al., 2013, p. 8). Instead, qualitative methods are better at describing phenomena, exploring causal relations and documenting context. Further, using multiple and mixed methods is oft-championed; some suggest it 'will soon become the norm' (Morse, 2017).

Figure 2 provides a visual aid for this section, adapted largely from Maxwell (2010) but also from Creswell (2014); Creswell and Poth (2017) and Groat and Wang (2013). It starts with considerations already outlined and places 'research strategies' and 'tactics' in a broader model recognising the component parts of *research design*. Here, I work through each component.

To start, the research purpose and question was broad. I was aware Scotland's Community Empowerment (Scotland) Act had passed in 2015, and since 2010 public funds had been used annually to support a programme of community design-led events, which architectural firms typically took a lead role. This endorsement of formal participation coincides therefore

with wider policy rhetoric of active citizenry (Scottish Parliament, 2015). But also comes at a time when criticisms of public and stakeholder participation, falling short in practice, are readily available (see Chapter Four and Five for a review of empirical articles evaluating participation in practice).

Therefore, why endorse the charrette? When citizens and stakeholders are thought to respond poorly to formal participatory activities, why continue to use public funds for a charrette initiative? Monno and Khakee (2012) suggest evaluation of participatory practices is therefore needed, but not in a checklist fashion. Rather to better understand the 'strengths and weaknesses of the so far accumulated experience in this specific field of action' (Monno et al., 2012, p. 312). Understanding what contributes to 'increasing dissatisfaction of citizens towards well-organised participative activities' is warranted (Ibid, 2012, p.312). My interest in this Scottish Government backed model, and charrette trend, was piqued. Especially since the 'democratic credentials of the charrette' have been brought into question (Bond & Thompson-Fawcett, 2007; MacLeod, 2013, p. 2199). A need for this study was emerging.

A practical goal was to produce a doctoral thesis shedding light on the workings of Scotland's mainstream participatory activities. An intellectual goal was to generate discussion-worthy material that interrogates theories or modern conceptions of public and stakeholder participation. Amidst a dearth of participation-evaluation and criticisms of public participation in Scotland's planning system (Aitken, 2010; MacLeod, 2013; Pacione, 2013, 2014; Walton, 2019a), an early research question was: how effective is the Scottish charrette as a means to deliver inclusive, participatory projects in community and/or spatial planning processes?

As aforementioned, my past experience prompted a review of communicative planning theory, consensus building, participatory and deliberative democracy literature, which shaped an early definition of 'effective' for evaluative purposes. However, 'effective' means different things to different people and checklist approaches, based on Habermasian communicative principles, have been critiqued (Bickerstaff & Walker, 2005). Further, a 'just' process is not synonymous with just outcomes (Brownill & Inch, 2019; Fainstein, 2000). A 'simplistic' checklist approach measuring criteria attainment could fail to elicit a rich, detailed understanding of the charrette process, implementation and application across Scotland.

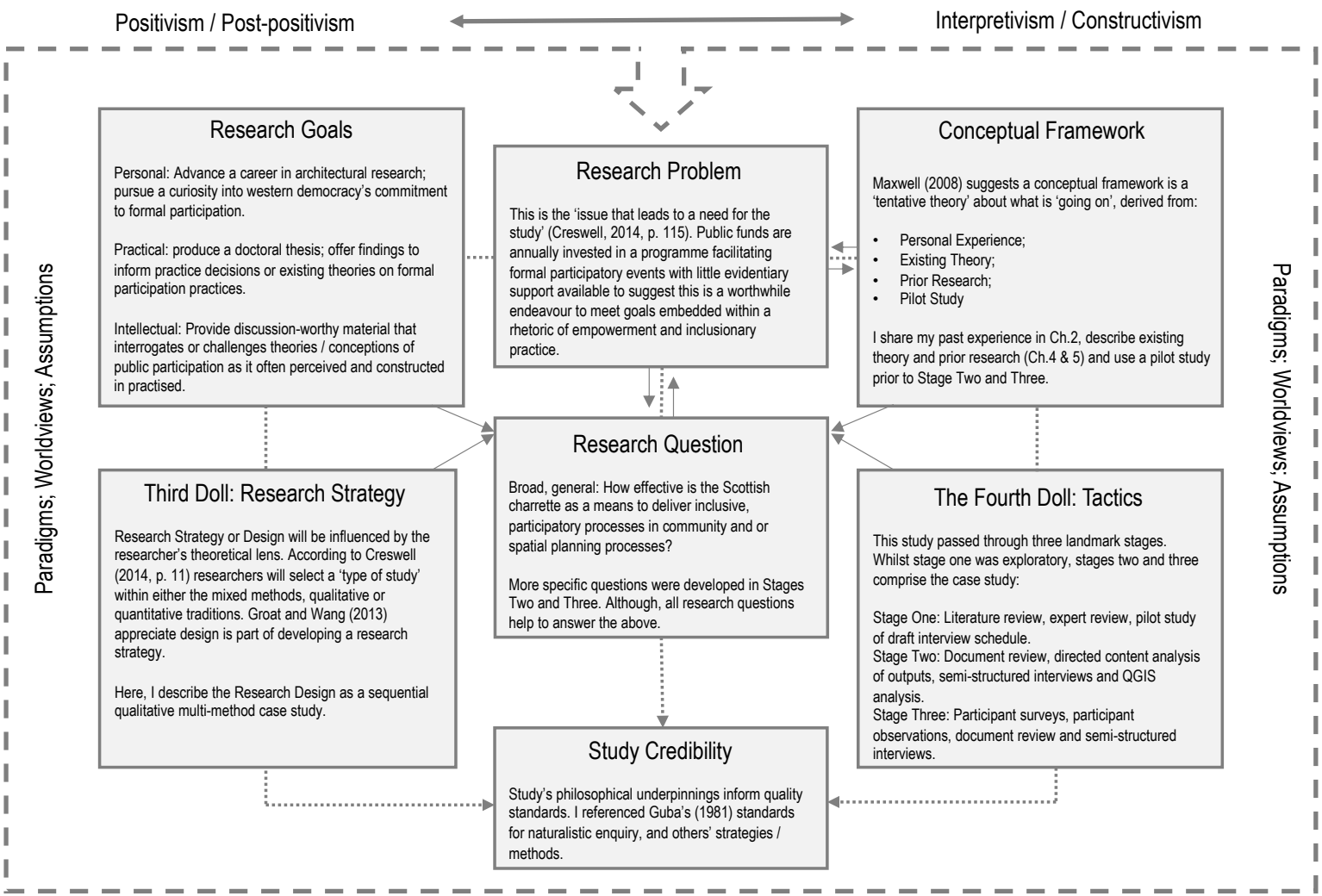

Figure 2: Research Design Visual Aid

Dissatisfied with criteria checklists and aware of the connectedness between 'program inputs, activities' and subsequent 'outputs, immediate outcomes and long-term impacts' (Patton, 2002, p. 162), I started to develop a preliminary evaluative framework. With reference to existing research and broader literature, the purpose of the evaluative framework was to begin forming an idea about a) how the charrette should work, b) how it should be implemented and c) posit potential links between criteria and possible fruitions from achieving said criteria i.e., desired outcomes. In line with qualitative research, I did not assume 'the role of the expert researcher with the "best" questions' but used Stage One to test the emerging framework and its criteria (Creswell & Poth, 2017, p. 115). With a dual purpose, an expert review and pilot test was conducted.

Defining theory-based criteria a priori, with little stakeholder and participant involvement, has been challenged; although, a theory-based approach does provide a universal benchmark for comparison (Blackstock et al., 2007; Chess, 2000; Chess & Purcell, 1999; Conrad, F. Cassar, et al., 2011). Instead of universal benchmarks some argue stakeholders and PE participants should be involved in defining 'effective', the 'program theory' or a 'program's logic model' (Donaldson & Lipsey, 2006; Hassenforder, Ducrot, et al., 2016; Yin, 2013, p. 155). Therefore, one purpose of the expert review and pilot test was to address recommendations for stakeholder involvement in evaluation development: it constitutes this study's effort to build a more contextually sensitive evaluation.

Second, the expert review and pilot test had a practical objective. As a novice evaluation researcher, drawing on the experience of local (i.e., those working in Scotland) professionals and international academics, to shape and refine the methodological approach, was a sensible, preliminary step. In addition, I acknowledged and addressed my external disposition to Scotland's charrette scene as I gained relevant, credible insight or 'situated accounts' (Zachariadis et al., 2013) through those more familiar with the Scottish charrette (Berger, 2015). This initial foray built tentative, professional relationships that later assisted in gaining field access.

All of this was part of Stage One. Stages Two and Three grew from these preliminary findings, which (collectively) constitute the case study. What constitutes a 'case study' is notoriously difficult, however (Schwandt & Gates, 2018). One must decide whether or not a case study

approach is appropriate (Baxter & Jack, 2008; Yin, 2013) and ask, 'what is this a case of?' (Schwandt & Gates, 2018).

Case studies have long been associated with programme evaluation since experimental, black box designs struggled to report on the processes preceding and generating outcomes (or lack of outcomes) (Patton, 2002). Therefore, qualitative case studies are particularly appropriate when process and/or implementation of an intervention is the priority focus (Ibid, 2002). Further, often cited forerunners in case study research, Stake (1995) and Yin (2013), 'base their approach to case study on a constructivist paradigm' (Baxter & Jack, 2008, p. 545), which matches the relativist epistemology adopted here. Schwandt and Gates (2018, p. 342) cite others that claim cases should be 'viewed through a critical realist lens', given researchers are 'dealing with things that are both real and constructed' (Byrne & Callaghan, 2013p. 155).

Furthermore, a case study approach is particularly useful to qualitative researchers that typically collect data from the field; case(s) offer an opportunity to unpack phenomena in their real-world setting; they emphasise context and its bearing on the case; and a case study necessitates in-depth, multiple sources of evidentiary value to understand a phenomenon from different perspectives. Yin (2013) provides examples of case-study design, which mirrored my thinking around Stage Two and Three of this study. Referring to evaluative case studies, Yin (2013, p. 138) suggests data may be collected to uncover 'behaviour and events that your case study is trying to explain' and second, 'data may be related to an embedded unit of analysis within your broader case study'. Therefore, the case study method is an appropriate approach to help shed light on Scotland's charrette trend through a grey-to-clear box evaluation.

Next, answering 'what is this a case of' helps to differentiate between the 'phenomenon of interest from the studied unit or instance' (Schwandt & Gates, 2018, p. 342). Whilst the phenomenon centred on the effectiveness of current, formal participatory practices within Scotland's spatial and community planning processes, the unit or instance -through which the phenomenon could be studied- was the Scottish Government initiative that has funded CMP, AI and MP projects. The case is bound geographically (i.e., Scotland) and temporally to include three exemplar charrettes, part of The Charrette Series in 2010; six rounds of CMP funding from 2011 to 2017; the one round of AI funding, 2016-2017; and two rounds of MP funding, 2017 to 2019.

Opting for 'single-case (embedded) design[s]' the CMP, AI and MP initiative was identified as the 'case' (Yin, 2013, p. 50). Whilst the individual CMP, AI and/or MP projects were the 'embedded units' of analysis. I refer to these embedded units as *charrette cases*. Cautious of the challenges in either a holistic or embedded case study design (Baxter & Jack, 2008; Yin, 2013), I was mindful to not focus too narrowly on the programme -as a whole- or a particular charrette case. I used multiple methods to explore the case study at two levels: extensive, in-breadth (Stage Two) and intensive, in-depth (Stage Three).

Each of these stages had their own purpose that was relative to the overall question that endeavoured to better understand how effective the charrette, adopted in Scotland, has been as a means to deliver inclusive, participatory projects in community and spatial planning. For the purposes of Stage Two, a narrower goal was to unpack the charrette, dissect its component parts and tease out the contextual particulars across application sites. Deriving 'effectiveness measures' for comparative purposes can be 'virtually impossible to select' if little is known about what has been implemented (Tucker, 1977, p. 13).

Stage Two therefore was primarily focussed on implementation, process and prioritised less outcomes and effects. With reference to Morse (2017) and Yin (2013), Chapters Seven and Eight (i.e., Stage Two findings) were not about soft, interpretive accounts of participants' lived experience of charrette involvement. Instead, these chapters are more descriptive; the objective was 'explaining behavioural events' (Blackstock et al., 2007). Outputs from Stage Two helped refine and develop the emerging evaluation framework of Stage One by adding an additional component that was thought lacking: a case-comparison descriptor framework (see Chapter Eight).

Proponents of qualitative case studies have argued theories or understanding of the social world can be derived from their studies; that is, generalisations are possible. Lessons beyond the *unit* or *instance* studied can be extrapolated; however, these *generalisations* are not understood as universal scientific laws in the traditional sense (Byrne, 2009a, 2009b). This is especially relevant when hypotheses are tested through comparison of multiple case studies. A condition however is that cases are comparable (Byrne, 2009b). Stage Two's case descriptor output is a framework capable of supporting future research interested in building a repertoire of *causal conditions* (Schwandt & Gates, 2018).

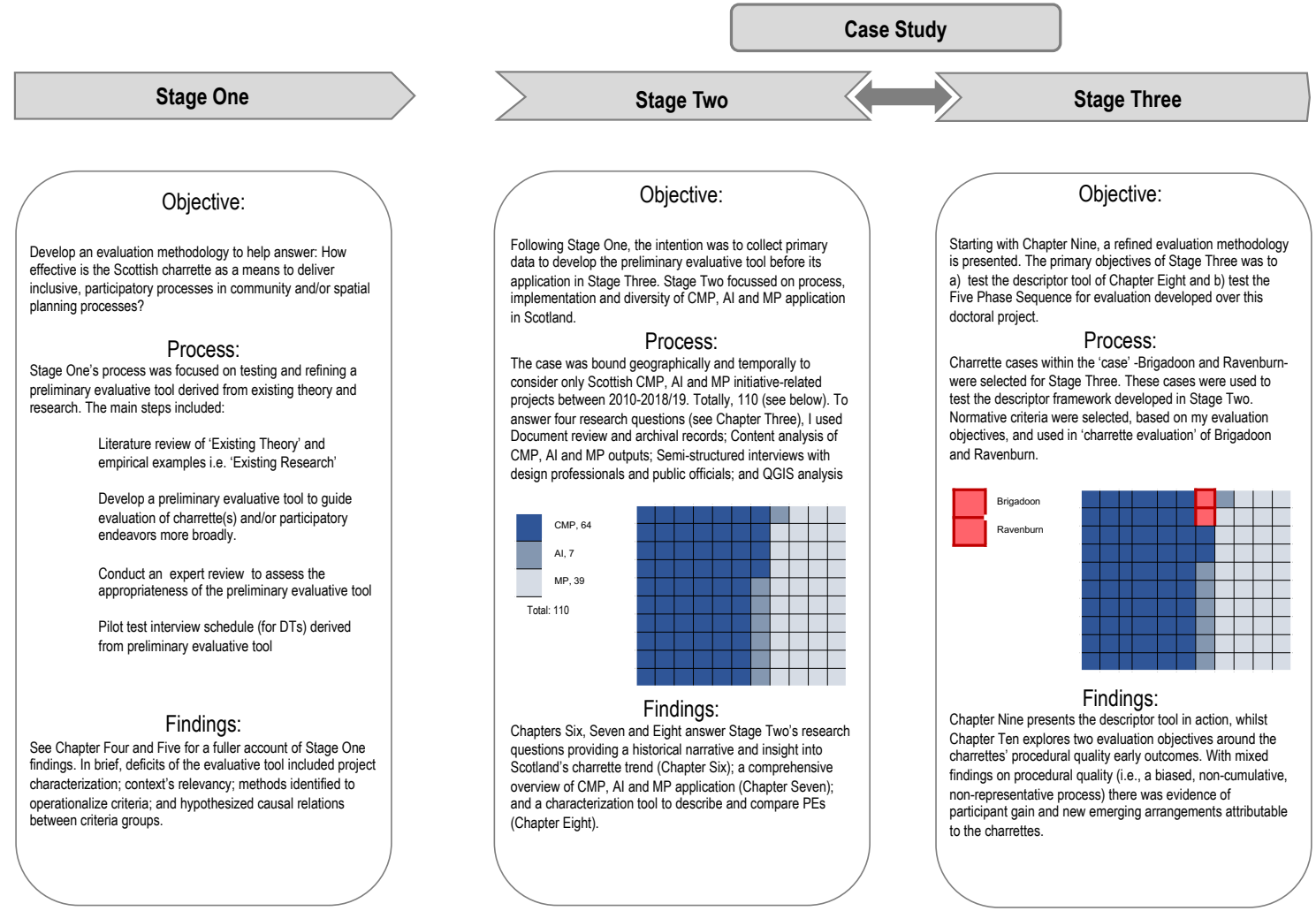

Figure 3: Research Chronology

Frequently, quantitative methods are associated with the former: extensive and in-breadth research described in Stage Two (Zachariadis et al., 2013). However, Gorard (2010) takes issue with associating either 'q-words' with scale. In Stage Two, I used qualitative methods - semi-structured interviews, Quantum Geographic Information System [QGIS] spatial analysis, document review, content analysis of outputs- to review the initiative as a whole. This was a prerequisite for more intensive, in-depth research of two CMP charrette cases. In Stage Three I used mixed-methods -document review, participant observations, participant survey, semi structured interviews- for a more nuanced look at the charrette in its operational context. Unlike Stage Two's descriptive focus, I was interested in interpretive accounts of charrette involvement. Figure 3 is a visual depicting the chronology of this research.

2.5 Research Credibility

There appears to be no firm consensus on how to assess research that is carried out within the realm of *creative arts*- a field in which architecture is often placed (Nilsson et al., 2017). Identifying quality standards or guidelines to use in this doctoral project has been challenging. By whose standards should this work be guided and subsequently judged? A fan of plurality, Biggs suggests determinations should be made within the confines of the 'specialist communities' (2017, p. 12). However, this is not to suggest bestowing free reign on the creative arts to decide for themselves what constitutes 'valid research' is a good idea (Ibid, 2017, p. 11). Whilst products will inevitably look very different 'common features qualifying the candidate as being of doctoral standing' should be identifiable (Ibid, 2017, p. 12).

Just as qualitative researchers have challenged and expanded the definition of research, it seems as though the creative arts are calling for further revision. Amidst this debate, I needed guidance on what constitutes *good research*. Franck (2017), although not prescript in the instruction, suggests peeking over the fence into the gardens of natural, social and human sciences for a bit of guidance. Producing acceptable doctoral-level knowledge has some fundamentals; for example, new, sharable knowledge; 'advanced independent research'; defensible against alternative explanations; describable and repeatable studies (Franck, 2017, p. 58). Therefore, one can argue research within the creative arts 'should have a strong association to the particular kind of research done in other fields' (Ibid, 2017, p. 56).

With homegrown standards seemingly in their infancy or somewhat illusive, I peeked over the fence. As the above suggests, practices under the positivist (and post positivist) banner have long been research's gold standard. Standards for rigor, quality and ethical practice have slowly made their way across the bridge and now *all* research is under a microscope. However, direct application of standards developed outside the field in which they are to be applied has been criticised: quality criteria for the hard sciences are incompatible and can undermine qualitative work (Creswell & Poth, 2017; Guillemin & Gillam, 2004; Morse, 2017; O'Reilly & Parker, 2013). Even strategies within qualitative camps have come under criticism; for example, strategies for handling descriptive data should not be unquestionably used in the handling of interpretive data (Morse, 2017).

Coming in second however, qualitative methods can be seen as less reliable and less generalisable, more creative, impressionistic or even regarded as 'fiction and art' (Hedstrom, 2005; Morse, 2017, p. 805). Case studies too have been criticised: adequate for piloting but not the entire study; generalisations cannot be inferred; researchers have too much reign for interpretation; and almost anything can be deemed a *case study* in the absence of a better term (Flyvbjerg, 2006; Tight, 2010; Yin, 2013). This study is clearly open to these critiques.

The discussion thus far has already addressed some of these criticisms, and this penultimate section outlines steps taken to address this study's more specific threats. Judging by the broader literature, whatever justification is given here it is unlikely to satisfy all. Nevertheless, the purpose of this section, and Chapter Three, is to provide an open and honest account of the research process that clearly communicates reasoning behind decisions.

First, some definition or understanding of validity or rigor should be given. Whilst the *hard sciences* have used terms like generalisability or external validity, internal validity, construct validity, objectivity and reliability (Anney, 2014; Creswell & Poth, 2017; Groat & Wang, 2013; Yin, 2013), Guba published an equivalent that was thought more suitable for naturalistic enquiry (Guba, 1981). Instead, *trustworthiness* could be assessed through credibility, authenticity, transferability, dependability and conformability with in-practice strategies suggested for each (see Table 2).

Zachariadis et al (2013) also consider which standards are applicable in a critical realism study. In a similar vein, Creswell and Miller (2000) posit nine strategies for *validity* matched to

a research paradigm as well as perspective. That is, through whose lens is rigor or quality judged: the researcher, the participant or an external auditor? Morse (2017) on the other hand distinguishes (within qualitative practices) between hard, descriptive data and soft, interpretive data that are subject to their own *validation* and *verification* methods respectively. Creswell and Poth (2017, p. 449) veer from the term 'verification' because of its 'quantitative undertones'.

It could be argued the particular standards and methods by which one assesses research validity -in design, execution, collection and analysis, interpretations and conclusions- is dependent on the study's philosophical underpinnings (Creswell & Poth, 2017; O'Reilly & Parker, 2013). Thus, importing strategies to heighten rigor uncritically is not recommended. Nevertheless, basic tenets or considerations for good work are shareable and applicable across many research endeavours (Zachariadis et al., 2013).

Given the variety of perspectives, an all-encompassing and succinct definition feels out of reach. Nevertheless, I argue that data collected, and subsequent inferences, are all subjective renderings of a phenomena (Bazeley, 2013; Guillemin & Gillam, 2004). Whether intentioned or not, the products and process of data collection and analysis are tainted by personal biases, beliefs, experiences, politics, actions and thus presented through the 'eyes and cultural standards of the researcher' (Berger, 2015, p. 221; Maxwell, 2008). Whilst the rationalists or positivists may seek a level of abstraction, I lean toward the naturalist paradigm's recommendation for reflexivity whilst accepting the researcher as instrument (Guba, 1981).

Validity therefore can be defined as 'how accurately the account represents participants' realities of the social phenomena and is credible to them' (Creswell & Miller, 2000, p. 125). Therefore, I have been concerned with heightening accuracy of descriptive data and ensuring, as best as possible, interpretive data is as close to the participants' accounts, as opposed to my interpretation. Several strategies were adopted from literature and are described below alongside some challenges and limitations experienced. Further reference to strategies to enhance quality are peppered throughout the following chapter's discussion on *tactics*.

Qualitative; Naturalistic Paradigm	**Quantitative; Rationalistic Paradigm**
Credibility	→ Internal Validity
A holistic approach to research that considers phenomena in their situated complexity. Naturalists are anti-reductionist eschewing abstraction of particular variables, thus considering all factors, relations and connectedness bearing on the phenomena (Groat & Wang, 2013; Guba, 1981). Credibility also references the truthfulness of inferences i.e., the extent to which conclusions mirror participants' interpretations.	The extent to which a study can establish a cause and effect relationship between variables (Yin, 2013; Zachariadis et al., 2013); the extent to which instruments are capable of measuring concepts under study (Groat & Wang, 2013); and the extent to which rival explanations are eliminated (Druckman et al., 2011). Applicable to explanatory case studies; not applicable to descriptive or exploratory (Yin, 2013).
Strategies: Triangulation, member checks, prolonged engagement in the field, persistent observation, peer debriefing, collect referential material, establish referential adequacy, establish structural corroboration across data sources (See Anney, 2014; Groat & Wang, 2013; Guba, 1981). Guba's (1981) 'minimums that should be required of naturalistic investigators': triangulation and member checks.	
Transferability	→ External Validity
The equivalent of generalisability; the extent to which inferences can be applied or 'transferred' to other contexts. A suggested strategy is 'thick description'; necessary in order to be confident the other circumstances are relatively similar to allow comparison and transferability of findings from one circumstance to the next (Groat & Wang, 2013).	The extent to which a study's results can extend beyond the circumstance observed. If the inferences are true across sites, the study's findings are generalisable. Question posed: are the results applicable to another instance? Under which 'contextual constraints' would the result be 'valid'? (Groat & Wang, 2013; Yin, 2013).
Strategies: Collect and develop thick, descriptive data, purposeful sampling (Anney, 2014; Guba, 1981). Guba's (1981) 'minimums that should be required of naturalistic investigators': thick description.	
Dependability	→ Reliability
The extent to which there is consistency within the data and all inconsistencies, contingent factors or changes within the research setting are recorded (Zachariadis et al., 2013). Naturalist researchers should account for 'instabilities arising either because different realities are being tapped or because of instrumental shifts stemming from developing insights on part of the investigator-as-instrument' (Guba, 1981, p. 86).	Reliability aims to limit bias and error, and ensure instruments do not have 'measurement error' (Zachariadis et al., 2013, p. 6). It is concerned with the instruments and their capacity to 'produce stable results' (Guba, 1981, p. 81). The aim is to be able to repeat the study (i.e. a researcher adopts the same procedures described in an earlier study) and produces the same results (Yin, 2013).
Strategies: Maintain and audit trail (Guba, 1981). Guba's (1981) 'minimums that should be required of naturalistic investigators': audit trail.	
Confirmability	→ Objectivity
Naturalists believe the 'knower and the known are not completely independent' therefore do not strive for objectivity (Anney, 2014). Rather, findings exist because there is a relationship between the researcher and phenomena (Denzin & Lincoln, 2011). Therefore, the objective is to ensure findings could be confirmed or corroborated by other researchers; thus, indicating conclusions are drawn from data not solely the researchers' interpretations (Anney, 2014, p. 279)	Rationalists believe the 'knower and known are independent' (Anney, 2014, p. 276). Thus, the goal is to minimise, or rather completely exclude, the bias and the researcher's influence on the process, which can be achieved through careful management of the process (Groat & Wang, 2013; Guba, 1981)
Strategies: Triangulation, practice reflexivity, (Anney, 2014; Groat & Wang, 2013; Guba, 1981). Guba's (1981) 'minimums that should be required of naturalistic investigators': triangulation and practicing reflexivity.	

Table 2: Quality Standards in Research

2.5.1 Triangulation

This is generally a well-accepted practice: use multiple accounts to understand a single phenomenon (Maxwell, 2008). Although criticisms are available, triangulation has been a salient, evolving concept (see Flick's (2017) description of Triangulation 3.0). Originally cited as a strategy to enhance reliability, it is now about achieving comprehensibility (Flick, 2017; Morse, 2017). More nuanced, layered accounts are being sought; findings should derive from diverse empirical sources that have been analysed multiple ways. The 'metaphorical image of a crystal' has been used to describe the different angles from which to view phenomena (Creswell & Poth, 2017, p. 449). There are several approaches i.e., triangulation of sources, methods, theories and investigators.

I relied on multiple sources (i.e., people, events, documents), methods (i.e., document review, content analysis of CMP, AI or MP outputs, semi-structured interviews, QGIS analysis, participant observations and surveys), and investigators (i.e., two researchers used for part of Stage Three).

In brief, using one source, one method and one investigator would not meet the challenge for quality research just described, and likely run the risk of producing researcher-biased findings. A second researcher was recruited for part of Stage Three. Both were able to analyse observational data and confer on emerging conclusions, which serves as a 'reality check on your own interpretations' (Bazeley, 2009, p. 7).

Further, multiple sources and methods were useful in Stage Two. QGIS analysis was necessary to produce new *objective* information on CMP, AI and MP application in the absence of an initiative-compilation. Additionally, relying on document review and content analysis of CMP, AI and MP output would have provided a narrow historical narrative. Interviewees with CMP, AI and MP involvement offered a more critical, *subjective* account, and also shed light on developments that led to the exemplar Charrette Series and local professional attitudes at the time (see Chapter Six). Typically, this information was not available in official reports; thus, triangulating sources and methods were complimentary, leading to a more comprehensive account.

However, I was not able to apply different theories in the analysis process i.e. analysing the same data with a different theoretical framework (see Flick, 2017). One limitation of this work can be traced to my limited analytical experience. Although, I did heed advice to avoid 'garden path analysis' (Bazeley, 2009, p. 8) and move beyond simple theme-finding. Perhaps a broader researcher team and greater experience would help facilitate this in future work.

2.5.2 Member Checks

There are ample references supporting the idea of returning transcripts and checking emerging inferences or study conclusions with research participants (Creswell & Miller, 2000; Creswell & Poth, 2017; Groat & Wang, 2013; Guba, 1981; Maxwell, 2008). It is thought to be the 'single most important way of ruling out the possibility of misinterpreting the meaning of what participants say' (Maxwell, 2008, p. 25/36). Rigor and quality are judged not through the researcher, but the study's participants (Creswell & Poth, 2017).

On the other hand, Morse (2017) is a little more critical. This strategy for validation could be applied wrongly to soft, interpretive data. If accuracy is sought there may be other means; for example, cross-checking other sources, second interviews or focus groups for analysis purposes. Further, if findings are shared participants may 'not appreciate the theoretical development of the study' and fail to identify 'their own data' (Morse, 2017, p. 812). Thus, posing a challenge for the researcher -should one revisit the analysis?

Evidently, there are arguments to support either choice. I used member checks with all interviewee data i.e., all interviews were transcribed[11] and returned to participants. Amendments were reflected if requested; however, participants appeared to be concerned about how they came across during the interview rather than correcting misinterpreted details. Only in Stage One's expert review were transcripts and inferences shared, because the purpose of experts' input was to aid methodological development.

[11] I referenced Bazeley (2013) for transcription guidance. The intention was to 'be as true to the conversation as possible, yet pragmatic in dealing with the data' (Bazeley, 2013, p. 73). Therefore, some editing was applied and digressions with little value to the topic were omitted from the transcript. However, for the most part, hesitations and pauses were noted; comments were included to explain non-verbal communication; and sentences reflected conversation. Therefore, text was not *tidied-up* and did not read as grammatically correct sentences.

Transcribing interview data was a time consuming albeit necessary step. However, the process of formatting and relaying transcripts then receiving and later reflecting amendments was an extremely laborious process, which I admittedly underestimated. Perhaps, feeling a self-imposed pressure for rigor I was keen to minimise bias and error in my first advanced and independent research project. On reflection, with more experience and confidence future research may benefit from using other ways to ensure accuracy than what was carried out here. Nevertheless, I am confident errors have been weeded out and maximum effort spent on safeguarding transcripts from misinterpretation.

2.5.3 Peer Debriefing

Taking a step back and allowing fresh (external) perspectives to question one's developmental thinking is a recommended strategy for enhancing a study's credibility (Bazeley, 2009; Creswell & Miller, 2000; Guba, 1981). Given this is my first advanced, independent research project, fellow doctoral students often lent an ear and engaged in conversation about emerging themes and how interpretations were being developed.

As aforementioned, a second researcher -a fellow doctoral candidate- was brought in for part of Stage Three. A second perspective was extremely useful in the field as well as post data collection. For example, during CMP events the participant-observer role at times unexpectedly favoured participant over observer. Thus, restricting opportunities for note taking. A second researcher was able to fill-in-the-gaps. Back at the office, interpretation development depended on both researchers discussing comments, thoughts and their reactions to the observations recorded.

2.5.4 Thick Description

Although thick description alone is not enough (Bazeley, 2009), it is a strategy often recommended for the 'transferability' standard. This is the equivalent of external validity in the positivist paradigm, which is concerned with generalisations (Anney, 2014). Under the naturalist paradigm, 'Thick description of context to assess similarity' is needed to know whether transferability is plausible (Groat & Wang, 2013, p. 81). For example, thick description may reveal several contexts share a number of characteristics. Therefore, it may be

reasonable to suggest findings from one context are likely to be found in another. Closer to home in participation literature, evaluators need to be mindful that 'distinctions can be made between different types of collaborative efforts' (Conley & Moote, 2003, p. 377). Therefore, straight-up comparison is illogical if PE A does not share the goals, context and process characteristics of PE B.

Critical realism is concerned with a version of internal and external validity (Zachariadis et al., 2013), and RE consider enabling and disabling contexts alongside generative mechanisms to build causal explanations (Pawson & Tilley, 1997). This study cannot claim to be a strict example of RE; hence described earlier as sitting somewhere between grey and clear box evaluation. Nevertheless, Stage Two's output (i.e., a case characterisation tool presented in Chapter Eight) provides a thick description that is anticipated to support future RE-inspired studies.

The case characterisation tool enables comparison; for example, studies could identify cases that share similar goals as well as process and context characteristics. Thus, through qualitative case comparison one could build an understanding of findings that are likely to be experienced across a range of contexts and process-types.

2.5.5 Practice Reflexivity

Reflexivity is a well-known concept in qualitative inquiry; it is one of Guba's 'minimums' for the confirmability standard (1981). Unlike the positivist paradigm, objectivity is not sought nor thought possible. Reflexivity, in a nutshell, is perhaps shining a critical lens on one's own practices, examining the processes generating interpretations, and interrogating conduct for its ethical standing. Often cited keywords include disclosure, self-knowledge, self-awareness, responsibility, situatedness and sensitivity (Berger, 2015; Creswell & Poth, 2017; Guillemin & Gillam, 2004; Palaganas et al., 2017).

Although typically associated with validity and enhancing rigor, others suggest it is equally relevant to ensure procedural ethics extend beyond the page. All university-led studies

involving human participants require ethical approval[12], which is often a formality but requires thinking about individuals' welfare. Reflexivity can extend this thought beyond the application process by encouraging researchers to think about and prepare for 'ethically important moments' whilst in the field (Guillemin & Gillam, 2004)

Literature offers some tips and tricks to help practice reflexively. Although, it is not something to be applied but rather a continual cross-examination or an 'internal dialogue and critical self-evaluation' (Berger, 2015, p. 220). Nonetheless, literature recommends writing early (Bazeley, 2009); maintaining a log, research diary or an audit trail (Bazeley, 2009; Berger, 2015; Hsieh & Shannon, 2005; Morse, 2017); disclosing one's self to the reader (Creswell & Miller, 2000; Creswell & Poth, 2017); and offering a transparent explanation of the processes adopted (Palaganas et al., 2017).

Earlier, I shared a short personal history linking past experiences to this study. This chapter and next is a deliberately bare-all account; thus, airing reasons, decisions, procedures and limitations. In addition to this, a personal bias had to be acknowledged and should be shared here. Literature review and personal experience in the MArch programme, exposed me to critical and negative perceptions of formal participation and its lack of efficacy in practice. Therefore, this predilection to render formal participation somewhat ineffective tainted emerging interpretations.

For example, after using a deductive approach to coding observational data and assigning excerpts to bins or buckets (in Stage Three), I observed assumptions that supported a negative rendering of one charrette project's procedural steps. Admittedly, I was more inclined to identify and use data to support this hunch. Below, I have shared a lightly modified excerpt from one of my analysis documents named 'Observation Analysis -Maintaining and Chain of Evidence':

[12] Before data collection started, I received ethical approval from the Department Ethics Committee. This study did not meet criteria listed in Section 1.1 or Section 1.2 (RKES, 2008) and therefore was not considered by the University Ethics Committee.

Bucket: Outreach and Recruitment	Observational Data
Good Practice Standard: various means to build awareness and secure involvement via existing and non-existing means.	[source, observation schedule] They (i.e., CMP commissioners on Month, Date, 2017) discussed recruitment of charrette participants. Individuals X and Y discussed one person in particular. Neither were sure if this individual had been contacted or whether their contact details were available. Both thought it might be too late for outreach and the CMP event had 'crept' up on them. *Thoughts: Appears an outreach strategy had not been pre-agreed or at least unclear to charrette managers on either on CT or DT side.*

Table 3: Bucket: Outreach and Recruitment

I became increasingly aware for the need to thwart a tendency to easily accept negative accounts in developing interpretations. Thus, making a deliberate and conscious effort to cross-check against other data sources, use follow-up enquiry through interviews and member checks to reduce error, and the potential to produce an unfair description. Therefore, stepping back and questioning whether reactions and thoughts were justifiable encouraged me to interrogate inclinations further (including through other data sources) before developing a more accurate interpretation.

Chapter Two Conclusion

Given research within architecture is somewhat newer than other fields and disciplines, the objective of Chapter Two was always to provide a detailed account of the thought process behind this study. On beginning this journey, the distinctions and relations between research paradigms, theories, designs or strategies, methods and validity appeared tangled and, at times, incomprehensible. Especially, coming from what has been described as the *creative arts*.

In response, I have been committed to producing a clear account of not just the aims, objectives and procedures adopted (see Chapter One and Three), but also the thought processes informing those research decisions. This chapter intends to serve, situate and justify the research *design* and also serve students conducting research from a non-traditional discipline. The account is by no means all encompassing, however. If anything was disentangled, it was understanding research designs will and should vary. There is no script. Now I have set the scene across Chapter One and Two, the following chapter more narrowly describes what happened on the ground.

Chapter Three: Research Design and Tools

The previous chapter framed the study by outlining the adopted paradigm, or worldview; the narrower theoretical lens; the overall research strategy; ethics, limitations and steps to heighten rigor. Although some are very critical of paradigm talk (Gorard, 2010), broader literature often pairs a methods discussion within a framework something like the Matryoshka Doll analogy used earlier. The research process, and ultimately every decision within that process, is inescapably tied to researcher values and their situatedness (Guillemin & Gillam, 2004; Palaganas et al., 2017).

Therefore, both chapters are warranted; combined, they provide a full overview of my methodological development and execution. This chapter focusses on the final Matryoshka doll i.e., methods. It provides a detailed chronology of this study using three landmark stages to signal the major turning points. They are discussed in turn below and summarised in visual aids at the end of the chapter (see Table 9, Figures 9 and 10).

3.1 Stage One: Conceptual Framework

In short, Stage One used a) a literature review of 'existing theory' and b) examples of participation-evaluation (i.e. 'prior research') (Maxwell, 2008) to create a preliminary evaluation framework, which I anticipated using in the evaluation of one or more PEs (e.g., charrettes). Prior to live application, this framework was tested through a) an expert review and b) pilot test (Figure 4).

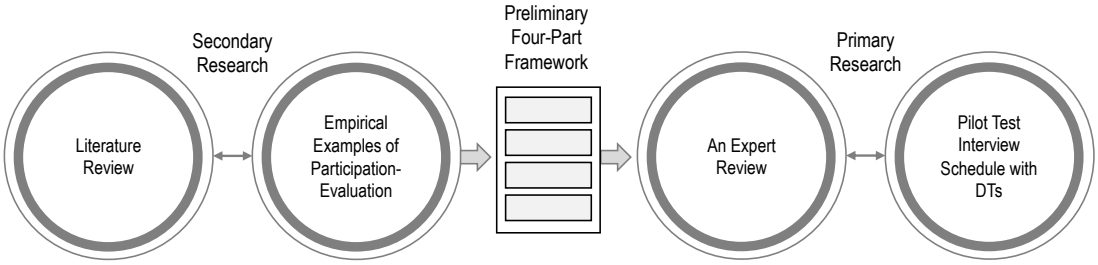

Figure 4: Visual aid describing process of Stage One

Rowe and Frewer (2004) was a key source at Stage One. Simplified, the authors offer a three-step process for participation evaluation: define effectiveness, operationalise the definition

(i.e., methods selection) and lastly conduct evaluation. Recognising 'No single tool exists to assess the effectiveness of public participation' (Cunningham & Tiefenbacher, 2008, p. 841), many researchers build on existing studies to formulate frameworks, which guide their evaluation. Goals, hypotheses or claims about participation's potentialities are readily available in literature, which form the basis of many criteria lists (Blackstock et al., 2007; Bond & Thompson-Fawcett, 2007; Brown & Chin, 2013; Laurian & Shaw, 2009).

Therefore, starting with a review of a) relevant theories in participation literature and b) examples of empirical participation-evaluation (see Chapter Four), a four-part evaluation framework emerged. Conscious of the interconnected parts of a PE, the emerging framework deconstructed the PE into four stages: convening, process, outputs (or immediate products) and outcomes or effects. Criteria were derived for each section (see Chapter Five).

Broader literature recommends case study methodology as the most appropriate means for participation-evaluation (Beierle & Cayford, 2002; Conrad, F. Cassar, et al., 2011). My analysis of empirical articles found the same recommendation (see Table 12, Chapter Four), and I expected the framework to structure data collection and analysis. However, before further methodological decisions were made, I carried out an expert review and pilot test. I recognised criteria derived from theory runs the risk of omitting concepts most important to PE affiliates. On the other hand, criteria lists may be entirely locally derived; thus, inappropriate for different scenarios (Kangas et al., 2014).

Therefore, tapping into a wider professional network for their expertise and gathering 'situated accounts' (Zachariadis et al., 2013) (from those with CMP, AI and MP involvement) was conducted to better contextualise the preliminary evaluation framework. Further, these exercises helped thwart personal bias in criteria selection. Situated accounts, gathered through the expert review and pilot test, shone a light on values held by a wider group of professionals working in the field.

3.1.1 Expert Review

Consulting experts was a preliminary step in the research process; therefore, the expert review was small-scale, targeted and not the core of my doctoral project. The objective was not to conduct an in-depth study into attitudes toward participation-evaluation; rather, it was to

collect quality pieces of advice pertaining to the emerging participation-evaluation approach from a small, yet experienced, group of experts.

I sought advice from a) established academics in the field and b) community engagement practitioners within the study context (see Table 4 for selection criteria). It was important 'experts' from the study context were involved to help identify and prioritise relevant evaluation criteria. It was anticipated the other group of 'experts' would lend their international expertise and offer lessons-learned through their own experience in delivering and/or evaluating PEs.

	Academic	Practitioner
Experience	Prominent figure within the field of community / social architecture and/or experience in participation evaluation research.	Senior architect and/or independent consultant that has worked as a lead and/or subconsultant in a charrette (or similar).
Availability	Willingness to provide written and/or oral feedback following receipt of the emerging evaluation framework within a given timeframe.	Willingness to provide written and/or oral feedback following receipt of my emerging evaluation framework within a given timeframe.
Geography	Academics with United Kingdom and/or international experience of delivering participatory design processes and/or evaluation of participatory design processes.	Practitioners with direct experience of Scotland's CMP; for example, DT member and/or an experienced client.

Table 4: Expert Reviewer Selection Criteria

Ten academics and/or practitioners were contacted via email, which included a short introduction, a brief overview of my doctoral project and a request for involvement based on their expertise. In total, six experts responded accepting the invitation to participate: four academics and two practitioners. Others did not respond to initial or follow-up requests, another agreed but was later unable, and another could not commit to the suggested timescale.

Participants were contacted subsequently, via email, with a copy of the emerging evaluation framework (see Chapter Five). The email attachment included a *participant information sheet* as the introductory page and experts were asked to insert feedback considering criteria appropriateness, in comment boxes provided. Alternatively, face-to-face meetings, telephone or skype interviews were offered if preferred. Three reviewers provided written feedback, whilst two academics opted for a skype and/or telephone interview.

To ensure accuracy and rigor, interview data were either recorded and transcribed, or summarised and shared for review. A face-to-face interview was arranged with one local practitioner who consented to a recording and similarly received an interview transcript for review. Once all comments were received and audio was processed into transcripts or summaries, an inductive, grounded or traditional approach to content analysis (Hsieh & Shannon, 2005; Yin, 2013) was used to generate six advisory themes:

Advisory Theme	Explanation
Additional References	Methodological development could benefit from additional reading sources.
Characterisation	The evaluative tool should account for project and context particulars.
Evaluation Purpose	Evaluation purpose must be explicit and distinguished from other evaluation studies.
Format	Format revision recommended; include a visual aid highlighting distinguishable but interrelated stages of the PE.
Revise Terminology	Overuse of terms; meanings / definitions unclear. Further, terms adopted from literature may lose meaning outside academic literature.
Criteria Revision	Some criteria are closer to meta-criteria; demonstrate how criteria may be operationalised.

Table 5: Six Advisory Themes

These themes have been collapsed into three 'discussions', which are presented in Chapter Five. Adhering to quality standards within the qualitative tradition (i.e., member checking), an anonymised summary of participants' contributions was fed back to all participating experts for comment. The objective was to maintain transparency and ensure accuracy by offering opportunities to comment not only on transcripts, but my interpretation of comments received. Expert reviewers had nothing further to add.

Experts were also advised how findings would be used in the production of a doctoral thesis and potentially in other research outputs. Informed consent was received and whilst three participants agreed to be named, pseudonyms have been used when explicit consent to waive anonymity was not received.

3.1.2 Pilot Test

There are several reasons for and ways to conduct a pilot test. A pilot test may be a replica of the intended main study; used to test an instrument; to gain confidence in using the intended interview schedule; gain experience and understand time required for data collection; or a pilot test could be used to get closer to the 'concepts and theories held by the people' within the

study (Bryman, 2016; Creswell & Poth, 2017; Maxwell, 2008, p. 227; Van Teijlingen & Hundley, 2001).

Based on Chapter Four findings, I anticipated some form of interviewing to support other methods typical of case-study methodology (see Yin's six sources of evidence (2013)). A pilot test was used to get closer to the insights shared among the CMP, AI and MP community - thus, informing the preliminary evaluation tool- and to gain experience in carrying out an interview. A pilot is recommended to those with little previous experience because interviewing is considered a *craft* (Creswell & Poth, 2017, p. 307), and can be a 'very demanding' data collection tool (Bryman, 2016, p.472). Its ubiquity implies ease, but Patton (2002) warns it is often conducted badly.

I imagined using face-to-face semi-structured interviews guided by the emerging evaluation framework; rather than unstructured, conversational interviews or highly prescript structured interviews. Semi-structured interviews are a middle ground i.e., flexible, entertaining digression but allowing interviewers with a fairly clear focus to address more specific topics (Bryman, 2016). The evaluation framework's criteria provided a basis for interview question development and offered a logical question order, starting with charrette set-up through to charrette outcomes. The specific objectives of the pilot test were to understand:

- What concepts were important to those that had lived experience of charrette design, management and delivery.
- Whether the interview questions, derived from theory-based criteria, tapped into the issues DT professionals thought were important to the charrette discussion.
- To what extent the interview questions could adequately collect information on the four charrette stages post-event.

With reference to CMP outputs, I identified several regular DT members (see Chapter Eight for Design Team Agency analysis). Keen to talk to professionals with extensive experience, two regularly referenced DT subconsultants were contacted. After initial contact, a participant information sheet, explaining the purpose of the interview in terms of its pilot status and role in this doctoral project, was shared. Subsequently, individual mock interviews were arranged, and interview schedules shared (if requested). Keen to mock the process entirely, the interview started with formalities as per the participant information sheet. For the purposes of the mock interview, interviewees were asked to think of one or two recent charrette

experiences when giving responses. Findings from this pilot test and expert review are discussed as part of Stage One findings in Chapter Five.

In summary, Stage One triangulated data from a literature review of theory and empirical examples of participation-evaluation, from which a preliminary evaluation framework was developed and subsequently tested through an expert review and pilot test. Maxwell (2008) suggests a conceptual framework can derive from personal experience, existing theory, prior research and pilot testing. Taken together, Stage One findings constitute this study's conceptual framework, which highlighted a need for additional research before any attempt at evaluating a Scottish charrette at the micro level.

3.2 Stage Two: Extensive, In-Breadth Case Review

Stage Two constitutes the additional research conducted prior to evaluating charrette cases in Stage Three. Whilst Stage One findings are discussed elsewhere (see Chapters Four and Five), I concluded the evaluation framework was too abstract and removed from the particular context in which it was to be applied. It lacked a means to describe project particulars across sites and did not yet fully appreciate the concepts, values, or expectations of those with Scottish charrette involvement. In response, I endeavoured to get closer to the CMP, AI and MP initiative through an extensive, in-breadth case review. As explained, the *case* -not the charrette cases- is defined as the Scottish Government led initiative that has (fully or partially) funded projects in either Charrette Series, CMP, AI or MP since 2010-2018/19.

Stage Two took the form of an implementation evaluation that was focussed on building a holistic picture of the initiative. With a particular interest in how this government-backed participatory model had been implemented and adapted across sites, Stage Two focussed on local diversity, adaptation, case-comparison, context and process characteristics. As Patton (2002, p. 165) suggests, a state-wide initiative is not likely to follow its original conception: 'implementation at the local level seldom follows exactly the proposed design'. The purpose of Stage Two's review was *knowledge development* and *learning* (Blackstock et al., 2007; Donaldson & Lipsey, 2006) of Scotland's charrette trend, rather than evaluating a single episode. Stage Two findings strengthened the evaluation framework given a case characterisation tool was developed, and more contextually appropriate criteria, to be used in Stage Three, were identified.

Clear on the purpose of Stage Two, a set of four narrower research questions were derived to guide data collection. To answer these research questions, one hundred and ten projects[13] (i.e., charrette cases) that fall under the bounds of the *case* were identified. To collect data on the *case*, the following methods or tactics were used:

- Document-review and archival records.
- Directed content analysis of CMP, AI and MP outputs.
- Semi-structured interviews.
- QGIS spatial analysis.

Data sources, collection and analysis techniques are described across chapter subsections 3.2.2 – 3.2.5. Chapter subsection 3.2.1 outlines Stage Two research questions.

Collectively, Stage Two constitutes a comprehensive review of the CMP, AI and MP initiative (between 2010-2018/19), which is presented across three empirical chapters (i.e., Chapter Six, Seven and Eight). It also provides a *characterisation* that addresses deficits in the preliminary evaluation framework (see Chapter Five for an expanded discussion).

3.2.1 Stage Two Research Questions

Q1. Why did the Scottish Government decide to trial and then support the charrette model in the context of spatial and community planning?

As discussed in Chapter One, citizen participation is a salient concept rooted in over fifty years of British legislation (Brownill et al., 2019; Brownill & Inch, 2019; Inch et al., 2019; Jenkins et al., 2002). However, participation-evaluation is often absent, and little empirical research was available on Scotland's charrette trend. Interest in Scotland's participatory practices has been mounting alongside questions around the charrette's democratic credentials (Alwaer & Cooper, 2019; Bond & Thompson-Fawcett, 2007; Hunter, 2015; Kennedy, 2017; MacLeod, 2013; Onyango & Hadjri, 2010; Pacione, 2014; Scottish Government, 2019a). Additionally, early research findings suggested taking a step back and

[13] I originally identified projects from Charrette Series (2010) to 2015-16 as part of Stage Two (see Kennedy, 2017). Stage Three data collection identified charrette cases in the CMP's 2016-17 round. To ensure Stage Two was up-to-date and as thorough as possible AI, MP projects commissioned in 2017-18 and 2018-19 were added concurrently.

exploring *why* and *how* the charrette was introduced to Scotland was important for describing the *case*.

An answer to this question can be found in the first section of Chapter Six, which presents an historical narrative derived from a) literature and document review, and b) interviews with public and private sector professionals with lived experience of the Charrette Series and early CMP projects (see below for a discussion on interviewee sampling).

Q2. How do CTs, DTs and initiative commissioners describe their rationales for using a charrette?

This question was posed for two reasons. First, understanding the motivation(s) for charrette commissioning are needed for evaluation research design (Conley & Moote, 2003; Wesselink et al., 2011). Second, PEs unpack within their own 'specific histories and geographies' (Professor Healey, personal communication, 2017) that needed to be reflected in evaluation design. Thus, this questioned endeavoured to better understand what had led to the charrette's Scottish introduction and subsequent roll-out.

To answer this, I relied on document review, directed content analysis of CMP, AI and MP outputs and semi-structured interviews. For the latter, I prepared a loose interview schedule, which explored the charrette's Scottish history:

- How was the charrette mechanism introduced to Scotland?
- What was the objective for the CMP?
- Why use a charrette?
- On what basis was the CMP expanded to enable more projects?

A combination of deductive and inductive analysis was used by first identifying three often cited rationales for involving citizens and stakeholders: instrumental, substantive and normative (Fiorino, 1990). These categories became initial codes, which data excerpts were assigned to if sentiments echoed the definition. After this initial combing for broad themes, the categories were revisited to find inductive sub-themes. Four sub-themes were derived under the instrumental category; two under substantive; and three under normative.

Reflecting ambivalence and nuance is often cited as one validity-enhancing strategy in qualitative research given phenomena are more often complex, rather than fitting entirely into one pattern or theme (Antin et al., 2015; Creswell & Poth, 2017). Therefore, Chapter Six presents a discussion, framed by these three themes, to reflect the nuance amongst

interviewees' thoughts around charrette commission and/or promotion. Table 6 demonstrates my analytic approach.

Q3. How have successful CMP, AI or MP award recipients used their funding grant?

The National Charrette Institute [NCI] and broader literature describe procedural charrette characteristics and scenarios it has been applied (Batchelor & Lewis, 1986; Lennertz & Lutzenhiser, 2017). Since the exemplar series in 2010, there is little collated information made available on how Scotland has adapted and employed this practice. Therefore, this study explored its application to date; thus, generating new knowledge on Scotland's current practices into community and stakeholder engagement in community and spatial planning processes.

Chapter Seven (and Appendix B) stand as an independent archive of the CMP, AI and MP initiative referencing cases from 2010 to 2018/19. Keen to gather the same amount of data per project, an eight-field framework guided data collection: 1) CT details, 2) DT details, 3) Urban / Rural Classification, 4) Study Area / Boundary, 5) Project Focus, 6) Project's Relation to Planning, 7) Post Project Developments and 8) References.

These eight fields were inspired from earlier (Stage One) analysis of thirty-five examples of participation-evaluation (see Chapter Four), which highlighted distinguishable PE characteristics. These characteristics provided a framework to analyse charrette application across Scotland. Findings derive mostly from *directed* content analysis of case outputs and QGIS spatial analysis. Chapter Seven starts with a summary of where projects place across Scotland. For example, showing whether the initiative has worked in a) communities evidencing deprivation and b) in rural or urban areas. The remainder of Chapter Seven shares an example of the more detailed information collected, on each of the eight fields, per CMP, AI and MP project. For readability purposes, the outstanding analysis is shared in Appendix B.

Interview Data *Output Data*

	CMP, AI & MP Management Experience	Leading Design Teams	Experienced Client Team	Earlier Charrette Series / CMP Experience	Critical Observers	CMP, AI or MP Outputs
Deductive Instrumental	[Participant C] So, there's a speed element to it. Hopefully, you've got all the opinions that are required in one place at one time.	[Participant L] We've seen people come around from that [i.e., opposition] quite strongly [Participant J] in the end-up they agreed on five hundred homes because they needed to accept…	[Participant P1] under the Empowerment Act we would have to publish our Local Outcome Improvement Plan [LOIP]. Also, under that legislation there was a requirement to do something with Locality Plans [LP] [Participant Q1] so it was to ...drive some of that forward and bring people on board.	[Participant D] The reason for that is because of the government's agenda around co-production, assets, and you have to work with that…	[Participant I] We use the charrette as a picture of things how might be. That's also a powerful tool, but we go there too quickly, with too little data and too little responsibility.	[Helensburgh Report] Funders will often look for applicants to demonstrate need or demand for their project ...this report could provide an evidence base for this.
Substantive	[Participant C] So, you'd hope what the charrette is, is ambitious but realistic [Participant G] The charrette process as a way of stimulating better design and place making	[Participant H1] Can give consensus and give focus and drive to a particular issue… [Participant L] It's a good way of bringing people together and try to achieve a consensus [Participant I1] I really believe in ...the idea behind the book, The Wisdom of Crowds	[Participant D1] People coming out the woodwork asking, 'how can I get involved?' [Participant P1] We've said, if you are contacted by [the] DT please make space for them... that way we'll get a better result	[Participant H] It's actually bringing NHS, Forestry Commission and Transport -they don't normally talk to each other either [Participant D] Good to get an injection of creative thinking into sometimes quite a dull and prosaic planning processes	[Participant E] They say you're the expert but then they don't value that expertise. They demean it by creating games where the information you get off people is not that useful	[MP Respondent 15] It also gave us insight to their aesthetic tastes, what aspects of their environment they would value and prioritise

Inductive

- Implicit Practice
- Support Implementation
- Policy Fulfilment
- Collaborative Arrangements

- Better Quality Outcomes
- Power to Convene

	Interview Data					*Output Data*	**Inductive**
	CMP, AI & MP Management Experience	Leading Design Teams	Experienced Client Team	Earlier Charrette Series / CMP Experience	Critical Observers	CMP, AI or MP Outputs	
Normative	[Participant M] So the direction for the middle [of the MP initiative] was the minister's desire to see something wider and more inclusive… [Participant G1] The idea with that is getting the community more involved ...and making it feel like they own it too.	[Participant H1] To make them [i.e., citizens] aware this is a welcoming environment for everyone to come to.	[Participant Q1] That's what we wanted to do: give people an opportunity to address [that], and ask what are the key priorities?	[Participant O] Provide a dynamic environment within which residents can put forward their ideas and aspirations for how the local area should develop over the coming years.	[Participant F] So, you generate participatory events which ensure you don't get that. You look at times of day and in places where they never go	[Carnoustie Report] Provision of free community transport on the days of the events [Tranent Report] to allow as many people and groups to participate as possible… [MP Respondent 15] gave them a say in the future of their town centre.	→ • Equitable Access • Procedural Norms • Social Capacity; Influence

Table 6: Example of Deductive and Inductive Data Analysis Technique

Q4. At a local level, how similar or dissimilar are charrette applications across Scotland?

Chapter Eight distils Chapter Seven and Appendix B's findings by characterising CMP, AI and MP project traits. I triangulated interviewee data, QGIS spatial analysis and content analysis of case outputs with broader literature to discern characteristics of formal participatory practices in Scotland.

In line with broader literature, I framed characteristics under three headings: *context*, *process* and *objectives, outputs and outcomes* (See Hassenforder, Smajgl, et al., 2015; and Chapter Nine's fuller discussion). The case characterisation tool paves the way for future evaluations as the comparability of cases will be more feasible if data is gathered across each of the three fields.

Table 7 provides an overview of Stage Two research questions, methods and answer locations.

Overarching Research Question:	*How effective is a Scottish charrette at delivering an inclusive, participatory process in community and/or spatial planning processes?*				
Stage Two Research Questions	Methods				Answer Location in Thesis
	Document Review	Content Analysis of Outputs	Semi-Structured Interviews	QGIS Spatial Analysis	
Q1. Why did the Scottish Government decide to trial and then support the charrette model in the context of spatial and/or community planning?	✓		✓		Chapter Six explores the initiative's history and underlying rationales, as well commissioners' and facilitators' reasons for choosing to use and/or deliver a charrette-type project.
Q2. How do CTs, DTs and initiative commissioners describe their rationales for using a charrette?		✓	✓		
Q3. How have successful CMP, AI and/or MP award recipients used their funding grant?		✓	✓	✓	Chapter Seven and Appendix B present a comprehensive overview of CMP, AI and MP project application. A short bio for almost all projects commissioned between 2010-2018/19 is presented.
Q4. At a local level, how similar or dissimilar are charrette applications across Scotland?		✓	✓	✓	Chapter Eight derives context, process and outcome characteristics of CMP, AI and MP projects.

Table 7: Research Questions, Data Sources and Answer Locations.

3.2.2 Document Review and Archival Records

Relevant Scottish Government reports included:

- Scottish Sustainable Communities Initiative -Report (Scottish Government, 2009b)
- The Scottish Sustainable Communities Initiative: Charrette Mainstreaming Programme (Government, 2011)
- The Charrette Series (Scottish Government, 2010)
- Scottish Sustainable Communities Initiative: two years on (APS Group Scotland, 2011b)

Document review was a good starting point that helped to gain traction on Scotland's charrette trend. Most documents were publicly available and easily retrieved. A sequential sampling approach was adopted; therefore, the sample of documents gradually grew over the research process (Bryman, 2016, p. 410).

At the time of data collection, some records were no longer publicly available. Therefore, significant time was set aside for document and archival retrieval. Launch material (i.e., prospectus and CMP, AI and MP applications) and award details were requested and supplied in kind from the Scottish Government. Documents that were not publicly available have been treated as personal communications and referenced as such. Altogether, document review helped map the charrette's Scottish evolution (Stage Two Research Question One) and derive differentiating characteristics (Stage Two Research Question Four).

3.2.3 Semi-Structured Interviews

As Yin (2013, p. 110) notes, interview data plays 'one of the most important sources of case study evidence'. Typically, qualitative studies rely on purposive sampling strategies (Bryman, 2016). Given document review and directed content analysis of outputs were happening concurrently, four possible interviewee groups were identified. The objective was to 'ensure as wide a variation as possible' in the sample to include multiple perspectives (Bryman, 2016, p. 409; Creswell & Clark, 2011). Each group differ in their role or relationship to the charrette:

1. Public sector officials with CMP, AI and MP initiative management experience.
2. CT members: applicant, charrette project proposer.
3. DT members: professionals managing, delivering and reporting on charrette projects.
4. CMP, AI and MP participants.

Given participants varied from site to site and CMP, AI and MP outputs do not always provide community or stakeholder details, this was not a feasible group to sample for Stage Two. Although, excerpts from 'participants' in Stage Three have been presented in Stage Two chapters.

Individuals within the first, second and third group were easily identifiable with publicly available contact details. In addition to these three feasible-to-sample groups, the sample and criteria for sampling shifted as data collection progressed (see Figure 5). Interviewees recommended contacting those involved in the CMP's early days (i.e., The Charrette Series) and professionals more outwardly critical of Scotland's charrette trend. The former group helped answer Stage Two's first research question, shining a light on the initiative's introduction to Scotland. Yin (2013, p. 111) warns against overreliance on 'key informant[s]', recommending 'other sources of evidence' and seeking interviewees who may be able to offer 'contrary evidence'. Therefore, the latter group maximised variation among the perspectives presented.

The first group (Scottish Government employees with CMP, AI and MP initiative management experience) was small; four of the five interviews sought were secured. With (then) fifty-two CMP charrette cases[14] comprising the *case*, decisions on sampling had to be made regarding *who* and *how many* to contact for Stage Two. Concerning *who*, CT individuals involved in two or more successful charrette commissions were contacted for interview as they were considered *experienced*. Starting with the Pilot Interviews, snowball sampling gave direction on who to contact among CT and DTs. Members of the rather small Scottish charrette community (see Chapter Eight's analysis) were very helpful in making introductions. I sought interviews with those regarded, anecdotally, as members of a *leading* DT firm and/or those with extensive DT subconsultant experience.

Deciding how many interviews (i.e., sample size) is one of the biggest challenges in qualitative research: often, researchers struggle to know what *enough* looks like. I also found this difficult as I looked ahead planning Stage Three interviews that would likely include DT and CT

[14] As explained, the case was originally defined as charrette cases within The Charrette Series (2010) to CMP round 2015-16. I started Stage Three data collection in the initiative's 2016-17 round. The number of projects cited as part of Stage Two grew from fifty-two to one hundred and ten as subsequent projects were commissioned and included in Stage Two analysis. Section 3.3 below describes this in full.

members. Given a small professional network, crossovers were thought likely. Bryman (2016) cites academics that have posited acceptable numbers of interviews; however, there is no firm consensus. One way of recognising 'enough', lies in reaching *saturation*[15]. Data saturation implies nothing new is gleaned from new data as researchers begin to notice 'informational redundancy' (Saunders et al., 2018)[16]. This strategy is often regarded as the *gold standard* in qualitative studies (Francis et al., 2010; Morse, 2017; O'Reilly & Parker, 2013; Saunders et al., 2018), and if left unaddressed threatens research credibility (Fusch & Ness, 2015).

On the other hand, O'Reilly and Parker (2013) suggest saturation, as a means to judge the adequacy of a sample, has been adopted rather uncritically. It is not always appropriate and falling short of saturation attainment does not undermine one's findings but suggests future research may be warranted. Saunders et al (2018) suggest it should be seen as a 'degree'; not 'attained or unattained'. Furthermore, saturation, as a hallmark for quality, is often cited yet transparent demonstrations (or guidelines) outlining how it was or can be reached are often absent (Bryman, 2016; O'Reilly & Parker, 2013).

Transparency is a cornerstone of quality research (O'Reilly & Parker, 2013). Therefore, the below describes my thinking around sampling. Thirteen interviews were earmarked for the purposes of Stage Two only. However, Figure 5 shares an overview of all interviews conducted as part of this study indicating their use in the First, Second or Third stage. Nineteen interviews (see light grey boxes in Figure 5) earmarked for Pilot and Stage Three also shed light on Stage Two research questions. As mentioned in Chapter Two, research is messy and iterative; it would have been nonsensical to ignore data collected as part of the Pilot and Stage Three as it married discussions emerging from Stage Two.

Therefore, to best answer Stage Two research questions I expanded the sample to include experienced CT and DTs interviewed as part of Stage Three. I used data collected from thirty interviews to answer Stage Two research questions, which is a relatively small number given the 110 commissioned projects and forty-eight regular DT firms identified (see Chapter Eight).

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[15] Saturation is often discussed in relation to interviews and focus groups, as opposed to other forms of qualitative data collection (Saunders et al., 2018).

[16] It is worth noting this is a narrow definition of saturation, and several definitions and distinctions exist; for example, between theory and data saturation. Refer to citations in main text for a fuller discussion. This study refers to *data* saturation.

The following short paragraphs explain why I felt this number, across five interviewee categories,[17] was sufficient.

3.2.3.1. Chasing a Lead:

Although suggested in some sources, I did not define a sample size a priori. Four potential interviewee groups were identified early. However, data from different sources was collected and analysed concurrently and the sample size expanded organically to maximise variation among perspectives engaged. Thus, I chased leads.

3.2.3.2. It is a Small World:

Pilot Interviews and directed content analysis of outputs showed a rather small, interwoven professional network operated Scotland's charrette scene. Those appointed as the primary DT sometimes worked as subconsultants, and vice versa. Further, some CTs enthusiastically embraced the charrette and commissioned several or more. Therefore, a small sample of professionals with leading DT and CT experience felt sufficient given a) the interconnectedness and overlap in experience and b) an interviewee tendency to cite multiple examples from different cases.

3.2.3.3. Rich Data:

Qualitative studies are interested in depth, nuance and detail. Other quality criteria for sampling considers whether participants are appropriate, and whether data is appropriately rich. Unlike the Pilot Interviews guided by the emerging framework, interviews here were much more loosely framed lasting (on average) ninety minutes[18]. I prompted interviewees until it was felt as much of their CMP, AI and MP knowledge and perspective had been exhausted within a timeframe that was acceptable to the interviewee.

[17] Five Categories: CMP, AI and MP initiative management experience; experienced DT; experienced CT; early Charrette Series and/or CMP experience; and critical observers.
[18] There was one extreme exception: the interview unexpectedly lasted over three hours with two design professionals. I was unaware a second interviewee would be joining and very thankful for their rich insights.

3.2.3.4. Striking a Balance:

The sample for directed content analysis of outputs included all outputs within the case remit (i.e., CMP, AI and MP projects funded between 2010 and 2018-19). Therefore, interview data was an in-depth supplement to a broader sample of CMP, AI and MP outputs.

3.2.3.5. Triangulating Data Sources and Methods:

I used multiple methods in Stage Two. Collectively, they constitute a broad range of perspectives and sources providing a sufficient data pool to answer Stage Two's research questions. I do not claim to have referenced all relevant perspectives through interviews, but a broad spectrum has seized most of that which is central to the charrette phenomenon and, most importantly, this study's particular research questions.

3.2.3.6. Deductive analysis:

Stage One findings helped derive eight fields to guide content analysis of charrette outputs, which also supported the CMP, AI and MP characterisation under headings context, process and objectives, outputs and outcome (see Chapter Eight). As the interview sample edged toward thirteen and a selection of Stage Three interviews referenced similar themes, fields were being satisfied with examples from different data sets, with few new themes emerging.

In summary, Stage Two was part of a broader doctoral project and extending the interview sample much further, given the Pilot and Stage Three's interview contributions, was thought possibly excessive -in terms of available resources- with little gain.

		Stage Two					*Stage Three* *Role & Reference within Charrette Case*		
		CMP, AI & MI Management	Experienced DT	Experienced CT	2010 / Early CMP	Critical Observers	Brigadoon	Ravenburn	Charrette Case Three
Pilot Interview	(Participant A, Private Practice Professional)		✓						
	(Participant B, Private Practice Professional)		✓						
Selected for Stage Two Only	(Participant C, Scottish Government Representative)	✓							
	(Participant D, Scottish Government Representative)	✓			✓				
	(Participant E, Private Practice Professional)					✓			
	(Participant F, Private Practice Professional)					✓			
	(Participant G, SNH Representative)				✓				
	(Participant H, former Scottish Government Representative)	✓			✓				
	(Participant I, A+DS Representative)					✓			
	(Participant J, Private Practice Professional)		✓						
	(Participant K, Private Practice Professional)		✓						
	(Participant L, former Prince's Foundation Representative)				✓				
	(Participant M, Scottish Government Representative)								
	(Participant N, Community Group Volunteer)			✓					
	(Participant O, GCHT Representative)			✓	✓				
Brigadoon	(Participant P, Community Group Volunteer)						Client, Shoregrove Secretary		
	(Participant Q, Community Group Volunteer)						Client, Shoregrove Chair		
	(Participant R, Local Government Representative)			✓			Client, Elkfall Council Officer B		
	(Participant S, Local Government Representative)						Participant, Elkfall Council Officer Participant F		

		CMP, AI & MP Management	Experienced DT	Experienced CT	2010 / Early CMP	Critical Observers	*Role & Reference within Embedded Unit*		
							Brigadoon	Ravenburn	Embedded Unit Three
Brigadoon Continued	(Participant T, Local Government Representative)						Participant, Elkfall Council Officer Participant C		
	(Participant U, Local Government Representative)						Participant, Elkfall Council Officer Participant A		
	(Participant V, Local Government Representative)						Participant, Elkfall Council Officer Participant D		
	(Participant W, Community Group Volunteer)						Participant, Shoregrove Volunteer A		
	(Participant X, Local Government Representative)						Participant, Elkfall Council Officer Participant E		
	(Participant Y, Scottish Charity Volunteer)						Design Team Associate (Volunteer C)		
	(Participant Z, Scottish Charity Representative)		✓				Design Team Associate (Lead)		
	(Participant A1, Scottish Charity Volunteer)						Design Team Associate (Volunteer A)		
	(Participant B1, Private Practice Professional)		✓				Design Team Associate (Compensated, Member A)		
	(Participant C1, Scottish Charity Volunteer)						Design Team Associate (Volunteer B)		
Ravenburn	(Participant D1, Scottish Charity Representative)			✓				Client, Econoon Representative	
	(Participant E1, Local Government Representative)							Client, Auchternairn Council Representative	
	(Participant F1, Private Practice Professional)		✓					Design Team Associate (Lead Agency, Principal)	
	(Participant G1, Private Practice Professional)		✓					Design Team Associate (Subconsultant, Member C)	
	(Participant H1, Private Practice Professional)		✓					Design Team Associate (Lead Agency, Member A)	
	(Participant I1, Private Practice Professional)		✓					Design Team Associate (Subconsultant, Member B)	
	(Participant J1, Community Group Volunteer)							Ravenburn Participant F	
	(Participant K1, Community Group Volunteer)							Ravenburn Participant B	

		CMP, AI & MP Management	Experienced DT	Experienced CT	2010 / Early CMP	Critical Observers	*Role & Reference within Embedded Unit*		
							Brigadoon	Ravenburn	Embedded Unit Three
Ravenburn Continued	(Participant L1, Community Group Volunteer)							Ravenburn Participant A	
	(Participant M1, Community Group Volunteer)							Ravenburn Participant D	
	(Participant N1, Community Group Volunteer)							Ravenburn Participant E	
	(Participant O1, Ravenburn Resident)							Ravenburn Participant C	
Third Embedded Unit	(Participant P1, Local Government Representative)			✓					Client, Community Planning Dept.
	(Participant Q1, Local Government Representative)			✓					Client, Community Planning Dept.
	(Participant R1, Private Practice Professional)		✓						Design Team Associate (Subconsultant)
	(Participant S1, Private Practice Professional)		✓						Design Team Associate (Lead Agency, Member)
	(Participant T1, Private Practice Professional)		✓						Design Team Associate (Lead Agency, Principal)
	(Participant U1, Private Practice Professional)		✓						Design Team Associate (Subconsultant)
	(Participant V1, Private Practice Professional)		✓						Design Team Associate (Subconsultant)
	(Participant W1, Voluntary Action Representative)								Participant
	(Participant X1, Local Government Representative)			✓					Participant; Peripheral CT Member
	(Participant Y1, Local Government Representative)			✓					Client Team Member, primarily; Participant
	(Participant Z1, Local Government Representative)								Participant; Peripheral CT Member
	(Participant A2, Community Group Volunteer)								Participant
	(Participant B2, Community Group Volunteer)								Participant

Figure 5: Sampling Interviewees for Stage One, Two and Three

3.2.4 Directed Content Analysis of Outputs

Under generic purposive sampling (Bryman, 2016, p. 407), a criterion approach was used to derive a sample of outputs for *directed* content analysis (Hsieh & Shannon, 2005): output material from all and only projects supported either through Charrette Series, CMP, AI and MP between 2010 to 2018-19 were sought. The Scottish Government website published lists of successful CMP and later AI and MP awards, which I recorded. Many of the CMP-supported projects from 2010 to 2015-16 produced some form of output post-charrette. Many were text-based *charrette reports* made available through the Scottish Government website (Scottish Government, 2014, 2014 2015a) and/or CT or DT websites.

A minority of outputs took a different format; for example, the DT for Priesthill & Househillwood (2015-16) produced a short film. Tiree, in the same CMP round, did not describe their charrette output as a charrette report; its award was used to produce a 'socio economic baseline study' and 'strategy report'. Similarly, Nairn, Tain and Fort William (2014-15) produced Town Centre Action Plans for the charrette sites respectively.

In some instances, there was little or no post-completion documentation publicly available. When outputs were not available through the aforementioned means, I contacted the commissioner listed against CMP, AI or MP award with a request for the charrette report(s) and/or other output(s). First contact was always made through email with follow-up communications via telephone (when possible) and/or social media platforms. In addition, some absent or uniquely styled outputs were cross-checked with a public sector official associated with CMP, AI and MP management. Where possible, additional sources were obtained.

In Chapter Seven and Appendix B, I reference personal communications, local media reports, commissioner websites, blog posts and/or social media posts to supplement CMP, AI and/or MP project descriptions when official reports were not available. All one hundred and ten projects have been referenced (across Chapter Seven and Appendix B); however, outputs and/or other correspondence was not available at the time of writing for Plockton (2018-19, MP), Fort Augustus (2018-19, MP) or Dunoon (2018-19, MP). Given some projects were on-going at the time of writing, the level of information inevitably ranges.

3.2.5 QGIS Spatial Analysis

Using QGIS 3.4, coordinates were assigned to CMP, AI and MP projects (commissioned between 2010 to 2018-19) to show locations across Scotland. Where possible, boundaries were drawn and/or described as part of the project descriptor (see Chapter Seven and Appendix B). Guided by the research question into project similarities and differences, two datasets were used to distinguish projects based on urban / rural classification and levels of local deprivation. These classifications contributed to building a case characterisation tool. To achieve this, Data Zones Boundaries (2011), Scottish Index of Multiple Deprivation [SIMD] 2016 data and Scottish Government Urban Rural Classification 2016 data were mapped against CMP, AI and MP locations.

On initial contact with National Records of Scotland [NRS] I worked with datasets kindly provided, which included the Urban Rural Classification 2013-14 version. The 2016 Urban Rural Classification was published in March 2018 and was subsequently used to update results presented in Chapter Seven. The SIMD 2016 was published in August 2016. This study used that version along with 2011 datazones boundaries. Visual analysis is presented in Chapter Seven and Appendix B**.**

3.3 Stage Three: Intensive, In-Depth Review

Moving on to Stage Three, I developed the preliminary evaluation framework into a Five Phase Sequence based on five key sources: 1) existing literature, 2) prior research i.e., empirical studies, 3) an expert review, 4) a pilot test and 5) Stage Two's in-breadth, extensive review. Prioritising Hassenforder, Pittock, et al. (2016) in broader literature and referencing Bellamy et al. (2001), Blackstock et al. (2007), Rowe and Frewer (2000); Rowe and Frewer (2004) and Newig et al. (2018), the five phases include:

1. Characterise the Case
2. Derive Evaluation Objectives
3. Select Evaluation Criteria
4. Operationalise the Definition
5. Analyse and Share

Chapter Nine works through each step thoroughly, therefore this overview is purposefully brief. Starting with Step One, Hassenforder, Smajgl, et al. (2015) used five case studies to test their 'Comparison of Participatory Processes' framework. The small number of cases limits

vigorous hypothesis building and testing. Reliable hypotheses delineating *what works well under what conditions* will only become more apparent with repeat application of descriptor frameworks, as used in charrette -or more broadly- PE evaluation.

With reference to Chapter Two's black, grey and clear box analogy from Scriven (1994) and Kazi (2003), I use a watch-face metaphor to describe the role of the case characterisation framework. Imagine it represents the innerworkings of a watch mechanism that is normally hidden by the watch-face. Evaluation approaches using the case characterisation tool start by removing the watch face thus uncovering its component parts; if one component fails, its effect on other components may be observed as well as the watch's overall effectiveness at keeping time.

Acknowledging a small sample in Stage Three is unlikely to build reliable hypotheses, I reiterate the objective of Step One in the Five Phase Sequence was to understand if the tool broadly captured characteristics of each charrette case and delineated comparable and distinguishing characteristics. Identifying trends and building hypotheses among these characteristics is a task for future research. With the resources available, I sought between three and five CMP cases for Stage Three. Figure 6 represents sixty-four CMP, seven AI and thirty-nine MP charrette cases comprising the 'case'. In 2016-17, the CMP initiative funded twelve CMP and seven AI projects (see Chapter Six for a list). The two red squares show Brigadoon and Ravenburn CMP projects that I use for demonstrable purposes.

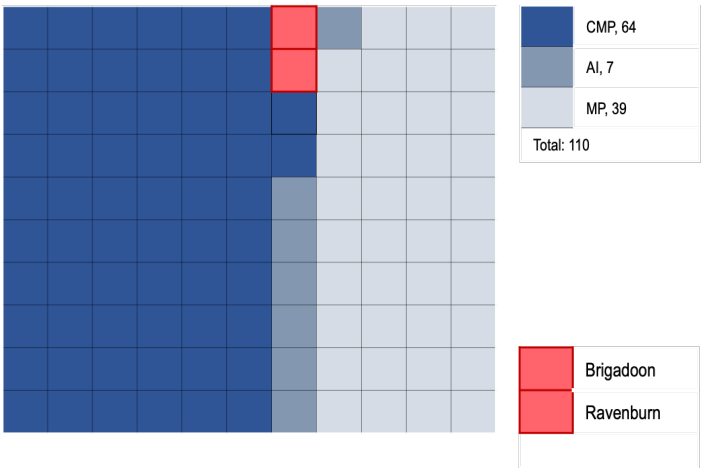

Figure 6: CMP, AI and MP Graphical Representation

Once the Scottish Government publicly announced successful applicants, I contacted five project commissioners and/or DTs that appeared to be working at a timescale that best suited

my doctoral timeline. Explaining the intention was to trial an approach to 'charrette evaluation', three CMP projects accepted to be part of the study. Ultimately, I limited the in-depth evaluation to only two charrettes, the results of which are presented in Chapter Nine and Ten. The third charrette case was not used for demonstrable purposes in Chapters Nine and Ten; although, Chapter Eleven's discussion and reflection draws on empirical data collected throughout this entire study. In advance of the main event, I met with either a member of the CT or DT to agree an observer-participant role in upcoming events. During this pre-event phase, it was not possible to have a jointly attended CT and DT meeting.

With reference to Figure 9 and Table 9, observation, participant survey, semi-structured interview and document data for all charrette cases, covering elements of pre-charrette to output publication, were collected. As Chapter Five explains, insights from Pilot Interviews helped plan possible data sources and methods for each charrette case (see Figure 12 in Chapter Five). In Brigadoon, a second researcher attended four of the five charrette days whilst I independently attended as many other official charrette days across the three charrette cases. Beyond the scope of the Ravenburn charrette, one half of the CT hosted subsequent on-going events post output publication. These were part of their wider Calls for Collaboration [CC] programme (see Chapter Nine); I attended the first two.

As neither an official CT nor DT member, observation data was restricted to the main, public events. A limitation of the outside, external evaluator role lies in gaining behind-the-scenes access. Therefore, the spaces in between main events were unobserved. Nevertheless, document review, participant surveys and interviews were triangulated with observation data to address this deficit. Alternative methodological approaches -such as participatory action research- could overcome this weakness. However, as with any research design, each bring their challenges; for example, there would be a greater risk of compromising evaluator neutrality.

To build a better understanding of the unobserved pre-charrette phase, I obtained document and interview data; for example, the CMP application, the Invitation to Quote (where relevant) and Project Tender documents. Several interviewees had been involved early, and therefore able to discuss pre-charrette preparations. In addition to main event observations, charrette participants returned surveys, which were aimed at exploring subjective experiences of their involvement. Findings could be further explored through a smaller sample of interviewees. I

interviewed between 19% and 26% of the survey sample in Brigadoon and Ravenburn i.e., either five or six 'participant' interviewees.

I sought participant survey feedback after the final 'report-back' or 'feedback summit' activity; however, data collection had to be adapted in the field based on DT and/or CT restrictions. This meant participant surveys were collected earlier than anticipated. For example, in Brigadoon with no access to a participant email list and reportedly low literacy levels within the community, an email campaign was not feasible. In response, the most opportune time to collect participant surveys was during the Community Fun Day, which (deliberately) coincided with the charrette's penultimate session.

Charrette participants comprised one of three Stage Three interviewee groups that were consistent across the charrette cases (see Figure 7). Selection of interviewees was managed by purposive sampling: identifying 'participants' through main-event observations and liaising with key DT and CT members. In Ravenburn, *volunteer* with purposive sampling was combined: the participant survey asked respondents to indicate availability and willingness to partake in a follow-up interview. Ravenburn secured more genuinely 'participant' interviews than Brigadoon and the third charrette case.

Arguably, 'participants' in Brigadoon, see Figure 7, could be more accurately described as peripheral members of the CT since individuals either worked (albeit in different departments) or volunteered for the CT's organisation. Further, a DT Volunteer later moved into an entirely different category; therefore, in reality fuzzy boundaries blurred these interviewee distinctions.

As interviews covered main events and tentatively explored green-shoot outcomes (rather than longer term impacts, see Chapter Nine), document review of post-charrette material similarly explored the interim and immediate effects of the charrette. However, in Ravenburn, draft outputs, CT feedback and/or output revisions were not shared. Final outputs (i.e., charrette reports) were made publicly available; although, document data shows the third charrette case (not presented in Chapter Nine and Ten) took approximately twelve months to publicly share their report. Other relevant document data was also sourced and recorded; for example, local and social media posts, community council meeting minutes, recently published local authority policies and so forth.

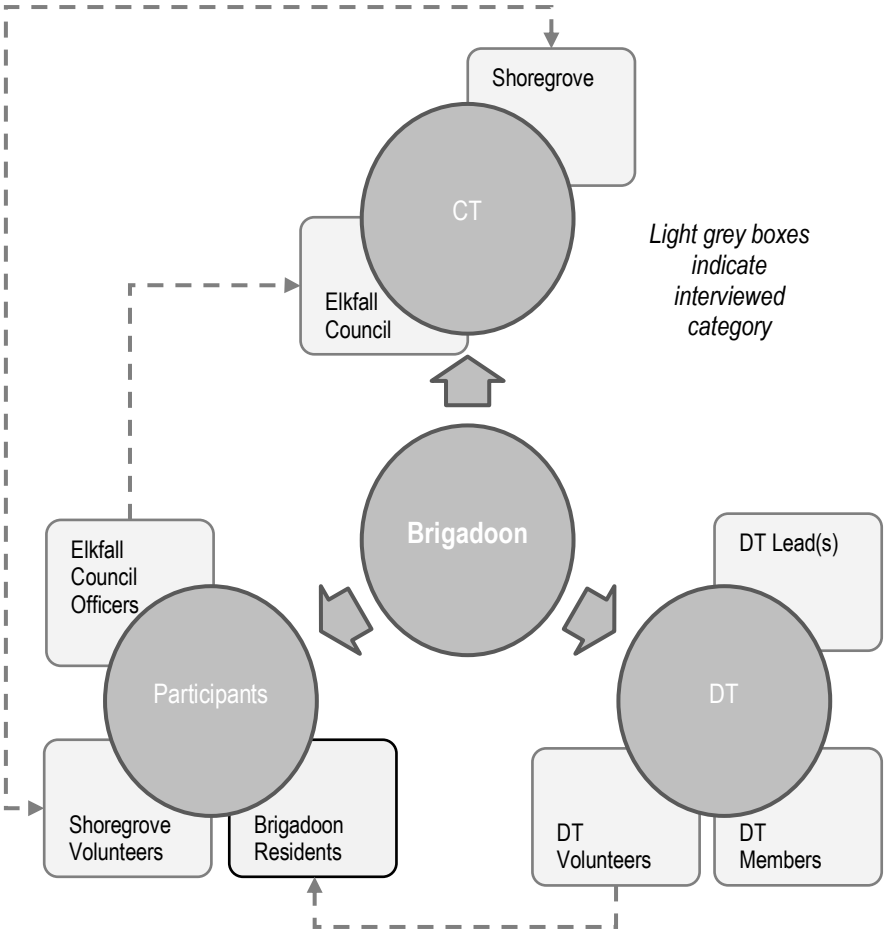

Figure 7: Interviewee categories exemplified using Brigadoon.

Overall, Stage Three data was collected from four key sources: 1) participant-observer observations, 2) charrette participants surveys, 3) semi-structured interviews and 4) document review. To collect data for characterisation purposes, QGIS Spatial Analysis was also used. Coinciding with charrette commencement, Stage Three data collection started in Spring 2017. Transcript and follow-up communications followed over the next twelve months and references to document data (for updates) concluded eighteen months after main charrette events. Charrette observations began in March 2017 with the final observed event in September 2017 (see Table 9 and Figure 9).

As aforementioned, I extended Stage Two data collection to a) ensure a robust record was produced in Chapter Seven and Appendix B, and b) address the characterisation tool's generalisability. To avoid being caught-off-guard, broadening Stage Two's sample to include the newly styled MP cases, beyond the 2016-17 CMP and AI projects, was necessary to ensure derived characteristics were suitably mainstream. The characterisation tool founded on

CMP and AI projects provided a robust analysis framework for MP review. As Figure 8 shows, data collected against the thirty-nine MP projects was compared with the pre-established tool (see Kennedy, 2017 for an early analysis of CMP and AI outputs).

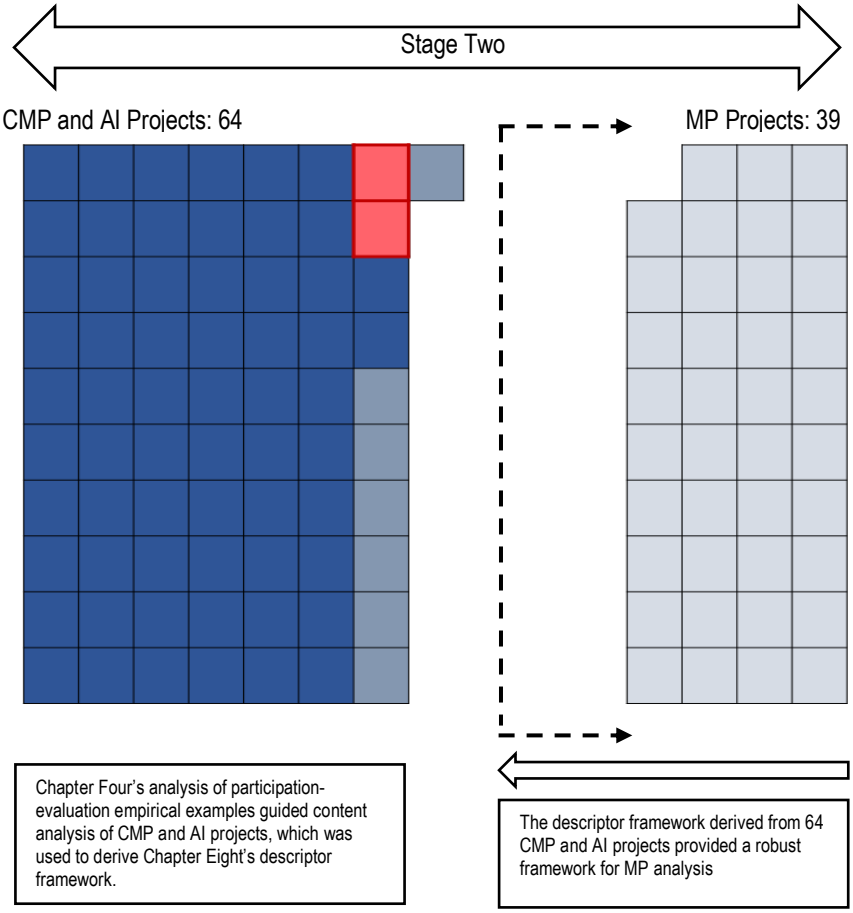

Figure 8: Stage Two's Data Collection Expansion

With reference to Stage Three data collection, all methods described above were guided by a) Chapter Eight's case characterisation tool and b) selected evaluation criteria. A fuller discussion of my *evaluation objectives*, *criteria selection* and *operationalising the definition* (Blackstock et al., 2007; Rowe & Frewer, 2004) can be found in Chapter Nine. Chapter Ten presents detailed findings from an outside, summative evaluation primarily using universal, theory-derived criteria to evaluate procedural implementation and identify tentative outcomes as a result of the charrettes in Brigadoon and Ravenburn. Assessed against six process and three outcome criteria, the aim was to answer Stage Three's two evaluation objectives (see Table 8).

Answering Stage Three's two evaluation objectives endeavoured to shed light on my overarching interest: how effective is a Scottish charrette at delivering an inclusive, participatory project in a community and/or spatial planning context? However, an answer to this was never going to be a straightforward *very* or *not* effective. Rather, the characterisation tool demanded a much broader discussion on the realities unfolding in a PE, as they are subject to their own unique set of circumstances.

Overarching Research Question:	*How effective is a Scottish charrette at delivering an inclusive, participatory process in community and/or spatial planning processes?*				
Stage Three Evaluation Objectives	Methods				Answer Location in Thesis
	Document Review	Participant Observations	Semi-Structured Interviews	CMP Participant Surveys	
Q1. What can the procedural implementation of Scottish charrettes tell readers about the practice realities of participation theory underpinning the CMP, AI and MP initiative?	✓	✓	✓	✓	Chapter Nine describes both cases i.e., charrette cases Ravenburn and Brigadoon in terms of their procedural implementation. Chapter Ten presents evaluation findings across six process and three outcome criteria. Chapter Eleven reflects on these findings in a thesis concluding discussion.
Q1a) What factors inhibited and/or supported the CMP project's procedural implementation?	✓	✓	✓	✓	
Q2. What evidence is there of participant gain and collective social change that can be (partly) attributed to the CMP project?	✓	✓	✓	✓	
Q2a) What factors inhibited and/or supported participant gain and/or social change?	✓	✓	✓	✓	

Table 8 Stage Three Research Questions

			Charrette Case 1		Charrette Case 2		Charrette Case 3	
Data Type	Data Sources		Brigadoon		Ravenburn		--	
Qualitative	**Document Data**							
	1	CMP Award Application	✓		✓		✓	
	2	Invitation to Quote	Not Applicable / Non-Competitive Tender		✓		✓	
	3	Design Team Tender			✓		✓	
	4	Draft Report			X		✓	
	5	Client Feedback	✓				✓	
	6	Final Output(s)	✓		✓		✓	
	7	Other	• Survey & Results • Charrette Newsletters • Pre-Charrette Setting Agenda • Volunteer Briefing Note		• Promotional Posters • Poster Schedule • Mid Charrette Presentations • Video • Feasibility Study • Post Charrette CC Event Minutes (CT Managed) • Survey Monkey		• Local Authority Output (i.e., Report) Guidelines • Flyer • Attendee Email to CT • Supplementary Application Documents	
	Field Observations		Days Attended					
	Field Notes		5 / 5 charrette-related days attended		4 / 6 charrette-related days attended + 1 (Post Charrette) community agency meeting		4 / 5 Days Attended	
	Interviews		*Interviews*	*No. of People*	*Interviews*	*No. of People*	*Interviews*	*No. of People*
	Client Team		2	3	2	2	2	2
	Design Team		4	5	4	4	5	5
	Charrette Participants		6	6	6	6	5	6
Quantitative & Qualitative	**Participant Surveys**		*Received*		*Received*		*Received*	
	Paper		31 (17 Non-Participants)		8 (2 valid)		N/A	
	Electronic		Not Applicable		35		19	

Table 9: Stage Three Data Inventory

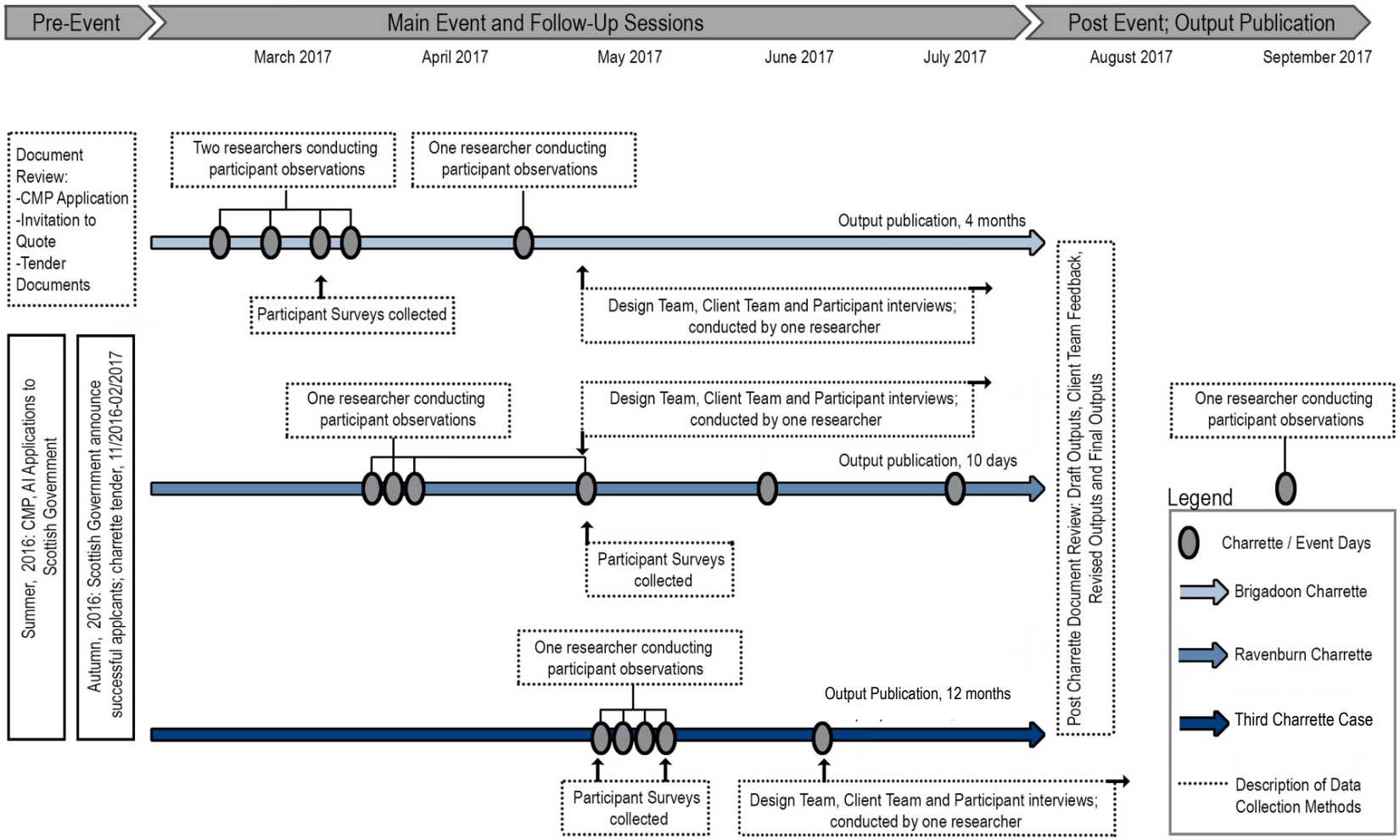

Figure 9: Data Collection for Brigadoon, Ravenburn and third charrette case.

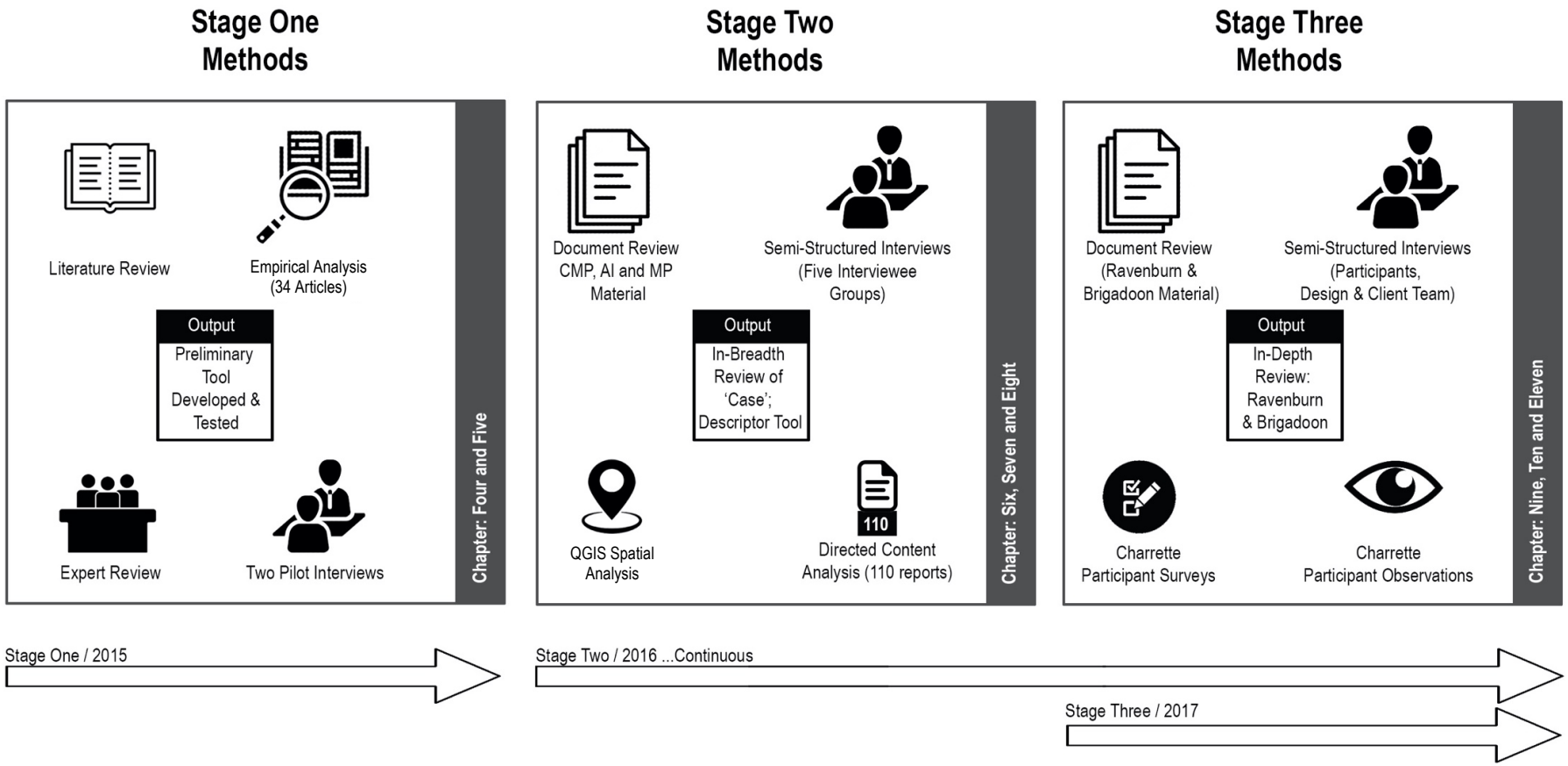

Figure 10 Stage One, Two and Three Data Collection Methods Summary

Chapter Three Conclusion

Whilst Chapter Two presented my thinking on research within architecture, this chapter prioritises a chronological account of my work describing the three major stages and research activities within each. In summary, Stage One comprised a conceptual framework from which the case study methodology over Stage Two and Three was designed. It is not unusual for qualitative studies to use initial rounds of data collection to inform study development, as demonstrated. Building on lessons learned from conducting a literature review, analysing empirical examples of participation-evaluation, an expert review and pilot interviews, I set out to get closer to the CMP, AI and MP case.

The intention was to improve the preliminary evaluation framework, which was achieved through an in-breadth, extensive case review (i.e., Stage Two). Using document review, semi-structured interviews, directed content analysis of charrette reports and QGIS spatial analysis I produced an archive of the case and derived a characterisation tool. Going forward, a Five Phase Sequence was used for the in-depth evaluation of two charrette cases in their operational context (i.e., Stage Three). This was achieved through participant-observations, document review, semi-structured interviews and participant surveys. Chapter Nine exemplifies this Five Phase Sequence.

Chapter Four: Empirical Analysis of Examples of Participation Evaluation

The previous two chapters set the scene by mapping the steps taken over the course of my doctoral project. The remaining chapters turn to findings. First, is Stage One. Much of what has been discussed thus far relates to programme and/or policy evaluation. The CMP, AI and MP, strictly speaking, was neither. My research focus, more narrowly, centres on the participatory practices built into formal urban and community development processes. Therefore, as I developed an evaluation framework -to better understand how inclusionary and participatory the Scottish charrette is- I analysed how others had evaluated PEs. This chapter presents a short literature review of participation-evaluation before findings from analysing thirty-five examples of participation-evaluation are shared. Subsequently a preliminary framework was derived and is shown in the following chapter, along with findings from an expert review and pilot test.

4.1 A Participation-Evaluation Theoretical Literature Review

Whilst citizen participation remains celebrated (see Chapter One), participation-*evaluation* is like a distant relative given the PE is rarely evaluated or assessed (Blackstock & Richards, 2007; Brown & Chin, 2013; Kangas et al., 2014; Wilson, 1999). A gulf between practice and evidence leaves space for criticism, which arguably shatters claims often made when adopting a participatory approach. Webler (1999, p. 63) suggests 'assertions' and 'prescriptions' i.e., assumed benefits of public participation 'have been repeated for so long, no one recalls the original source of data'.

For example, a 'common prescription' is 'Early public participation' is likely to quicken planning processes (Ibid., 1999, p 64). However, 'We need to ask the question: What level of scrutiny has this statement received?' (Ibid., 1999, p 64). More recently, Newig et al. (2018, p 270), suggest there is 'still no consensus on its performance', and respond with a 'framework of causal mechanisms' that integrates 'existing claims from multiple research fields on the link between participation and outcomes'. Therefore, asking whether participatory approaches offer better

'ways of doing things' or whether it leads to 'any effective or useful consequences at all'? is a relevant pursuit (Rowe & Frewer, 2004, p. 513).

Building an evidentiary bank is therefore warranted. This could provide participation practitioners with a better understanding of what works, under what conditions and what factors likely inhibit or promote success (Laurian & Shaw, 2009). However, calculating the likelihood of participation success is not thought wholly possible: contextual and historical factors are too powerful in determining outcomes (Petts, 2001; Wilson, 1999). Nevertheless, evaluation can help reduce uncertainties (Webler, 1999) and is useful for participants, project proposers and facilitators alike (Conley & Moote, 2003). Rowe and Frewer (2004) describe practical, financial, moral and theoretical reasons for participation evaluation. It is also needed to further evaluation knowledge and practice; one must build on previous efforts (Laurian & Shaw, 2009).

Given its utility and the contested nature of participation, why is evaluation not commonplace? Laurian and Shaw (2009) showed evaluating participation, plans, outcomes and implementation was not standard practice among American planners. A number of barriers are posited. On a practical level, organisations may lack time, personnel and expertise; there may be little incentive to evaluate; and organisations or individuals may be wary of heightened accountability and a recognised need for change or improvement. Others suggest there may be a misguided belief that greater opportunities and more innovative strategies directly translate into more democratic practices. Wilson (1999, p. 247) warns 'more participation is not the same thing as more democracy'.

Others have long suggested the practice is generally challenging. Participatory processes, by their very nature, involve a 'multiplicity of perspectives and objectives' (Hassenforder, Ducrot, et al., 2016,p. 505; Hassenforder, Smajgl, et al., 2015, p. 88); thus, from whose perspective should evaluation be conducted? Further, each process is highly context-dependent, therefore, benchmarks deriving typologies and comparable good-practice standards may be inappropriate. Much participation-evaluation literature cites Rosener's (1981) four challenges, which suggest:

- Practice is complex and value-laden;
- There is a lack of criteria to measure success or failure against;
- There are no common evaluation methods;

- There is a lack of reliable measurement instruments.

Webler (1999, p. 65) attempting to 'orchestrate future research into public participation' called for a 'concise research agenda', which Rowe and Frewer (2000; 2004) subsequently offered in the aforementioned three step process i.e., *define effectiveness*, *operationalise the definition* and *conduct the evaluation* (Rowe & Frewer, 2004). Skipping the first step has led to criticisms of subjectivity; hence, Rosener (1978, p. 457) suggests using 'evaluation research methodology' and Rowe and Frewer (2004, p. 516) advocate for social research methods to produce more 'rigorous evaluations'. Although credible, yet less formal and more exploratory, *assessments* have also been recommended prior to full-blown criteria driven evaluations (Conrad, Cassar, et al., 2011; Rowe & Frewer, 2004).

However, deriving criteria, for a rigorous evaluation, is not straightforward; rather, it 'can be the most contentious aspect of evaluation' (Blackstock et al., 2007, p. 731). Seeking an 'unambiguous, or uncontroversial' definition is somewhat futile (Rowe & Frewer, 2004, p. 514). Universal or theory-derived criteria have been building with Beierle (1999) offering six outcome-oriented *social* goals; Rowe and Frewer (2000) suggesting five *acceptance* and four *process* criteria; similarly, Webler (1995) derives two groups of *fairness* and *competence* criteria for participation discourse; and there is Fiorino's (1990) *instrumental*, *substantive* and *normative* arguments.

One of the most obvious distinctions between criteria are process and outcome variables. Whilst the latter is concerned with results -for example, consensus, improved solutions, education, reduced conflict- the former is concerned with the delivery of participation and how the result is achieved -for example, accessibility, representativeness, task definition, deliberation (Blackstock et al., 2007; Conrad, Cassar, et al., 2011). Some consider evaluation of technical and physical outcomes to be 'preferable' (Rowe & Frewer, 2004, p. 520) leaving a shortage of research focussing on the democratic quality of participation processes (Agger & Löfgren, 2008; Löfgren & Agger, 2021). Researchers have derived their criteria in part from the claims or hypotheses associated with participation (Beierle, 1999). Conley and Moote (2003) suggest any claim or criticism can easily be turned into viable criteria. Therefore, the criticism suggesting participatory approaches are time consuming becomes, did the PE cause additional project delay?

Naturally criteria should reflect project goals and purposes (Laurian & Shaw, 2009; Rosener, 1978; Wilson, 1999). If a project was committed to research or project objectives over development (i.e. empowerment) objectives (see Beattie, 2020; Kelly et al., 2007) an evaluation might discount the latter given the project had little commitment to broader social goals. An example could be made of Tuler & Webler (2010), as they found a 'science-centred stakeholder consultation' perspective favoured a 'clear implementation plan' outcome, over social outcomes e.g., skill development, increased understanding of issue or shared learning. Perspectives classified as 'egalitarian deliberation' prioritised social outcomes and were more likely to discount a need for a *clear implementation plan.* Therefore, social outcomes may be an inappropriate measure for the former. However, Wilson (1999) believes it may be a mistake not to consider other factors (e.g., participant satisfaction, individual learning and so forth; also see Chapter Five section 5.6.2).

Another notable source for theory-derived criteria stems from communicative planning theory and practice. Harris (2002) offers a useful discussion on the overlapping terminology; simplified, communicative planning theory is considered the foundation from which deliberative democrats and collaborative planning practices have sprung. Taken together they are said to owe thanks (in part) to philosopher Jürgen Habermas and his communicative rationality and ideal speech situation. The concept tries to dissolve the binary distinctions between government, citizen and stakeholders in a more inclusive forum, in which affected stakes are present with equal access to a rational debate free from coercion. The intention is not override others' interests but engage in a transformative dialogue where actions can be derived from agreement that was reached through reasoning. The focus is on the force of the better argument (Brownill & Inch, 2019; Rannila & Loivaranta, 2015). From this, Webler (1995) developed fairness and competence criteria for discourse analysis.

However, as Chapter One demonstrates, the communicative turn received damaging critiques. Alongside those already cited, Purcell (2009) argues Habermasian theory has done more to reinforce existing power distortions than challenge them. Others claim it marginalises focus on substantive outcomes as the guiding 'discourse ethics and communicative rationality' (Flyvbjerg & Richardson, 2004, p. 46) privileges a too normative and proceduralist focus as it strives to

implement a utopian yet unachievable deliberative process, which concludes in a fragile consensus that may have papered-over minority interests (Allmendinger & Tewdwr-Jones, 2002; Brownill & Inch, 2019; Fainstein, 2005; Flyvbjerg, 2002; Huxley & Yiftachel, 2000; Mouffe, 1999; Purcell, 2009; Yiftachel & Huxley, 2000). Therefore, communicative planning was perceived by some to be a weak tool for planning practice and landmark studies revealed a darker side (Flyvbjerg & Richardson, 2002). Most notably, Flyvbjerg's Aalborg case-study showed elites i.e., professionals, effectively shaping outcomes by manipulating the distance some knowledge was able to travel in the planning process, and into subsequent outcomes (also see Eriksson et al., 2021; Flyvbjerg, 2002; Huxley & Yiftachel, 2000; Yiftachel & Huxley, 2000). The reality is an imperfect, contested and complex terrain of competing values and interests, flood decision-making arenas that may remain self-referential and impermeable to external challenge (Parker et al., 2015; Parker & Street, 2018).

Posited as a stark alternative, many critics cite Chantelle Mouffe (1999): a political philosopher who was equally dissatisfied with representative democracy and also taking direct aim at Habermasian underpinnings. Mouffe also champions a guiding ethic of liberty, equality and reciprocity in deliberation (Bond, 2011), which accepts other forms of expression are valid in communicative spaces i.e. 'narrative or emotional argumentation or other conceptions of rationality' (Rannila & Loivaranta, 2015, p 791). Mouffe does not agree with Habermas' ideal speech situation, its commitment to the idea power could be neutralised for rational argument to prevail and the need to arrive at consensus (Mouffe, 1999). Since, 'contention is a foundation to democracy' (Luck, 2018a, p 157), consensus is eschewed in an 'agonistic' approach.

Therefore, these two theoretical bases have been pitted against one another as they have 'dominated the debate' on 'analysing processes of citizen participation in planning' (Van Wymeersch et al., 2019, p 360). Others have sought to bridge differences through hybrid models (Beaumont & Loopmans, 2008; Bond, 2011). Gaps have narrowed further as planning theorists, thought to draw heavily from Habermas' ethics, have since clarified their *various* influences in developing theoretical positions and practice models (Forester, 2013; Healey, 1999b; Healey, 2003; Innes & Booher, 2015).

Some even appear to share the theoretical resources of their original critics (see discussions in Fainstein, 2005; Forester, 2013; Healey, 2003; Innes & Booher, 2015; McClymont, 2014). Therefore, the polar theories have similarities (Vigar et al., 2017). In their rebuttals, communicative proponents echo the need for critical analysis of empirical planning episodes (Forrester, 2000), and there appears to be some coalescence on issues like the temporary nature of consensus or agreement, power inequalities inevitably exist, the utility of conflict and directions of planning research (Fischler, 2000; Healey, 2003; Innes & Booher, 2015; Mouffe, 1999).

The evolving debates in planning theory have resulted in evaluations focussing on more than just process and outcome criteria as researchers explore how power relations manifest, what transformative potentialities materialise and analyse the quality of participation outputs in examples of more nuanced analysis (Aitken, 2010; Coaffee & Healey, 2003; Mandarano, 2008; Margerum, 2002; McAreavey, 2009). A special issue of Planning Practice & Research in 2010 (Brownill & Parker, 2010) reflected on broader research findings to date, suggesting further reassertions of manipulative power, and examples of discourse theory falling short in practice are perhaps now redundant in a *post-collaborative* era. Instead participation evaluation should move beyond reasserting the darker side of planning or observing manipulations via Arnstein's (1969) ladder, ranking eight scales from tokenism to control. Rather, accept power-relations exist and question how actors 'negotiate around power' (Brownill & Parker, 2010, p 277; Mouffe, 1999). Arnstein's (1969) seminal ladder has also been critiqued, from the perspective it poorly accommodates the heterogeneous nature of communities in which competing values and interests exist, and the top rung may not always be a suitable goal (Bailey, 2010; Blue et al., 2019; Brownill & Inch, 2019; Dargan, 2009; Newman, 2005; Tippett & How, 2020).

Critics, as well as proponents, of collaborative approaches collectively recognise the many challenges empirical endeavours face (Fung & Wright, 2003; Lemanski, 2017; Polletta, 2016; Watson, 2014). Planning episodes are complex with a myriad of knowledge sources and experiences that compete to be represented in planning outcomes. How this complexity is articulated and embedded in decisions is of critical concern to some researchers: Healey (2006b) for example, questions the extent to which this complexity is reduced into manageable, actionable concepts that are able to *travel* in policy. Too, Beebeejaun and Vanderhoven (2010, p 294)

remain critical of formal participation means that enable us to 'see' but lack capacity to analyse and reflect the complexities in societal relations. Galuszka (2019) and Miessen (2010) claim 'messy' participatory forums are replaced with neater, binary options.

More nuanced analysis of participation in planning is therefore required to reflect these conditions (Watson, 2014). Research should uncover practices of false participation i.e., 'the more disingenuous 'participation' models' that deceive participants, 'destroy public confidence' and engender apathy (Brownill & Parker, 2010, p 280, 281); uncover conflicting or competing rationalities (Brownill & Carpenter, 2007b; Dargan, 2009); evaluate the impacts of new policy and highlight gaps in rhetoric (Bailey, 2010); share successes and usefulness of informal measures (Beebeejaun & Vanderhoven, 2010); and pay close attention to the impacts of the institutional context, the type of participants involved, and the constructs shaping new participatory spaces (Brownill & Parker, 2010; Gaventa, 2004).

Alongside outcome variables and fairness and competence criteria, Webler and Tuler (2002, p. 185) recommend recording 'preconditions and moderating variables' i.e. those factors likely to impact a process. Beierle and Cayford (2002) present their own categorization derived from environmental management case-studies and Margerum (2011) discusses the contextual and problem characteristics differentiating collaboratives. Chompunch and Chomphan (2012) and Hassenforder et al (2015) expand their framework (from process and outcome) to include *context*; a variable also recommended by Blackstock et al (2007). Thus, a descriptive element provides a taxonomy of context, process and outcome characteristics prior to deriving criteria for analytical purposes.

To accommodate nuance, Webler and Tuler (2002, p. 185) suggest a 'pluralistic' understanding of 'what is appropriate or successful' should feature. Others eschew theory-derived criteria for more contextually sensitive evaluations. This approach swaps abstract principles applied deductively for a participatory approach to evaluation and prioritises a tailored definition of effective or success. Hence, *participatory evaluation* is sometimes recommended (Blackstock et al., 2007; Chess & Purcell, 1999; Conrad, Cassar, et al., 2011). A hybrid is possible: the appropriateness of theory-derived criteria may be discussed and prioritised with participants, and assessments need not be straightjacketed by theory but more loosely guided.

This also begs the question, who conducts the evaluation? A participatory evaluation involves those directly involved or close to the project under study. The advantage lies in their more intimate, 'insider' knowledge of the project's context and history (Blackstock et al., 2007; Conley & Moote, 2003). However, this closeness could taint the evaluator's objectivity leading to more biased, less reliable results. Hence, others suggest appointing a neutral, external party. Blackstock et al (2007) recommend finding a balance within the team, whilst Conley and Moote (2003) suggest the evaluation's purpose is likely to determine the need for either internal or external evaluation staff.

Finally, criteria selection (theory or locally derived) is also dictated by evaluation's timing and purpose. Researchers discuss ex-ante, formative and ex-post or summative evaluations. Within a discussion of M&E of PEs, Hassenforder, Ducrot, et al. (2016) expand this into ex-ante, punctual, ex-post and long-term. Suggesting the typical distinction between formative and summative evaluations has more to do with evaluation objectives than timing. Formative evaluations are described to take place during implementation -shadowing a live case- as opposed to summative reflections on outcomes and effects. The purpose in the latter may be demonstrating value or worth (i.e. proving), building new knowledge (i.e. learning) that could be used to make future improvements (i.e. improve) (Blackstock et al., 2007; Donaldson & Lipsey, 2006). In the former, the evaluator may be more interested in monitoring implementation (i.e., control) and checking for any oversights (i.e., compliance) in the hope of keeping a live project on track.

In summary, there are multiple approaches to evaluating PEs. Design will depend on the project's goals and primary commitment (e.g. research or development driven); the evaluator's objective (e.g. prove, control, improve, learn, compliance); the evaluation's timing (e.g. ex-ante, formative, summative, long-term); the evaluation staff (e.g. internal, external or mixed staff); the success definition (e.g. theory or locally derived); the focus on effects or implementation (e.g. process, outputs, outcomes); and the underlying theoretical orientations if theory-derived criteria support a framework for evaluation (e.g. consensus building, communicative planning theory, deliberative democracy).

4.2 A Participation-Evaluation Empirical Literature Review

Alongside the theoretical literature review, I analysed thirty-five peer-reviewed articles reporting on some form of participation assessment or evaluation to better understand how it is typically conducted. To identify these articles, I used a combination of keywords (i.e., 'public participation', 'assessment', 'evaluation', 'planning', 'participation processes' to search the University of Strathclyde's library collections portal, Web of Science and Google Scholar databases. Similar to Rowe & Frewer (2004), articles using a framework were of particular interest given the explicit effectiveness definition. However, others without a framework or criteria list were not discounted, because understanding broadly how participation-evaluation has been conducted was important for informing this study's research design.

However, abstract information on the methodological practices later meant little without understanding the context and PE under study. Therefore, nuances important to the project were recorded, as were process characteristics and the reported outcomes. A review of outcomes and process qualities (both positive and negative) is discussed at greater length in Chapter Five. This review was particularly useful in developing the preliminary evaluation framework that (in hindsight) was predominantly concerned with analytical variables (see Chapter Five for Stage One findings from the pilot test and expert review).

Below, context, process and research design delineations can be found across Tables 10, 11 and 13. An introductory description precedes each table. In its infancy, this analysis provided a solid foundation for the later developed case-characterisation tool (see Chapter Eight) and gives a clear indication on definitions and measures that are being used to determine participation success.

4.2.1 Evaluation Examples: Context

The context table (i.e., Table 10) has six columns describing a different contextual characteristic. First is *scenario*, which describes the PE's policy context. Another notable characteristic is the *project proposer* (column two), which informs the *type* of space created (column five). Interested in issues of power, Gaventa (2004, 2006) proposed a 'power cube'. The argument is, those who construct the participatory space are more likely to have power within it (Bailey, 2010; Cornwall &

Coelho, 2007). Therefore, establishing whether spaces are closed, invited or claimed is thought to shed light on 'the possibilities of transformative action in various political spaces' (Cornwall, 2004b; Gaventa, 2006, p. 26; Miraftab, 2004).

A *closed* space does not involve broader decision-making partners; instead, professionals take decisions with little external involvement. *Invited* refers to spaces that have been opened-up to welcome citizens and stakeholders. Although, this space-type could be broken-down further by recognising a) the mandated or legal obligation to invite participants or b) an official yet non-statutory invitation for involvement. *Claimed* or *created* spaces refer to those happening outside of any formal, statutory process. Instead, spaces may form organically from 'sets of common concerns' or social mobilization (Gaventa, 2006, p. 27).

The majority of featured PEs were proposed by private or public agencies, or convened partnerships with a mandate for delivering citizen and stakeholder involvement. Whilst Street et al (2014) reported there was not always an explicit commitment to reviewing PE outputs, others noted some form of citizen sanction. For example, in Denters and Klok (2010), citizens were consulted for approval prior to a final application being submitted to the decision-making body. Others were much more selective in who could participate (Omidvar et al., 2011; Roma & Jeffrey, 2010).

Whilst still *invited*, some PEs extended beyond their statutory requirements. For example, Brownill and Carpenter (2009; 2007a; 2007b), Sayce et al (2013), Hopkins (2010a, 2010b), Bond and Thompson (2007) and Jarvis et al (2011) reported on PEs that delivered extensive involvement strategies. A minority of projects could be regarded as claimed or created. Toker and Pontikis (2011) operated outside of any formal planning structures by partnering with a local non-government community agency to trial a participatory process, which generated usable outputs for the community group. Lastly, Blackstock and Richards (2007) and Blackstock et al (2007), studied voluntary partnerships. Although agencies in the former had legal responsibilities, the partnership convened was created out of a shared set of concerns and produced a non-statutory output.

Gaventa's (2004, 2006) power cube distinguishes too between local, national and global arenas. Some projects were concerned with local issues with an immediate and restricted geography. For example, Brownill and Carpenter's (2009; 2007a; 2007b) focussed on a neatly defined two-mile

stretch of road. On the other hand, Hopkins (2010a, p. 64) reports on a project claiming to 'be the largest community consultation to have taken place in the southern hemisphere'. Thus, involving a broader set of participants from local and national arenas. Bridging the two, Baker et al (2010) report on one local spatial planning PE and another regional strategy development PE. The authors note, the 'congested institutional landscape' added complexity.

Margerum (2011), similar to Gaventa (2004, 2006), recommends assessing context and the institutional landscape. A project whose problem cuts across various *levels* is thought more complex than local issues. For example, Kelly et al. (2007, p. 237) suggested their PE was 'nested within multiple levels of governance'. Strained working relationships between local, state and federal agencies was considered a barrier inhibiting implementation. Further, in Hopkins (2010b), the draft PE output was adopted by the (then) Labour Government. However, a change in administration saw Labour's planning effort replaced as 'a new Liberal Government' 'produced a new planning strategy (Hopkins, 2010b, p. 266).

Column three and four in the below table therefore derive information regarding *scale / geography* and the *number of agencies involved*. However, it would be misleading to assume a direct correlation exists between scale and complexity. For example, Brownill and Captenter's (2009; 2007a; 2007b) small, local project remained complex given its dense, urban geography. The authors identify multiple interests and competing rationalities for involvement.

Column six describes miscellaneous details on contextual or historical factors particular to the project studied. For example, some projects were venturing into new participatory territory or trialling new ways of doing things (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Bond & Thompson-Fawcett, 2007; Booth & Halseth, 2011; Conrad, Cassar, et al., 2011; Cunningham & Tiefenbacher, 2008); whilst other contexts had a poor practice and implementation history (Bawole, 2013; Kangas et al., 2014; Sayce et al., 2013); corruption and high levels of illiteracy were evident in Chompunth and Chomphan's (2012) context; and other projects had to manage local conflict (Aitken, 2010; Bond & Thompson-Fawcett, 2007; Booth & Halseth, 2011; Brown & Chin, 2013; Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b; Cunningham & Tiefenbacher, 2008; Finnigan et al., 2003; Hopkins, 2010a, 2010b; Lamers et al., 2010; Lynn & Busenberg, 1995). Many shared several characteristics.

With reference to broader literature these additional factors are likely to have some impact (Margerum, 2011; Webler & Tuler, 2002); thus, they are worth noting. However, establishing a direct cause-and-effect relationship is 'difficult to trace' (Margerum, 2011, p. 54). Margerum (2011) underscores problem, community, issue and institutional characteristics as part of 'assessing convening'. The former and latter are discussed above. The findings from analysing empirical examples of participation-evaluation draw some parallels on community and issue characteristics. Regarding issue profile, some projects were dealing with more immediate and high-profile problems. For example, Denters and Klok (2010) and Omidvar et al. (2011) reported on post-disaster reconstruction, which -in the latter- left some grieving families in temporary accommodation.

Although dissimilar examples, other projects were also dealing with sensitive issues; for example, Blackstock and Richards (2007, p. 498) observe an 'internationally important population of Atlantic salmon, sea lamprey, otter and freshwater pearl mussel' within their project boundary, whilst others also note world heritage sites or special areas of conservation. Therefore, the project is not just locally important, but of international interest.

Regarding community characteristics, it has been suggested the more sustainable the community the more likely a collaborative endeavour is to succeed (Denters & Klok, 2010; Jarvis et al., 2011). For example, an active citizenry with established networks is thought to aid success as opposed to contexts characterised by mistrust and a lack of social capital. Similarly, the more homogenous the community is, the more likely agreement is thought to emerge (Alexander, 2002c; Margerum, 2011). Some of the empirical articles provided a community characteristic description; some support whilst others challenge this hypothesis. For example, the Jarvis et al. (2011) assessment of Canley rendered the community *unsustainable*. However, the PE is deemed successful. Booth and Halseth (2011) report mostly negative findings. However, one project was considered more successful than the others; its contextual conditions were markedly different. Conversely, Brownill and Carpenter described their study's local community to have a history of active citizens; yet this potentially added complexity given the heterogeneity between capable, active groups mobilised to protect competing interests (Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b).

In short, the below table delineates various, notable contextual characteristics relevant to the PEs studied: scenario, project proposer, scale / geography, number of agencies involved, type of space and miscellaneous details to describe context.

Table 10: Context Particulars

Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
Mannarini & Cosimo Talò (2013); Italy	[OST[19] Bari 1] Youth policy guidelines	Initiated by a 'coalition of governmental agencies'	-*-	Unclear per OST (see Commissioner); however, all OSTs cited in this study were convened by governmental agencies	Invited spaces; individuals register if interested in topic: 'People interested in a particular topic sign up, and the original proposer determines the time and place to discuss it'	-*-
	[OST Bari 2] Future visioning for Apulia region	Promoted by regional government				
	[OST Locorotondo] Urban renewal project	Initiated by Municipality of Locorotondo				
	[OST Minervino] sustainable tourism	Initiated by Municipality of Minervino				
	[OST Galatina] Youth policy guidelines	Initiated by Municipality of Galatina				
Denters and Klok (2010); Roombeek, Enschnede, Netherlands	Post disaster reconstruction; rebuilding Roombeek	[Lead] Municipality of Enschede; [advisory role] independent committee provide public participation recommendations	Roombeek; urban district of Enschede city with approximately 1500 residents (prior to disaster)	[2] Municipality of Enschede; Municipal Executive Board (latter's sanction required)	Formal, invited space; decision-making power remained with the 'directly elected municipal council'. However, citizens consulted for approval prior to final submission to Municipal Council	Roombeek: a 'deprived inner-city district with high unemployment and low-income households. A 'major explosion' devasted the district, in 2000, killing 22 residents & injuring 900. Thus, sensitive case
Conrad et al (2011); Republic of Malta	Planning; defined as land use and environmental planning	Malta Environment and Planning Authority [MEPA] is the public body responsible for	Small island state; approximate land coverage of 316 km²;	[1] National government; described as highly	Formal, statutory practices within land use and environmental planning	Securing independence in 1964, Malta has a 'young history of

[19] OST: Open Space Technology i.e., a participatory procedure / mechanism.

Table 10: Context Particulars						
Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
		public participation in decision-making	high population density	centralised state with little decision-making power devolved to local governments (first established, 1993)		planning and environmental management'
Aitken (2010); Scotland, United Kingdom (UK)	Renewable energy; more specifically a wind farm proposal	Prospective developer; one of UK's largest energy companies	Rural project; nearest largest town, 7 miles. Site: 450 hectares; 32MW project	[2] Local Authority, decision-maker; project proposer's appeal managed centrally, i.e. Scottish Government	Formal, statutory space within planning application appeals process	An 'unprecedented number of objection letters'; local campaign group, no statutory consultees registered opposition
Bedford et al (2002); London, England, UK	Development proposal; two separate brown field site redevelopment projects	Private developer; developer enters public-private partnership with Local Authority [LA].	Urban, riverside site; 3.0-hectare. Mixed-use development	[3] Sub-Committee or Chief Planning Officer; LA's Planning Committee; Secretary of State	Participants invited. Beyond 'conventional practice', extensive consultation. Formal space in development control process i.e. Pre-Application Consultation [PAC]	Local opposition registered at both sites: including, statutory consultees, members of the public and local organisations
		Private Developer	Urban, railway site; 0.3-hectare. Residential development			
Baker et al (2010) Study One: England, UK	RSS strategic planning (regional)	RSS Partnership i.e., planning authority working with regional stakeholders	Study Two: North West England (regional)	Multiple: neighbouring local authorities, private & public agencies, statutory consultees	Formal spaces for citizen and stakeholder involvement as prescribed in planning policy	Complex governance structures: 'Local and regional levels in England are congested institutional landscapes and are characterised by differences in governance structures'
	LDP spatial planning (local authority)	English planning authority	Study One: English planning authorities (local)	[1] Local planning authority		

Table 10: Context Particulars

Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
Bickerstaff and Walker (2002; 2001); England, UK.	Transport planning: provisional Local Transport Plans [PLTPs] + final LTPs	LTP Lead: local Highway Authority [HA]. (Requirement derived from English transport policy)	Transport planning at the local level i.e., local authority wide	Multiple: Local HA (lead); policy recommends partnership-working with other 'service providers' in PLTP production	Formal, invited spaces; policy prompts 'major shift in approach'. LTP assessment considers participation quality; extensive public & stakeholder involvement recommended	New territory for HAs: plan development formally reserved for 'technical and political '"expertise"'
Cunningham & Tiefenbacher (2008); El Paso, Texas, USA	Airborne emissions permit; ASARCO LLC smelting site	Instigated by ASARCO LLC's permit renewal application; Environmental Protection Agency [EPA], Texas Commission on Environmental Quality [TCEQ] and City of El Paso deliver participatory events.	A disused factory site (since 1999 closure) on the 'banks of the Rio Grande', El Paso, Texas. Site is as close 'to the interior mines of Mexico' as possible, whilst remaining in USA territory	[3] Federal (EPA); State (TCEQ, decision-making body); and Local (City of El Paso)	Formal space: local opposition & political pressure created participation opportunity. Legal battle (between ASARCO LLC + TCEQ Office of Public Interest) resulted in court-ordered Public Hearing	A highly contested case; much local distrust; three government bodies; new territory for Texas state considering its first contested permit renewal application process
Brown and Chin (2013); Brisbane, South East Queensland, Australia.	Neighbourhood Planning	Brisbane City Council [BCC]	The Sherwood-Graceville Neighbourhood Plan is a planning district, within South East Queensland region. District 'encompasses several suburbs' with an approximate combined population 16,500	[2] BCC author plan for 'entire metropolitan region'; State Government sanction required	Formal, statutory: state policy and 'associated regulations' require BCC to have an engagement policy	Unique governance structure: only Australian council with metropolitan jurisdiction. Planning issue with 'high public visibility' and social mobilisation (i.e., action groups & political opposition)

Table 10: Context Particulars

Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
Blackstock et al (2007); Kelly et al (2007); North East coastline, Queensland, Australia.	Participatory Research i.e., a sustainability research collaborative	Partnership project: Douglas Shire Sustainability Futures project [DSSF] 'funded by the local government, CSIRO, industry partners and state government agencies'	The Australian 'shire' refers to a local government boundary. Douglas Shire: small, rural coastal region, with an approximate population 11,500	Multiple: local, state and federal government depts; industry partners; research and development organisation	Non-statutory, voluntary partnership project; open to public and stakeholders	Only Australian region encompassing two World Heritage sites. Governance landscape: political divisions within council; strained working relationships between local, state and federal departments
Blackstock et Richards (2007)	Natural resource management; specifically, river basin management	Overseen by a small steering group comprising five agencies that have statutory responsibilities under Habitats Directive	The River Spey: river basin approximately 3000km²; resident population around 23,000	Multiple: Scottish Natural Heritage, Scottish Environmental Protection Agency, Spey Fishery Board, Highland Council and Moray Council	Non-statutory, voluntary partnership producing a non-statutory output i.e., Spey River Basin Management Plan	River Spey is a Special Area of Conservation with an 'internationally important population of Atlantic salmon' (Blackstock et Richards, 2007, p. 498)
Marzuki et al (2012); Langkawi Islands, Malaysia	Planning for tourism; the participatory processes linked to Langkawi Islands Structure Plan [SP] and Local Plan [LP] development	Responsibility for plan development (& participation process): State Govt. and State Planning Committee responsible for SP; Local Municipal Councils responsible for LP	Langkawi Islands: comprise 104 islands; Langkawi, main island; land area of 466.51 km²	[2] Structure Plan: authored by State Govt. & requires State Executive Council sanction. Govt. hierarchy: federal (National Plan), state (Structure Plan) and local (Local Plan).	Formal spaces for public and stakeholder involvement set out in the Town Planning Act (172), 2001	Since 1986, 'substantial public infrastructure and tourism development' since 'declaration of the islands as a duty-free zone'
Gelders et al (2010); two cases located in Belgium (i.e. Lochristi and Braine l'Alleud)	Local Security / Policing; more specifically, study focusses on	Local Police: in response to burglaries local police 'organised	Lochristi: 20,000 residents, average income 15,441 Euros per inhabitant.	[2] Local Police; Municipality. These two agencies provide financial and	Co-created space: perceptions of fear and high burglary	NWPs established in 'well-off' areas: 'In the neighbourhood watch

Table 10: Context Particulars

Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
	neighbourhood watch projects [NWP]	an informative meeting'		infrastructure support for NWP	rates led to interest in NWPs	districts the income is well above average'
		Local Government: Brain l'Alleud 'is rather a governmental initiative'	Braine l'Alleud: 37,000 residents, average income 16,560 Euros per inhabitant		Co-created / Claimed Space: residents' request for physical intervention unpopular with 'commissioner' and 'mayor'. Alternative NWP approach was accepted	
Adams (2004); Santa Ana, California, USA	Policy making; more specifically in 'city and school district policy'	City council and/or school boards.	Santa Ana: former suburb of Los Angeles, now mid-sized city with approximate population of 320,000	-*-	Formal: California's Brown Act stipulates 'all meetings of local government to be open to the public'	Researcher does not present Santa Ana as a 'typical or representative city'; therefore, findings are not generalisable
Chompunth and Chomphan (2012); Thialand	Development project; more specifically the Hin Krut power station	Unclear: assumed developer and/or local authority	Site specific: proposed power plant development project (later cancelled)	Unclear: the 'authorities and developers' are referenced throughout	Formal: 'the concept of public participation in the environmental decision-making process through a number of laws and legal requirements was established' in Thailand	Controversial project, strained relations. Power plant proposal 'cancelled'; little evidence linking public participation to outcome
Bawole (2013); Republic of Ghana, West Africa	Offshore oilfield development project; more specifically Phase 1 of Ghana's Jubilee Oil Field	Jubilee Partners	Site specific: Off-shore oil field (i.e., The Jubilee Oil Field) located off Ghana's Western Region. Study considers project's Phase 1	Multiple agencies since 'oil projects have interests beyond local interest'. Hence 'national, regional and local government, chiefs, NGOs and	Formal: The Environmental Impact Assessment Regulations stipulate 'affected communities participate in the process of the EIA'	Contentious project with multiple interests.

Table 10: Context Particulars						
Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
			comprising a 110 km² area	occupational associations' were involved		
Kangas et al (2014); Puijo Forest, Finaldn	Forest management; more specifically, development planning in Puijo Forest	Unclear: 'Due to the lessons learned from these processes, the most recent planning process in Puijo was decided to be carried out as a participatory planning process'; Steering Group appointed	Puijo Forest: situated on a hill 1.5km from city centre covering 500 hectares. Puijo Forest has approximately 7500 annual visitors	Multiple agencies: Steering Group [multiple city council department representatives; Finnish Forest Research Institute; and Kuopion Matkailupalvelut Oy]; final decision-making power held by Kuopio City Council	Beyond statutory requirements. Defined by the Internal Labour Office, public participation is: 'voluntary, is complementary to legal requirements'	Previous development plans have been poorly implemented; perhaps, attributed to conflict / disagreement. Second, 208 hectares 'belong to the Natura 2000 sites' i.e. a Special Area of Conservation [SAC]
Lamers et al (2010); Kromme Rijn, Netherlands	Water management; more specifically, developing a new water management plan	Public participation program was 'co-designed and executed' by a) the water board (HDSR i.e. a regional level water board) and b) the article's authors. HDSR acted as 'convener, stakeholder, and technical expert in the process'	Kromme Rijn region, Netherlands.	[3] three identified agencies: the regional-level water board members (HDSR); province and municipal authority representatives; and researchers (i.e., article's authors)	Involving public and stakeholders in 'water management planning is a policy requirement from higher-level governance'. The participatory program is beyond 'traditional responsibility of the water board'	Participatory planning process cast in doubt with 'major conflicting interests' at start. However, findings are mostly positive
Roma and Jeffrey (2010); Central Java, Indonesia	Community based water and sanitation planning; more specifically implementation of	CBS technology providers	Nine communities in Central Java, Indonesia; pseudonyms assigned	Unclear. In 2001, 'institutional decentralisation' was initiated; whereby, 'local districts'	Formal invited space: CBS providers select communities able to demonstrate 'willingness to	A densely populated developing country whereby poor water and sanitation planning

Table 10: Context Particulars						
Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
	community-based sanitation [CBS] systems		to protect community anonymity	received investment to develop locally sustainable solutions	participate in planning', training, cost and operation management	compromises health, 'social and economic life'
Omidvar et al (2011); Bam, Iran	Disaster reconstruction; more specifically, reconstruction of devasted city Bam, south-eastern Iran	Joint reconstruction endeavour, agencies noted: Bam Governance Headquarters Secretary; Bam Quake-stroke Areas' Reconstruction Headquarters; Housing Foundation of Islamic Revolution (HFIR); Bam's Reconstruction Supreme Supervisory and Policy-making Association (BRSSPA)	Bam: city in Kerman province, Iran. Including nearby rural areas, Bam has an approximate population of 1,42,376 and geographic area of 19,374 km²	Multiple agencies and experts involved, notable:	Invited space; disaster reconstruction	Joint reconstruction endeavour, with multiple agencies, highly sensitive
Finnigan et al (2003); British Columbia (B.C.), Canada	Collaborative land use planning in B.C., Canada	Stakeholder group convened to undertake the sub-regional Land and Resource Management Planning process	B.C. westernmost province of Canada. This study considers all Land and Resource Management Planning processes conducted between 1995-2002 (17, total)	Multiple: B.C. Government initiated a collaborative planning [CP] approach to land use plan development (in 1992) requiring 'stakeholders from government, the private sector and civil society'	-*-	Land use planning in B.C. changed to a CP approach in 1992; formally, under the remit of Ministry of Forests [MOF]. Much conflict (e.g., 'protests and blockades') led to these practice changes

Table 10: Context Particulars

Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
Harrison et al (2004); London, England, UK	Policy and strategy development; more specifically, Greater London Authority's [GLA] policy development processes	GLA: 'Mayor and GLA experimented with new mechanisms for engaging Londoners in debate and policy-making during the first few months of their election'	Harrison et al (2004); London, England, UK	Policy and strategy development; more specifically, Greater London Authority's [GLA] policy development processes	Invited space	-*-
Kahila-Tani et al (2016); Helsinki, Finland	Masterplan development; a revised city masterplan	Assumed local governance: 'The City of Helsinki began the planning process for a new master plan in 2013'	Finland's capital, Helsinki	-*-	-*-	Masterplan focus
Sayce et al (2013); California, USA	Environmental planning; more specifically, planning for marine protected areas [MPAs]	Public-private partnership working to implement the California Marine Life Protection Act [MLPA]	A 'statewide marine protected area'. Previous failed attempts to work at state scale led to MPLA Initiative identifying four regional geographies: central coast; north central coast (2.6million population); south coast (17million population); north coast	Multiple agencies in a statewide public-private partnership i.e., a Statewide Interests Group [SIG]; two Regional Stakeholder Groups [RSG]; a Blue Ribbon Task Force; Initiative Staff; external groups (i.e. members of public); and Science Advisory Team	Statutory requirement for participation in Brown Act MLPA; article reports on both 'legally mandated participation (described as traditional) as well as 'innovative and unconventional outreach and engagement strategies' beyond mandated requirements	The collaborative approach followed 'two unsuccessful efforts to implement the MLPA between 2000 and 2002'
Booth and Halseth (2011); British Columbia (B.C.), Canada	Collaborative land use planning in B.C., Canada: a 'comprehensive land	-*-	-*-	Booth and Halseth (2011); British Columbia (B.C.), Canada	Invited; a 'comprehensive land use and natural	-*-

Table 10: Context Particulars

Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
	use and natural resource planning exercise'				resource planning exercise'	
Sarvašová et al (2014); Slovak Republic [SR]	Forest management; more specifically, development of National Forest Program [NFP] in SR (national level); and Forest Management Plans [FMPs] (local level)	Ministry of Agriculture in Slovak Government and Parliament responsible for establishing NFP	National scale: SR has '2170 thousand hectares' of forest, 40.9% state ownership	[3] Ministry of Agriculture [MA] appoint Forest Research Institute [FRI] for NFP development. Latter is part of National Forest Centre [NFC]	Formal requirement for 'participation of the public …is a condition for the formulation of shared forest policy documents'	Participation remains formal with participants largely from authorities, forest owners / managers and environmental interest groups
		The 'forestry state administration authorities' responsible for FMP development	Local scale: study considers two District Forest Offices [DFOs] with combined total of 56 FMPs covering 240,000 hectares	Unclear: At local level there are eight DFOs and 38 Local Forest Offices working under national policy legislation		
Street et al (2014); Canada, UK, Australia, New Zealand, USA, Brazil and Italy	Health policy and research; more specifically, citizens' juries [CJ] role within health policy development	-*-	-*-	-*-	Invited spaces; decision-making is typically reserved with few studies committed to considering CJ outputs	-*-
Lynne and Busenberg (1995); USA	Environmental issues with 'scientific and technical dimensions'.	The Citizen Advisory Committee [CAC] sponsors referenced include public agencies or industry agencies	CAC used in multiple scales / geographies: from local, city, state and federal	Multiple agency levels making use of CACs: ' organizations being advised [by CACs] included local, state, regional, and federal governmental units'	Formal, invited space whereby final decision-making power is reserved	Amidst growing conflict, 'stalemate' around contentious issues, CACs were recommended as a means for increasing public involvement. Article underscores factors for CAC 'success'

Table 10: Context Particulars

Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
Brownill & Carpenter (2007a); Brownill (2009); Oxford, UK	Transport planning; redesign of a two-mile stretch of road in Oxford	Project lead, Oxfordshire County Council i.e., a regional authority	Urban, local project i.e., two-mile road site. Yet, culturally diverse with students, ethnic minorities, asylum seekers, vulnerable groups & gentrifiers	[3] Central Government, i.e., Department for Transport (project funder, their sanction required); Oxfordshire County Council (project lead, 'wider area authority'); Oxfordshire City Council (elected local authority, with land use planning authority)	Invited, frontloaded consultation prior to statutory consultation phase; decision-making power reserved i.e., not transferred to public	Competing rationalities among project influencers; lead authority regarded project as a 'potentially difficult scheme'; diverse population despite small, local nature of project; 'dense network' of organisations 'with a long history of active engagement in local issues'
Hopkins (2010a, 2010b); Perth, Western Australia	Spatial planning; a new spatial strategy for Perth's metropolitan region	Project (i.e., Dialogue with the City) 'initiated and driven by the Western Australian Minister for Planning and Infrastructure'	-*-	-*-	Formal, invited space	a new spatial strategy for Perth's metropolitan region; large scale; multiple agencies
Jarvis et al (2011); Coventry, UK	Neighbourhood regeneration; new regeneration framework masterplan for suburban neighbourhood	A 'new partnership approach to renewal' established; project 'impetus' traced to 'public-private partnership driving investment' and local government's 'new willingness' to engage 'comprehensively with residents'	Suburban neighbourhood characterised by three 'sub-neighbourhoods'; approximately 5500 residents (combined total); located 'six miles southwest of city centre'	[2] Locally led by Coventry City Council (i.e., local government) and public-private partnership	Formal, invited space; local government statutorily required 'to produce sustainable community strategies'	Neighbourhood characterised by deprivation; much distrust of public agencies; intra-resident distrust; generally apathetic & disengaged resident population

Table 10: Context Particulars

Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
Bond and Thompson-Fawcett (2007); Wanaka, New Zealand	District strategic planning; develop a new 'strategic plan for the district' of Wanaka	Newly elected council and Mayor, project leads: 'The new Mayor and Council initiated a charrette-based community planning process, Wanaka 2020'	Small township in Queenstown Lake District; growing permanent population (approximately 5000 in 2006 census); subject to seasonal influxes	[2] Newly elected / appointed Mayor and Local Government	Invited, non-statutory (consultation exceeded 'minimum legal requirements')	Much public discontent with planning practices evidenced in 9/12 newly elected councillors, 2001
Toker & Pontikis (2011); Pacoima, San Fernando Valley, LA, USA	Neighbourhood regeneration for a site identified by the project's community partner	Shared responsibility: California State University Northridge [lead] and Pacoima Beautiful [local community partner]	Suburban neighbourhood (Pacoima) in the north-eastern part of the San Fernando Valley region of Los Angeles	[2, Non-governmental agencies] grassroot environmental advocacy agency and California State University, Northbridge	Informal, created, university pilot project not linked to formal planning	Pacoima: high concentration of industrial uses; disconnected residences lacking services, amenities; and 'poorly planned subdivisions' resulting in poor but 'conventional' urban form
Parama (2015); Atlanta, USA	Urban regeneration; large scale Atlanta Betline regeneration development project	Shared responsibility; public-private partnership venture; multiple agencies at project's helm. Local government bodies are 'financially and administratively …at the core' whilst private and non-government agencies are also key	$2.8billion urban regeneration project; 22mile loop connecting 45 in-town neighbourhoods	Multiple; although, Atlanta Development Authority responsible for 'planning and implementation of the BeltLine'	Formal, invited; decision-making power reserved (i.e., 'Atlanta BeltLine with its partners make the final decision')	-*-
Petts (2001); England, UK	Waste management strategy planning	Essex county council, waste disposal authority	Local authority wide; 'waste strategy development by	[2] local waste disposal authorities within local authority	Formal, invited spaces within a non-statutory process of waste	Pressing, imminent issue of waste management; citizens

Table 10: Context Particulars						
Reference	Scenario	Project Proposer	Scale / Geography	No. of Agencies Involved	Type of Space	Miscellaneous
			English local authorities'		management planning: 'The non-statutory nature of the strategies…'. Recommendations in outputs are 'non-binding'; thus, decision-making power not transferred	distrust local institutions
		Hampshire county council, waste disposal authority				Pressing, imminent problem; landfill exhausted; failed incinerator application; citizens distrust local institutions
		Local Government Management Board, Hertfordshire				Local petition against county council's draft waste plan; citizens distrust local institutions

Table 10: Six categories of context particulars

4.2.2 Evaluation Examples: Process

Table 11 derives programme or project particulars pertaining to the PE evaluated. The first column describes *project proposer rationales* i.e., the justification or motivation for a PE, which is an important description influencing PE design, participant recruitment, information handling and so forth (Fiorino, 1990; Stirling, 2006; Stirling, 2008; Wesselink et al., 2011). Not all studies included were explicit regarding project proposer's intentions. Often, in its absence and within a broader discussion on policy context, authors made reference to recommendations and/or statutory requirements. Similar to Bickerstaff and Walker (2001) findings, some projects made non-committal statements suggesting citizens should be able to express views, have values incorporated and referenced the general saliency of public participation (Booth & Halseth, 2011; Brown & Chin, 2013; Chompunth & Chomphan, 2012; Kahila-Tani et al., 2016).

Instrumental rationalities were evident: that is, a means-to-an-end orientation intended to serve project interests and restore credibility. For example, fulfil statutory requirements for participation (Bawole, 2013; Sarvašová et al., 2014); build support, acceptance and buy-in for the project's output (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Kangas et al., 2014; Kelly et al., 2007; Lamers et al., 2010; Petts & Leach, 2001; Roma & Jeffrey, 2010; Roy, 2015); or mitigate possible conflict or contention (Booth & Halseth, 2011; Finnigan et al., 2003; Omidvar et al., 2011).

Other studies offered substantive and normative leanings. Regarding the latter, a few project proposers made an explicit commitment to reverse technocratic decision-making procedures and deliver a more inclusive process recognising citizens' democratic right to be heard (Bond & Thompson-Fawcett, 2007; Hopkins, 2010a, 2010b). Unlike this normative, egalitarian orientation a substantive perspective is interested in bettering the project and genuinely values tacit, external knowledge to add another usable layer. Although somewhat unclear, several projects appeared to value input describing their intentions to deliver usable recommendations in decision-making, solve problems and identify policies with local input or use deliberative mechanisms to review a broad range of issues (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Harrison et al., 2004; Lynn & Busenberg, 1995).

Rationales do not describe how citizen and stakeholder input will be used i.e., its role, remit or scope. Column two derives the *role, remit or scope* input has within the PE. For example, input in some studies was used to inform final decision-making (Aitken, 2010; Chompunth & Chomphan, 2012; Cunningham & Tiefenbacher, 2008); others informed provisional plan development (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001); contributed to a new or revised plan or strategy development processes (Baker et al., 2010; Blackstock & Richards, 2007; Bond & Thompson-Fawcett, 2007; Booth & Halseth, 2011; Brown & Chin, 2013; Finnigan et al., 2003; Hopkins, 2010a, 2010b; Jarvis et al., 2011; Kahila-Tani et al., 2016; Kangas et al., 2014; Lamers et al., 2010; Marzuki et al., 2012; Sarvašová et al., 2014; Sayce et al., 2013); informed new or revised development proposals (Bedford et al., 2002; Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b; Denters & Klok, 2010); generated new usable data (Blackstock et al., 2007; Gelders et al., 2010; Toker & Pontikis, 2011); informed policy or guideline development (Adams, 2004; Harrison et al., 2004); or provided recommendations to decision-makers (Lynn & Busenberg, 1995; Street et al., 2014). The subsequent effects of input may be more immediate or obvious in, for instance, final decision-making or development proposals, rather than PEs informing policy development or producing recommendations.

Further distinctions were derived from process design. *Mechanisms* (i.e., methods and involvement strategies), *involvement windows*, *internal or external facilitation* and whether *effects* were positively or negatively regarded are noted in Table 11. Projects with a normative leaning were (perhaps expectantly) concomitant with more extensive mechanisms and opportunities for involvement (Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b; Hopkins, 2010a, 2010b; Sayce et al., 2013). Baker et al (2010) building on previous classifications (see Petts & Leach, 2001) describe mechanisms outside the traditional, consumer-focussed, innovative consultative and innovative deliberative groupings.

Authors extend to include come-to-us versus go-to-you; immediate versus long-term; and in-breadth versus in-depth. Similar to Bickerstaff and Walker (2001), Baker et al (2010) found evidence public authorities used innovative, tailored engagement strategies. The former's survey found seventeen percent of respondents (i.e., highway authority officials) recognised some methods were more effective than others. However, in both studies traditional, consultative

approaches appeared more prevalent. Column four describes the *mechanisms* and strategies for involvement. Not always was this information available with some studies discussing broadly the consultative or collaborative activities (Bawole, 2013; Blackstock et al., 2007; Blackstock & Richards, 2007; Roma & Jeffrey, 2010). Where possible, mechanisms were classified using the Petts and Leach (2001) typology: 'L1' education and information (e.g. information provision, advertising, social or online media and information sessions), 'L2' information and feedback (e.g. public meetings, feedback reports, surveys, comment submission, feedback surveys, exhibitions), 'L3' involvement and consultation (e.g. workshops, participatory GIS (land mapping), focus groups, open houses) and 'L4' extended involvement (e.g. planning for real, citizens' juries, consensus conference, citizen advisory committees, charrettes and so forth).

More traditional, consultative approaches relying on participants' self-motivation were widely referenced. The more formal processes generally relied on L1 and L2 methods; for example, information provision, representations and face-to-face public hearings or inquiry (Aitken, 2010; Cunningham & Tiefenbacher, 2008). However, many more projects cited a suite of different mechanisms that included innovative deliberative approaches (Bedford et al., 2002; Bond & Thompson-Fawcett, 2007; Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b; Harrison et al., 2004; Hopkins, 2010a, 2010b; Kangas et al., 2014; Marzuki et al., 2012; Petts, 1995; Sarvašová et al., 2014; Street et al., 2014; Toker & Pontikis, 2011); longer-term mechanisms (Brown & Chin, 2013; Gelders et al., 2010; Hopkins, 2010a, 2010b; Jarvis et al., 2011; Lamers et al., 2010; Petts, 1995; Roy, 2015; Sarvašová et al., 2014); and go-to-you, targeted strategies tailored to stakeholder or interest (Bedford et al., 2002; Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b; Denters & Klok, 2010; Jarvis et al., 2011; Kangas et al., 2014; Sayce et al., 2013). Overall, it would appear PEs are making use of more innovative, tailored approaches to engage citizens and stakeholders.

However, findings imply projects driven by a non-self-serving rationale and delivering an extensive programme of involvement is not a panacea for effective, best participatory practice. Therefore, analysis of outcomes (presented in Table 11 and in the following chapter) lends support to Wilson's (1999) more does not necessarily mean more democratic argument. For example, the PE in Brownill (2009); Brownill and Carpenter (2007a) had hallmarks of a good or effective

process: a percentage of the agreed budget was reserved for participation delivery (i.e. resources), an external process manager and expert consultants were appointed (i.e. independence, process management and external facilitation), several windows for involvement at different project stages were offered (i.e. continuous involvement), and various, targeted mechanisms were used (i.e. workshops, online, questionnaire, video-making, interviews, open-days, design-days, going-to and targeted engagement).

Whilst the case study showed 'positive impacts' on, for example, 'local networks, narratives and emotions', there remained 'serious limitations to the ability of this approach to influence outcomes' (Brownill & Carpenter, 2007b, p. 419). The practical ideal of bringing together all relevant interests and stakeholders was not fully realised. Local business representatives were particularly disengaged during early, frontloaded involvement and the technical nature of workshops left a chiefly professional group actively involved. Hopkins (2010a, 2010b) similarly described laypersons defaulting to professionals during interactive sessions.

Furthermore, an articulate, savvy group of cyclists admitted hijacking design days to advance their agenda. Actions which are at odds with the communicative ethic of reciprocity, mutual exchange and shared understanding. These participants had an outrightly uncollaborative attitude. In addition, the project proposer -who reserved decision-making power- determined the type of knowledge sought through citizen and stakeholder involvement. Therefore, the cyclists' alternative road re-design proposal (informed by some of the groups' professional knowledge of transport planning) was unwelcome. The local authority was not looking for 'technical 'rational' planning arguments' but experiential knowledge from road-users only (Blue et al., 2019; Brownill & Carpenter, 2007b, p. 405).

Lastly, business interests may have deliberately held out for the later statutory consultation phase. Despite their disengagement, business interests were highly regarded given their local economy role; thus, evidencing a power imbalance among interests. The road re-design proposal that emerged from earlier, frontloaded engagement, underwent 'significant changes' during this statutory consultation phase; therefore, undermining the level of influence the earlier community-oriented consultation had on the final proposal. Oddly, the implemented design that was conscious of supporting local businesses may have even been damaging:

> Unintended consequences also include the potential irony of the scheme threatening the local enterprise culture it sought to protect as landlords have increased the cost of shop leases forcing many local retailers to move on or close. (Brownill & Carpenter, 2007b, p. 422)

Overall, despite characteristics of a good process there were several shortfalls (see Table 11 for an outcome summary). A more recent study similarly observed 'such side-lining' in the 'deployment of participatory creative methods' as conservative, 'business-as-usual' plans followed such processes (Manuel & Vigar, 2020, p 13).

Alongside a range of mechanisms, best practice recommends multiple involvement windows throughout project development (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001). Column three describes when *involvement windows* were offered, and to whom. A minority of studies described tailoring windows based on the stakeholder and/or citizen status (Sarvašová et al., 2014). Lamers et al. (2010) offered earlier engagement opportunities to their 'core' stakeholder group, whilst others had fewer windows. On the other hand, Parama's (2015, p. 63) large-scale regeneration development project offered on-going, sustained involvement with a dedicated 'engagement advocate office'. Nonetheless, Parama's (2015) findings epitomise many of the often cited pitfalls waged against collaborative planning practice.

The majority of studies described project stages starting from scoping, problem identification through to development, preferred options and implementation. Most studies offered two to three windows across this spectrum: often, scoping, development then preferred options. Some studies lay outside this continuum; that is, offered very early engagement or involvement too late. Sayce et al. (2013) -with generally very positive outcomes- published details on their engagement strategy welcoming feedback on the proposed approach. At the other end, Chompunth and Chomphan (2012) described opportunities arriving too late, and after conflict had started.

The final columns make a distinction between *internal and external facilitation*, and the project's perceived *effects*. Several studies were unclear on who designed and delivered involvement strategies (Baker et al., 2010; Bawole, 2013; Blackstock & Richards, 2007; Kangas et al., 2014). Others were explicit. Self-group facilitation was a key feature of some mechanisms (Mannarini & Talò, 2013); moderators were sometimes hired (Petts, 2001); and more formal processes were led by legal appointees (Aitken, 2010; Cunningham & Tiefenbacher, 2008). Similarly, projects

committed to broad, inclusive engagement often appointed professional facilitators (Bond & Thompson-Fawcett, 2007; Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b; Denters & Klok, 2010; Sayce et al., 2013).

The majority of projects stated, or implied, internal facilitation. With several concluding external, professional facilitation may have been preferred: Harrison et al. (2004) reports on a strict facilitator-led agenda; Conrad et al (2011) found a lack of professional ethics; and Blackstock et al (2007, p. 733) found 'strong support' for future external facilitation. Similarly, in Hopkins (2010a, p. 60) the PE outwardly stated a commitment to 'democratic objectives' and appointed external facilitators. Internal, 'state government planners', filled roundtable positions when external professional availability was low; however, planners failed to remain neutral (2010b, p. 264).

The sixth column summarises projects' cited *effects*. Further analysis subsequently grouped effects into positive or negative process and outcome camps. A fuller description of process and outcome characteristics is presented in the following chapter. The purpose was to derive current definitions of success and inform best practice process and outcome evaluation criteria. The findings from this analysis were used in the development of the preliminary framework.

Table 11: Participatory Program Particulars

Reference	Project Proposer Rationales	Role, Remit or Scope of Input	Involvement Windows: When and to Whom?	Mechanisms	Internal / External Facilitation	Positive / Negative Effects [+ / -]
Mannarini & Cosimo Talò (2013)	-*-	[OST Bari 1] Contribute to developing policy guidelines regarding 'youth participation in decision-making' [OST Bari 2] Contribute to developing a future vision for Apulia region [OST Locorotondo] Residents contribute to developing guidelines for an urban renewal project [OST Minervino] To contribute to 'developing a shared list of proposals and projects for sustainable tourism' [OST Galatina] To 'discuss youth policy guidelines'	Assumed early: issues from group discussion reported in 'final document' and used as 'the starting point for new urban policies'	Researchers focus on one participatory mechanism i.e., OST which is an unstructured small group deliberation	OST facilitators introduce discussion leaving group to self-facilitate: 'No external professional facilitation is provided for the group work…'	Findings suggest participants' likelihood of future involvement depends on 'dialogue' criteria perceptions (more than knowledge / understanding or outcome criteria). More specifically, if discussion was perceived to be open, respectful and collaborative; if results were positively regarded; if participants' costs were low; and adequate information provided, then participants are more likely to partake in similar PEs
Denters and Klok (2010)	Normative reasoning: post disaster, consensus emerged to extend '"maximum feasible participation" in the planning process'	Former residents' views 'should guide the planning decisions'; involvement tasked with informing redevelopment proposal and final decision-making	[Involvement rounds] First: taking stock of residents' views to inform 'planners' work'; Second: post Municipal Executive Board agreement, citizens consulted for their approval before	Described as 'extensive participation process' including: [L1] publicity [L2] public meetings; feedback reports of sessions; exhibitions of children's work; citizen votes [L3] targeted sessions for specific	Municipality appointed a) 'independent and experienced community worker' to host participatory sessions and b) a town planner i.e., 'external expert' for draft proposal development. Resident	[+] Few objections to proposed redevelopment plan; residents 'generously informed'; public bodies 'lived up to' their promises regarding citizen involvement; clear role definition;

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			application to Municipal Council for final approval	groups; [L4] three expert panels convened	representatives involved in town planner's selection / appointment	citizens had 'right of approval' prior to final municipal sanction; 'widespread and representative public participation' achieved
Conrad et al (2011)	Public participation enshrined in Maltese planning policies [statutory requirement]; Insiders' expectations (i.e., planners, public officials) included - ensure workable outputs, pre-empt conflicts, satisfy many interests and compliment expert knowledge [instrumental and substantive rationales]	-*-	-*-	Limited range of methods (typically L1-L2; no evidence of L3-L4 methods) e.g., local advertising, written representations / comments and public meetings. Public have no influence on participation programme design	Internal i.e., local planners host public participation activities: 'One planner confirmed the practical difficulties of handling public discussion…' Planners appear to lack facilitation expertise: authors' findings included, 'lack of professional ethics and expertise'	[-] participants felt intimidated at public meetings; meetings conducted in one language despite bi-lingual status of Maltese state; possible deliberate exclusion e.g., unfavourable times; poor information provision; technical jargon excludes; poor attendance; prerequisites for quality deliberation unobserved (e.g. 'foul language or uncouth behaviour'); and lack of influence on outcomes
Aitken (2010); Scotland, United Kingdom (UK)	Policy Goals: strengthen community involvement, better reflect local views; quicker investment	To inform a decision-making process; inform resolution to prospective developer's planning appeal	[2] Planning application & first refusal, 2003-2005. Appeal submitted 06/2005: appeals process and public inquiry, duration	[L1] Representations; [L3] Public Inquiry: public meetings, witness testimony, cross examination	Internal facilitation: Scottish Government appointed 'reporter' to 'oversee and adjudicate' inquiry	[+/-] Planning appeal upheld i.e., original refusal overturned [+] local opposition influences local authority planning

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	decisions, speedier decision-making		unknown. Opportunities for involvement throughout: 'opportunities for public participation clearly existed throughout the planning process'			application decision; social mobilisation influences public inquiry agenda [-] objective, scientific knowledge appears prioritised over lay knowledge; participants' perception of 'credible' input implicitly shaped
Bedford et al (2002); London, England, UK	[Riverside project] Developer perspective: reduce public opposition, reduce post-application workload [instrumental]	Citizen and stakeholder consultation to inform revised development proposal	[2] First, early; prior to submission proposal. Second, developmental; planning application review.	[L1] staffed exhibits, postal survey, online depositories; [L3] focus groups, targeted meetings	External: 'consultants' retained to deliver consultation. Local Authority provide online portal	[+] Fewer objection representations [-] Participants perceive little impact on outcomes
	[Railway project] Local Authority perspective: increase perceptions of process transparency and fairness [instrumental]	Citizen and stakeholder consultation to inform new development proposal	[2] First, early; site brief development. Second, decision-making; planning committee address	[L2] Public meetings, planning committee address. Unspecified additional mechanisms during PAC	Assumed internal: 'developer also undertook pre-application consultation'	[-] Participants perceive process to be tokenistic, little consideration given to input
Baker et al (2010)	[Policy Goals] PPS 11: citizens and interest groups should make a 'contribution...to the content of the revised RSS'.	[RSS] To inform development of new RSS (strategic) plan preparation	[3] The RSS and LDP plan-making process has 'potentially three stages of participation plus a public examination'. Windows cited by authors include issues and options	Traditional methods (not tailored to project stage or stakeholder type) found most common. However, some evidence of innovation; for example, deliberative & interactive methods,	Since planning reforms, 'partnerships and joint working to facilitate' consultation 'has been strengthened'. Study found resources are scarce; thus, authorities need 'outside help' 'to bridge the financial as	[+] More thinking around participation strategies; earlier participation opportunities [-] little innovation or tailoring participation; in absence of M&E, often participation is paid 'lip service'; procedural and
	[LDP, policy goals] PPS 12: plan documents are locally distinct, reflect	[LDP]				

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	local need, and secure buy-in from delivery stakeholders	To inform development of new LDP (local spatial) plan preparation	stage as well as preferred options stage	going-to approaches. Study finds latter not always effective	well as practical hurdles' in delivering participation	structural barriers to involvement persist; high levels of dissatisfaction reported
Bickerstaff and Walker (2002; 2001)	Policy Goals: Citizen and stakeholder participation needed to engender widespread plan support, deliver changes in travel patterns, solve problems with tacit knowledge, raise travel awareness [instrumental]	Two roles: one, inform provisional Local Transport Plans; two, inform final LTP. National government would like public and stakeholders' views to make a difference	Findings show: 55% of Highway Authorities [HAs] used consultative participation at problem identification; minimal in early strategy development; 10% throughout strategy development; 45% at preferred option consideration	[L1-L2] most common, little innovation. [L1] consultation document, media [L2] public meetings, exhibits, roadshows, survey [L3] online tools, issue forums [L4] visioning workshops, citizens' juries	Assumed internal [HAs]: findings show 'almost all *highway authorities* have carried out involvement programmes (96%) …' (emphasis added)	[+/-] majority HAs report some to limited impact on PLTP; [+] new & improved relationships; empowerment (i.e., building citizens' willingness & ability to engage, establishing new communications links, previously silent heard); knowledge & understanding, two-way shared learning; greater participation-delivery awareness [-] Poor turnout, apathy; processes unrepresentative of wider community; citizens disengage with strategic, policy rhetoric as they prioritise local concerns; lack of resources (time, staff, finance) impedes delivery of full participation; consultation overload

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						discourages involvement
Cunningham & Tiefenbacher (2008)	Events generally lacked 'decision-making' and 'participation value'. Rather, the participatory events 'intended to help the citizens formulate opinions regarding the permit'	Public Hearing [PH] to inform Administrative Legal Judges' permit-renewal recommendation to TCEQ of Public Interest Council	Permit renewal application submitted, 2002. Participatory events: 1999, x6; 2000, x3; 2001, x1; 2002, x1; 2005, x1 i.e. court-ordered PH	[L1] 'opinion forms' [L2] public meetings; court-ordered PH	Internal: agencies EPA, TCEQ and City of El Paso. External [PH] court-appointed 'two administrative legal judges (ALJs) for the State of Texas' to oversee PH	[+/-] Administrative Legal Judges recommend not renewing permit [+] those most effected were involved [-] Three public agencies failed to provide 'adequate opportunities for public participation'; final decision postponed causing local 'outcry'; participants found 'process tedious, full of `red tape', and illegitimate'; no opportunity for greater, extended involvement; opaque, questionable decision-making lacking transparency
Brown and Chin (2013)	Policy Goals: process transparency, public-interest decision-making, democratic representation, social inclusion and meaningful engagement. BCC uses	To inform development of a new neighbourhood plan i.e., a '10-year statutory plan for the district' outlinining growth strategies, development principles and so forth	Plan development process: four years, 2007-2011. Participatory process: 'important component'; however, event timings unclear. One method:	[L1]: newsletters, information sessions; [L2]: surveys; [L3]: online forums, workshops; [L4]: community advisory committee (with	Assumed internal facilitation e.g. 'The Council set up...'; 'The Council organised…'; advisory committee members 'met with the Council's planning staff on a regular basis…'	[-] public distrust of developer & authority; little influence, value inclusion or quality gain perceived; no conflict reduction; remit, scope of participation's input unclear, expectations

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	public participation to 'inform and consult with the community for their input'		citizen advisory committee, 2007-2008	nominated representatives)		mismanaged; participants perceive developers to 'wield undue' influence mismanaged [+] greater understanding of content; greater levels of trust among residents; 'convenience and comprehensibility of information'
Blackstock et al (2007); Kelly et al (2007)	Broad DSSF objective: 'building capacity', 'reducing conflict' and securing 'a sustainable future for the agriculture industry'. DSSF remained 'research driven' i.e., advancing research goals over empowerment / development goals	The partnership collaborated to produce new knowledge with the intention of 'implementing outcomes to solve locally defined and identified problems'	Ongoing participation: DSSF project 2001-2005; prior to DSSF merger, two projects (with participatory elements) worked independently of each other	Unspecified: 'two processes combined a spectrum of participatory approaches throughout the project's five-year duration'. [L2] 'meetings and processes were opened to the broader community…'	Internal facilitation: however, evaluation findings highlighted preference for 'professional facilitation skills to be used' in future collaboratives	Numerous, most notable: [+] AU$2.5m Water Quality Improvement Project; shared learning of diverse views and knowledge sources; many participants perceived input valued and had opportunity to influence process; paid project coordinator key to success [-] poor communication flow; information difficult to comprehend; low participant retention; little joint action post project; community voices lost, paid 'lip service' to input

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Blackstock and Richards (2007)	The *deliberative inclusive process* [DIP] aimed 'to secure cooperation and commitment to work towards consensual solutions and support for the final action plan'	The steering group sought to produce a new Spey River Basin Management Plan through a participatory process. Outputs of participation to inform plan development	[5] Plan making process 2000-2003 with five participatory stages: first public consultation (2000); second and third, stakeholder working groups; fourth, public consultation on draft plan; fifth, draft plan revisions and publication	Stakeholders: working groups convened [L4]. Public: 'public consultations' and 'several consultative processes running during SCMP's development'; mechanisms unspecified. Assumed, largely traditional [L1-L2] from study finding: 'The important thing to note from the Spey findings is the need for active outreach to ensure all stakeholders are given the opportunity to influence the final product'	Plan making processes was overseen by 'a small steering group'. Public consultation delivery team / facilitators unspecified	[+] 'holistic understanding' of 'management challenges'; better solutions; improved inter-agency relationships; learning to work collaboratively; enjoyable process; 'social learning'; sense of ownership [-] agency culture inhibits full involvement; differing participation goals, rationales; power imbalances, lack of influence; public agencies dominate; high resource / time cost; issue avoidance, unresolved conflict; evidence / knowledge base disagreement; missing voices
Marzuki et al (2012)	Unclear rationales: the 'objectives of the review process during the public hearings were also unclear'. [Policy Goals] Local policy changes (in 2001) promote early	To contribute to plan development process. Local policy changes (2001) require public participation in SP and LP to begin prior to plan development commencement	Opportunities 'occurred only at an early stage'. SP opportunities: first, a Report was on 'display' for comment (02/1990); second, public exhibition and hearing session responding to	[L2] public exhibition, comment submission and feedback; public hearing session [L3] an open dialogue	Assumed internal facilitation: 'Participation techniques used by the governing bodies…' SP: Dept. of Town and Country Planning and Langkawi District office prepare Survey Report	[-] limited (i.e., early) involvement windows; ineffective methods; public lacked awareness / understood relevancy; public agency dominated; tokenistic, limited

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	engagement 'to seek comments on local issues from the study area residents and other stakeholders'		draft plan (01/2000). LP opportunities: first, 'open dialogue' between residents & public agencies (06/2000); second, public hearing session (2002)		& public exhibition. Public Hearing Sub-Committee (i.e. state politicians) facilitate draft report & public exhibition. LP facilitator: Langkawi Development Authority office host open dialogue	influence; one-way exchange; insufficient budget / resources for 'effective approaches'; apathy, negative resident attitudes; low turnout; perceived exclusion
Gelders et al (2010)	NWPs aim to heighten 'sense of security', distribute 'understanding of prevention' and heighten 'social control'	To provide police information and disseminate police-given information to wider network. Participation requires 'mutual exchange of information between citizens and the police' to achieve participatory goals	Continuous participation i.e. sustained communication between NWP participants and officials	[L4] extended involvement based on continuous information and feedback [L2] three-four annual meetings, [L1] newsletters, regular emails, information session	NWP typically led by 'voluntary coordinator' and police appointed Watch Liaison Officer	Mixed findings: [-] disagreement on feedback expectations; lack of task description or role definition [+] participant costs (e.g. financial, are acceptable); sufficient resources to support NWP; participants satisfied with communication distribution means & content; sufficient communication of impacts / effects; participants report feeling safe
Adams (2004)	Policy Goals [Brown Act]: to give 'the public the right to comment on items before the	Contribute to local policy development	Irrelevant: no single case, process or mechanism evaluated. Researcher, however,	[L2] Public Meeting [PM]	-*-	[-] public officials (sometimes) perceived to have decision made prior to PM [+] PMs are

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	legislative body'; to 'speak out about agenda items' and 'any other local issues'		underscores 'the importance of early participation' i.e. prior to decision-making			good for conveying local opinion; supplementing other methods; increasing pressure; demonstrating support, solidarity; influencing agenda by speaking about 'other local issues'; strong opinion can cause decision-delay or alter outcome; networking opportunity
Chompunth and Chomphan (2012)	Government: public hearings [PH] used to gather citizen opinions, resolve conflict. Hin Krut PH purpose: to 'communicate prior decisions' (not 'foster discussion', problem solving or consensus). Hin Krut's participatory process (general): offer an opportunity to express and exchange views, see: 'stakeholders learned to understand the participation practice, express their views and exchange ideas with other parties'	Contribute to decision making process of Hin Krut power plant proposal	Participation opportunities 'were not conducted at the early stage'. Opportunities were 'too late' in the process and after conflicts had started	Numerous methods used; however, majority of approaches were 'traditional': [L1] information provision [L2] a PH; public meetings	Local authorities and developers: 'these programs run by either the authorities or the developers…'	Researchers conclude participation should be 'obligatory', despite poor evaluation outcomes: [-] unclear goals, expectations; citizens distrusted developer, refused event invitations; citizens ill-informed, lack of problem knowledge; lack of outreach; non-transparent stakeholder recruitment; conflicts unresolved, heightened; citizen frustration; perceived lack of influence; influence not communicated; non-transparent decision-

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						making; one-way exchange
Bawole (2013)	EPA mandated to involve citizens to address local concerns and safeguard livelihoods. Findings suggest Jubilee Partners' rationale was to fulfil 'demands of the law'	Contribute to the Environmental Impact Assessment [EIA] prior to commercial oil production	EIA prior to commercial oil production approval / license; thus, before decision-making	Mechanisms referenced in EIA: [L1] leaflets; [L2] 33 consultation meetings; 'eight public hearings at district level'; [unknown] 'scoping and other consultations'	Unspecified: assumed internal to project proposer i.e., Jubilee Partners	[+] sufficiently broad involvement; good public hearing attendance; [-] tokenism, fulfilling obligations; public concerns afforded little consideration, assigned low priority ranking; little impact on outcome; poor (potentially) unauthentic output; inaccessible, incomprehensible information; national interests prioritised
Kangas et al (2014)	Policy Goals: exchange information, express interests, potential to influence decisions / outcomes. Project Goals: increase plan acceptability; increase participants' willingness to implement plan [instrumental]	Produce a new development plan including 'guidelines for the method and intensity of the forest treatment' in Puijo	[5] Extensive participation program with multiple stages for input from goal development to ranking options. First, random sample questionnaire & school children questionnaire; second, focus groups; third common seminar; fourth, follow-up questionnaire ranking	[L1] media, awareness raising; [L2] two separate questionnaires; school children questionnaire; [L3] four focus groups (representing stakeholder groups); two common seminars (bringing all focus groups together); follow-up focus group	Unspecified, assumed project's Steering Group	See article for perceptions per group surveyed. [+] good opportunities to influence; active outreach evidenced; all relevant stakeholders engaged; continuous engagement; well-structured process [-] issue avoidance led to walkouts; input's effect on plan unclear;

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			alternatives; lastly, a follow-up seminar	(post second questionnaire)		improved future co-operation between stakeholders perceived unlikely; 'process did not enhance constructive behaviour as well as it should'; data / informational material deliberately withheld; final plan 'not clear enough' or based on consensus; poor meeting focus and/or facilitation; problem definition not agreed at start; low involvement response rates
Lamers et al (2010)	Public and stakeholder involvement used to produce a realistic plan, ensure all interests addressed and generate plan support	To contribute to the development of a new water plan for the Kromme Rijn region	Participatory windows tailored to each stakeholder group (stakeholder analysis generated four groups from Core, Advisory, Inhabitants, to Information group) and project stage e.g., Core and Advisory group received earlier opportunities than Inhabitants Group	Over two-year period, Core group: eight meetings, field excursion [L1, L2]; Advisory Group: eight meetings [L2]; Inhabitants Group: four meetings, their input requested [L2]; Information group: newsletters, website updates [L1]	Public participation programme 'codesigned and executed by the HDSR and the authors' of article. Following stage one findings, a 'consultant external to the water board' was appointed at start of project's second stage	Overall, [+] increased awareness / understanding evidenced via 'more reactions and amendments than usual'; plan output approved; trust fostered among members and water board; external facilitator integral to success; learning of participatory practice / culture; nested nature (i.e. from stakeholder

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						analysis deriving groups) positively regarded; water board's openness positively regarded; well managed process; sufficient information provision; parallel participatory processes combined to minimise stakeholder workload; participants' increased confidence [-] greater clarity regarding project boundaries and role definition; HDSR's multi-role too complicated; high participant cost e.g. time, finance; conflict at local level; perceived exclusion; lack of communication
Roma and Jeffrey (2010)	CBS providers' purpose: enhance project performance, empower recipients and increase acceptance of the transferred system	Participation used to inform decision-making (i.e., selecting suitable system); used to train citizens in operational management; and used to educate citizens on health & hygiene	Participation windows throughout five-stage process, from planning to implementation. Stage two: *consultative* involvement. Stage three: *collaborative* approaches	Methods discussed in broad terms e.g., described as consultative or collaborative activities, training and educational activities	CBS provider: 'selection of the recipient communities is under-taken by *providers*…' (emphasis added)	Participation positively impacted levels of receptivity of systems implemented. Positive findings link participatory involvement with increased understanding, satisfaction, willingness

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						to invest in improvements. Less positive findings are associated with less exposure to participation activities
Omidvar et al (2011)	Authors do not describe goals / rationales of Bam's reconstruction authorities. Article suggests citizens' 'needs, objectives and culture' '*should* be considered' (emphasis added). Exclusion could lead to conflict, loss of resources and public acceptance of proposals	Participation used to inform all six stages of reconstruction effort	[6] Six participation windows: application & follow-up, contractor selection, building material selection, architecture design plan preference, debris removal and reconstruction operation	-*-	Assumed internal: 'authorities in charge of reconstruction including the HFIR officers…' / 'The Housing Foundation of Islamic Revolution (HFIR) was in charge of the physical work…'	[+] Respondents with greater participatory exposure positively evaluated reconstruction authorities; public participation not associated with progress delay; speedy progress generates citizen trust of authorities [-] Respondents indicate preference for full involvement, but for the government body to remain 'the only responsible party'
Finnigan et al (2003)	Rationales per LRMP process not described. Collaborative approach 'instituted' in response to 'Growing frustration' around closed-door	To develop co-authored land use development plans	-*-	-*-	-*-	5/14 process criteria partially met (i.e., equal opportunity and resources, accountability, high-quality information, time limits, commitment to

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	decision-making on 'use of public lands'					implementation and monitoring). 3/11 outcome criteria partially met (i.e., perceived as successful, conflict reduction, second-round initiatives). Remaining criteria satisfactorily met. Other findings: [-] insufficient funds supporting participation, inequality among stakeholders, power imbalances [+] sufficient training, agreement reached, improved stakeholder knowledge, skills & relationships
Harrison et al (2004)	With 'restricted powers and responsibilities' the GLA 'experimented with new mechanisms' for engagement on strategy development. Purpose: 'identify a range of key policies and issues that would need to be addressed by the GLA'. Purpose of People's Question Time [PQT]: provide 'access'	To contribute to policy and strategy development; more specifically consultation is 'associated with the development of the Mayor's' nine strategies	Consultation in Mayor's strategy development is open after a draft plan is produced and scrutinised by the Assembly and 'before revisions are incorporated into a final, agreed strategy'	Researchers assessed 'new spaces' for consultation and report on one PQT (i.e., discursive event); methods in Stakeholder Engagement unidentified; methods in strategy consultation included surveys, website questions, information kiosks, community workshop,	PQT: Voluntary organisation (Civic Forum) anticipated 'host'; however, GLA organised the meeting & agenda. Stakeholder Engagement: assumed internal, GLA. Strategy development consultation: first strategy, GLA; second strategy, consultation 'was the responsibility of the London	Overall: 'weak experiments in participatory democracy'. PQT [-] strict commissioner-set agenda; exercise in placation; little to no impact on policy outcome. Stakeholder Engagement [+] evidence of broader social inclusion [-] environmental groups

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	to London Mayor and Assembly			12 meetings with organisations	Development Agency (LDA)'	excluded; one-way consultation, feedback absent; actions taken on concerns not communicated. Strategy Development [+] support for strategy objectives; heightened public awareness; evidence of officers' social learning [-] lack of shared understanding on strategy purpose
Kahila-Tani et al (2016)	Typically, issues around densification can cause local distrust or conflict; therefore, 'planners and policy-makers [had] a shared concern about the residents' attitudes toward densification'. Hence, participatory approach	Contribute to a revised city masterplan with densification and urban infill at its core	Article focusses on 'effectiveness of early phase participation' in masterplan development process	Article focusses on online PPGIS survey tool used alongside other methods: seminars, workshops [L3]; surveys, meetings, City Planning Fair displays [L2]. Visualisation tools developed from PPGIS survey used as discussion material	Assumed city planning officers, given article researchers sought their feedback: 'queried …planners' experiences of the PPGIS tool'	Overall, positive findings against acceptance criteria. [+] early and independent engagement; more extensive involvement than typical; transparency criterion met; planners satisfied with PPGIS tool [-] representativeness inconclusive; poor implementation / advertisement of PPGIS survey; usability of PPGIS survey data low
Sayce et al (2013)	A collaborative approach was designed	Participation to contribute to a 'regional	Very early i.e., Initiative Staff made 'outreach	Suite of conventional and unconventional	The Initiative had multiple internal	Overall, very positive findings: [+]

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	to 'help ensure individual interests could be voiced, heard, and considered during the development of MPA [marine protected areas] planning proposals' and also to also '*empower* and engage a more diverse public' (emphasis added)	MPA planning process'; essentially, help 'advise the state in redesigning MPAs'	and engagement strategies and tools' publicly available for comment to ensure strategies 'appropriately tailored'	approaches: regional stakeholder groups, state-wide interest groups [L4]; media platforms; public meetings; information provision; workshops, training sessions; direct response to feedback; hosted community events; online mapping tool; regional field trips; targeted, going-to activities; live webcasts; remote participation locations [L1-L3]	facilitators (e.g., dedicated outreach team, Initiative Staff, RSG, SIG and external members responsible for outreach); external public engagement specialists appointed in one region; and dedicated media liaison staff	strengthened / new cross-community relationships; adaptive strategies responding to issues; relationship & trust building with previously excluded, distrusting groups; diverse audience engaged; new, novel solutions / ideas; mutual understanding; increased institutional awareness of groups; increased interaction between policymakers and citizens [-] resource intensive process; inconvenient meeting times; ineffective outreach to non-English speaking community
Booth and Halseth (2011)	Much as Finnigan et al (2003) describe, CORE and LRMP participatory processes responded to local frustration at environmental decision-making. Broad objective: to 'develop land use plans incorporating "local"	CORE: contribute to developing 'broad recommendations for regional land use plans'; LRMP: contribute to developing a 'broadly acceptable' sub-regional land use plan	[2] Early involvement, develop *recommendations* for land use plan. Second window: plan development, post 'legislative acceptance' of recommendations	-*-	Assumed internal to the convened *Table* appointed by B.C. Government: 'BC process suffered in a number of our study communities from putting together *tables* of individuals…' (emphasis added)	5/6 communities, [-]: perceptions of 'alienation', 'not taken seriously', information withheld; low *public* involvement; worsened relationships; unequal costs of participation; distrust of B.C; power differentials;

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	goals and values as defined through public consultation'					consultation fatigue; parallel processes working in isolation; uncollaborative attitudes, impropriety, violence; involvement induced stress, ill-health; poor outreach; process breakdown. 1/6 community, [+]: consensus reached. Authors note different underlying conditions in latter community
Sarvašová et al (2014)	No participatory goals / objectives stated; only reference to policy mandate. Post 1989, a democratic era brought forth a 'demand for public participation in forestry issues'	Contribute to the development of NFP (National Forest Programs) and FMPs (Forest Management Plans)	NFP: forestry stakeholders involved at 'formulation' stage; broader public, interest groups could comment on proposal	[L4] working group established with relevant forestry stakeholders; [L3] intra-forestry discussion, discussion forums; [L1] comment submission, website, media updates	Internal facilitation (i.e., Forest Research Institute and/or Ministry of Agriculture led): 'Participation during the preparation was coordinated by FRI' / 'Involvement of the public was ensured in the later phase and was coordinated by MA SR' / 'No facilitator was involved'	NFP [-] representativeness criterion not met; early involvement reserved for forestry stakeholders [+] process independence, transparency, resource accessibility; task definition, structured decision-making, cost effective
			FMP: 'invited actors' involved early; broader stakeholders involved later	[L1] information provision [L2] call for comment submission, feedback	Possibly external agency: 'The FMP contractor is chosen by public procurement	FMP [-] low level of influence; broader public involvement low; [+] accessibility, task

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Reference	Project Proposer Rationales	Role, Remit or Scope of Input	Involvement Windows: When and to Whom?	Mechanisms	Internal / External Facilitation	Positive / Negative Effects [+ / -]
					from authorized subjects	definition, structured decision-making
Street et al (2014)	Studies referenced, typically prioritised *instrumental* goals (i.e., deliver 'recommendations usable in policy and practice decision-making'), despite the 'tradition from which citizens' juries arise' often prioritising empowerment-related goals	Generally, citizens' juries allow 'citizens to engage with evidence, deliberate and deliver recommendations on a range of' topics.	-*-	[L4] Steering or Advisory Committee often established. Mechanisms to 'stimulate and guide discussion' seldom referenced. Mechanisms noted: group work; scenario / hypotheticals; scoring; priority setting; voting; dialogue guide; workbooks; physical models; courtroom format	Jury-led discussion, no facilitation (in two studies); 'trained, skilled or experienced facilitators' appointed (in nine studies); insufficient facilitation description (in three studies)	[+] CJ can produce useable outcome for policy / practice; CJ produced 'positive environment for deliberation' [-] convened groups 'replicate imbalances in society'; some processes too short to foster collaborative environment (e.g. one-two day event); active citizenship criterion largely not met; only three studies committed to recognising CJ recommendations [+/-] some CJs evidence 'inclusivity' was valued but 'relatively little attention was paid' to inclusivity criterion
Lynne and Busenberg (1995)	CAC's expectation: deliberation between citizens and officials: to provide space for 'detailed interaction between interested	A sponsor may convene a CAC (i.e. small group of people representing different viewpoints) to deliberate over a 'proposal, issue or set	A CAC is typically convened for 'an extended period of time'	[L4] Citizen Advisory Committees [CAC]. Authors focus solely on CACs, distinguishing this *extended involvement* mechanism	CACs may or may not make use of 'professional facilitators'	[-] instances CAC only convened to fulfil mandated requirements (tick-box exercise) [+] CACs with well-defined charges, adequate

Table 11: Participatory Program Particulars

Reference	Project Proposer Rationales	Role, Remit or Scope of Input	Involvement Windows: When and to Whom?	Mechanisms	Internal / External Facilitation	Positive / Negative Effects [+ / -]
	citizens and government representatives' to consider a broad range of issues	of issues'. Goal is rarely to deliver 'binding joint agreements' but provide input		from similar mechanisms		resources and neutral facilitation had 'significant policy impacts' that are similar to impacts generated from more formal processes
Brownill & Carpenter (2007a); Brownill (2009)	[Competing goals] Project lead: instrumental rationality i.e., avoid conflict, expediate decision-making, representative democracy commitment. EOA: self-promotion; participant democracy commitment, foster active citizenship, build capacity & knowledge, establish on-going dialogue and communication channels	Contribute to an innovative, 'radical', final road re-design proposal that satisfies project funder	[3] Initial, promote as many voices as possible; middle, bring differences together to reach consensus; latter, opportunity to scrutinise road re-design proposal. Project duration: 2002-2005 with participatory element 11/2003 - 06/2004, seven months	[L1] Exhibition; carnival stand [L2] Interviews; surveys / questionnaires; online tools [L3] workshops; open days [L4] design days; video making	Two external consultants: EOA (local voluntary organisation) delivered engagement programme; 'team of national consultants' procured for road design	[-] output implementation potentially threatens 'enterprise culture'; implementation possible contributor in rent increase causing shop closure; county council reverts to traditional planning practices, no long-term culture change; input had little influence on output [+] residents' skill training; well informed representations; fewer objections; increased political awareness; increased self confidence
Hopkins (2010a, 2010b)	Project proposer's participation goals: overcome conflict for plan implementation	Contribute to a new spatial planning strategy 'to make Perth the world's most	[3] Initial, information and awareness campaign; middle, 'large-scale community	[L1] newspaper campaign; website; telephone hotline; televised debate. [L3]	Mixed i.e., internal and external facilitators: 'many of the table facilitators positions	[-] process failed to achieve equity among participants; internal facilitators unable to

Table 11: Participatory Program Particulars

Reference	Project Proposer Rationales	Role, Remit or Scope of Input	Involvement Windows: When and to Whom?	Mechanisms	Internal / External Facilitation	Positive / Negative Effects [+ / -]
	[instrumental]; and to deliver 'an exercise in deliberative democracy' [normative commitment]	liveable city by the year 2030'	forum; latter, committees and working groups convened for plan development. Project: 06/2003-09/2004; different participatory stages throughout	community forum. [L4] committees; working groups	were filled by state government planners due to limited availability of professional, external facilitators'. All of which, received 'prior training'	maintain neutral; committee lay members defaulted to expert opinion; output never formally implemented; change in state government replaced plan in 2008 [+] draft plan produced (09/2004); 2006 output (draft version) adopted through policy; 'state-local partnership projects' initiated
Jarvis et al (2011)	Local government participation goals: overcome patterns of distrust for successful regeneration implementation [instrumental]; and stated commitment to voicing 'residents' views and concerns'	Participation to 'shape, influence and refine the regeneration framework'	[3] initial, 'awareness raising activities'; middle, exercises for framework development; latter stage, resident roles in new organisational structure working toward framework implementation	[L1-2] surveys; public events; feedback meetings; exhibitions [L3] stakeholder discussion groups; targeted meetings [L4] new key delivery officers appointed; visioning exercises; resident roles on implementation committee	Assumed internal only: resident commitment to involvement underscored by the 'determination of individual local authority officers to drive engagement and advocate residents' views and concerns'	[+] local government adopt framework (2007); land-sale profits ringfenced for neighbourhood reinvestment; two 'anchor' projects delivered; resident roles in new organisational structure for implementation; identifiable influence on output; sustained engagement; greater public trust in statutory agencies; bridging social capital i.e., links to local government

Table 11: Participatory Program Particulars

Reference	Project Proposer Rationales	Role, Remit or Scope of Input	Involvement Windows: When and to Whom?	Mechanisms	Internal / External Facilitation	Positive / Negative Effects [+ / -]
Bond & Thompson-Fawcett (2007)	Lead authority goals: stated commitment to reverse autocratic patterns of previous local government; foster more positive public relations. External facilitators' goal: research driven i.e., committed to task over development (empowerment) goals	Participation to inform plan development: 'The primary aim was to address community concerns, involve local people in the planning process and inform a strategic plan for the district'	[3] Initial, pre-charrette awareness-raising; middle, charrette design workshop events for plan development; latter, post-charrette implementation led by Council and local community board	[L1] publicity [L2] website launch, steering committee informal meetings, written representations, public meetings [L4] charrette (i.e., five-day workshop), local community board	Mixed: *external* New Urbanism facilitators procured by local government to deliver charrette; and predominantly *local professionals* constitute DT.	[+] individual & shared learning on content, perspectives & self-held views; perspectives changed; participants agree with outcomes; process regarded as valuable, transparent & legitimate [-] professional mandate exerts influence; demographic sectors over and/or under represented; limited diversity in workshops; minority claimed voices were excluded; contentious issues actively avoided; no evidence of 'astute planning' (see Bond & Thompson-Fawcett, 2007, p. 467)
Toker & Pontikis (2011)	Community partner's goal: research driven i.e., committed to task of environmental improvement. Project lead's goals: community empowerment and student-learning	Gather knowledge; inform generative pattern language; produce (usable) final report for community partner	[3 participatory stages] Initial, pre-workshop awareness raising & interviews; middle, first workshop preparing Generative Pattern Language [GPL]; closed stage, developing GPL;	[L1] announcement, door-to-door canvassing [L2] evaluation surveys, interactive displays, extensive interviewing, [L4] workshops; design games	Pilot study delivered by students under supervision of university academics; thus, engagement facilitation administered internally by university students	[+] community partner used output (i.e., final report) to support grant application; valued experiential learning project (students' perspective) [-] time consuming process, potentially unsuitable for

Table 11: Participatory Program Particulars

Reference	Project Proposer Rationales	Role, Remit or Scope of Input	Involvement Windows: When and to Whom?	Mechanisms	Internal / External Facilitation	Positive / Negative Effects [+ / -]
			latter, second workshop evaluating alternatives			professional urban consultancies; outputs require further detailing and review
Parama (2015)	Project lead's rationalities: foster buy-in, agreement and sense of ownership [instrumental]: 'we want community buy in, we want community agreement so that they will own it, they will support it and they will fight for it'. Explicit commitment to collaborative approach not evident; however, a democratic discourse evident in BeltLine rhetoric	Atlanta Beltline Inc.'s [ABI] Community Engagement Framework [CEF] role was to increase public awareness, gather 'public input', 'keep Atlanta residents informed and actively engaged' and reflect local aspirations 'of its many neighbourhoods'. Further, participation used to educate citizens on project's development and respond to citizens' inquiries	Ongoing: quarterly meetings, dedicated Community Engagement Advocate Office	CEF's 'several parts': [L1] website [L2] quarterly briefings open to public [L4] geographic Study Groups; Master Planning Steering Committee (with 'area representatives'); community representative position on ABI board (selected by Atlanta City Council); a Community Engagement Advocate Office established	Internal i.e., ABI established CEF and dedicated Community Engagement Advocate Office	[+] 3:1 return on investment, phase one [-] selective recruitment creates unrepresentative residency sample on Groups / Committees; deliberate exclusion through recruitment; limited involvement access for some citizens; biased facilitation; suspicion input championed only if in-sync with planners' interests; community input scheduled post draft plans; influence extended on trivial matters only; residents required to adopt 'language of economic efficiency to get their demands met'
Petts (2001)	[Essex & Hampshire] Traditional means fail to secure strategy support.	[Essex & Hampshire] Participants' role to 'provide decision-	[Essex] Involvement at draft proposal stage	[Essex] CAC, 9-month process with [L1] site visits [L2] expert	External facilitation; waste management consultants	[Essex] [+] considerably improved knowledge; participants enjoyed

Table 11: Participatory Program Particulars						
Reference	Project Proposer Rationales	Role, Remit or Scope of Input	Involvement Windows: When and to Whom?	Mechanisms	Internal / External Facilitation	Positive / Negative Effects [+ / -]
	Thus, rationales: raise awareness, increase understanding of options available, gain support for a solution, provide a 'sounding board for the council's draft proposals'	makers with an indication of public views and priorities, rather than to produce detailed recommendations'		seminar, five meetings, report-back seminar		involvement; officers better understand different concerns; CAC concluded with consensus [-] time & information deficiencies
			[Hampshire] Involvement at draft proposal stage and later involvement in 'waste contract tender process'	[Hampshire] CAC, 6-month process with [L1] site visits [L2] seminar meeting [L4] core forum established post CAC (core forum used focus groups, meetings & health risk seminar)		[Hampshire] As above, additional: [+] extended involvement (i.e., core forum) directly impacted the 'contract let' e.g., 'in terms of the capacity of the energy-from-waste incinerators') [-] output lacked detail
	[General to all four cases] Traditional means fail to secure strategy support; thus, authorities are experimenting 'with new modes of public participation'. Hertfordshire and Lancashire rationales less explicit	CAC convened to consider 'how, and to what extent, the County Council could become self-sufficient in the provision of waste management'	CAC involvement outputs carried through to 'siting stage for the required facilities'	CJ processes involving [L1] site visits; expert witness presentations [L2] Q&A discussions [L3] small group deliberations	Independent moderators facilitated jury	[+] Participants enjoyed involvement; approved of process management; regarded as a cost-effective exercise; increased personal understanding & knowledge gain; [Hertfordshire only] general convergence of views (agreement)

Table 11: Six categories of project particulars

4.2.3 Evaluation Examples: Research Design

Like Gelders et al. (2010, p 134) I identify 'trends' within participation-evaluation research. The evaluand and methods used for evaluation differ. Some studies evaluate or assess experiences of participants' involvement; or present functioning of participatory practices rather than a specific episode; others evaluated more specifically a participatory mechanism, such as citizens' juries, community advisory committees or a charrette; others reviewed a participatory process or exercise that included a series of mechanisms; and others evaluated longer term collaborations or partnerships.

I group the empirical articles into four categories: a partnership / collaborative, holistic experiences, a planning project / exercise and a participatory mechanism. A number straddle categories; for example, Bond and Thompson (2007) focussed on the charrette (i.e. a mechanism) which was used as part of a broader planning exercise. Articles were grouped according to their primary focus.

Most studies described their work as some form of case study. Table 12 identifies single, multiple, qualitative, quantitative or mixed method case study approaches and describes those that fall into neither grouping as 'other'. A single, qualitative case study design evaluating a 'planning project / exercise' was most common, followed by a single, mixed methods study in the same group. In line with Chapter Two's discussion, authors recognised quantitative methods were generally inadequate at 'describing the nature of social phenomena' (Omidvar et al., 2011, p. 1401). Few studies relied solely on quantitative methods (see Brown & Chin, 2013; Mannarini & Talò, 2013).

Although some articles drew from single source data (for example, interviews or observations in Blackstock and Richards (2007), Marzuki et al. (2012) and Toker and Pontikis (2011)) the majority triangulated two or more sources. The qualitative articles typically reported on document review, thematic analysis of secondary data, direct observations and interviews with various participants. Mixed method studies used digital spatial data and surveys alongside many of the aforementioned methods.

	Partnership / Collaborative	Holistic / Experiences
Single Case Study; Qualitative	**Blackstock et al. (2007); **Gelders et al. (2010)	**Conrad, Cassar, et al. (2011)
Single Case Study; Quantitative		
Single Case Study; Mixed Methods	**Lamers et al. (2010)	
Multiple Case Study; Quantitative		
Other		**Baker et al. (2010); **Bickerstaff et al. (2002); **Finnigan et al. (2003)
	Planning Project / Exercise	**Mechanism**
Single Case Study; Qualitative	Aitken (2010); **Bawole (2013); Bedford et al. (2002); Blackstock and Richards (2007); **Brownill and Carpenter (2007a); **Brownill and Carpenter (2007b); **Chompunth and Chomphan (2012); Marzuki et al. (2012); Roma and Jeffrey (2010); Roy (2015); **Sarvašová et al. (2014)	
Single Case Study; Quantitative	**Brown and Chin (2013)	
Single Case Study; Mixed Methods	Booth and Halseth (2011); **Cunningham and Tiefenbacher (2008); Denters and Klok (2010); **Jarvis et al. (2011); **Kangas et al. (2014); Omidvar et al. (2011)	**Bond and Thompson-Fawcett (2007)
Multiple Case Studies; Quantitative		**Mannarini and Talò (2013)
Other	Sayce et al. (2013); Toker and Pontikis (2011)	Adams (2004); Harrison et al. (2004); **Kahila-Tani et al. (2016); Lynn and Busenberg (1995); **Petts (2001); **Street et al. (2014)

Table 12: Trends in Participation-Evaluation. **Indicates articles that used an evaluation framework.

Eighteen of the thirty-five articles used an evaluation framework in their analysis, which is indicated by a double asterisk in Table 12 and a tick in Table 13's second column. However, Jarvis et al. (2011) used their framework to characterise the case study context, and others were less explicit in their criteria selection (Lamers et al., 2010; Street et al., 2014). Nevertheless, the majority of articles cited process and outcome evaluative criteria, with a minority of researchers including context criteria (Bawole, 2013; Blackstock et al., 2007; Chompunth & Chomphan, 2012; Gelders et al., 2010; Lamers et al., 2010). Where possible, all *criteria or standards* used in evaluation are described in Table 13's third column. In addition, Table 13's final column describes a *theoretical perspective* or source for evaluation criteria, if provided. Combined, this analysis provided a) a bedrock from which the preliminary evaluation framework was able to draw and b) a roadmap to sources of theory-derived criteria.

Another distinction among studies was from whose perspective evaluation was conducted. Whilst Bickerstaff et al. (2002); Bickerstaff and Walker (2001) surveyed highway authority officials only (thus, providing a public sector focus), Brown and Chin (2013) focussed solely on participants' perspectives. Other studies emphasised variability and drew from multiple perspectives (Blackstock et al., 2007; Kangas et al., 2014; Lamers et al., 2010; Marzuki et al., 2012; Omidvar et al., 2011). For example, Omidvar et al. (2011) identified three tiers, drawing data from each: disaster survivors, reconstruction authorities and experts / specialists. Kangas et al. (2014, p. 15) used Q-Methodology purposively to 'find different perspectives or discourses emerging from a population'. Roma and Jeffrey (2010, p. 1031) interviewed case study community members involved in 'participatory planning and implementation of CBS systems' as well as those who did not. Like other studies (see Brown & Chin, 2013) participants' involvement level was also recorded: researchers posited a possible correlation between level of involvement and a participant's subjective evaluation.

Regarding perspectives, another notable distinction was the evaluator's role or association with the PE. Some evaluations were conducted independently or externally, while other authors reported on PEs they were involved in delivering (Kahila-Tani et al., 2016; Lamers et al., 2010; Sayce et al., 2013; Toker & Pontikis, 2011). Sayce et al. (2013) offer little discussion on participation-evaluation methodology and report favourably on the PE evaluation. In the absence of a broader methods discussion, one might question what measures were taken to heighten the research's reliability or dependability. Toker and Pontikis (2011, p. 57) report more generally on their pilot of an 'inclusive and generative design process' that 'utilizes community participation techniques and pattern language'. Kahila-Tani et al. (2016) similarly report on their PPGIS pilot tool but refer to theory-derived criteria for the purpose of evaluation.

Lastly, a minority of studies conducted some form of expert review. Sarvašová et al. (2014) checked-in with three editors (of the PE) during article development. And Gelders et al. (2010) used two focus groups with practitioners and scholars to review their case descriptions and analytical framework. Generally, *research design* and *data collection sources* are described more fully in Table 13's fourth and fifth column. Appendix A derives the specific methods identified in each article reviewed.

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
		✓ / ✗				
Mannarini & Cosimo Talò (2013)	Researchers report on two studies. The first, validates a theory-derived evaluation framework analysing process and outcome criteria from participants' perspective. Second study, considers whether participants' evaluation influences future participation likelihood	✓	Process criteria: a) Dialogue Equality: trust, respect, disagreement, reciprocity, common good and b) Knowledge/ Understanding: argument, understanding, collective learning, reflexivity. Outcome Criteria: discourse, networks, influence	Researchers identified five 'specific participatory procedures' i.e., OST and contacted organisers asking permission to distribute a participant survey following session closure	First three OSTs used to test the survey measures. Participants in following two OSTs completed 'revised version of the scales'. Survey design: statements derived for each criterion; participants asked to rank via a rating scale	Authors' framework influenced primarily by Rowe & Frewer (2000; 2004) and Edwards et al (2008). Other reference include Webler (1995), Habermas' (1984) communicative action and deliberative democracy theorists
Denters and Klok (2010)	Researchers evaluate the participatory approach adopted by the Municipality of Enschede in the redevelopment planning process of Roombeek	✗	Evaluative questions centred on involvement mechanisms; number of participants; citizens' motivations for participation; participation and non-participation affect representativeness	Case study approach; data collection started after the first round of citizen involvement	Personal interviews, telephone interviews and mail questionnaire (709/1040 returned). Primary data collection tool: mail questionnaire	Researchers reference broader literature suggesting a community's negative social profile inhibits active citizenry (Fiorina, 1999; Fung, 2004)
Conrad et al (2011)	No single participatory event assessed; rather, a holistic overview of the present functioning of public participation processes. Authors claim	✗	Although not used in assessment, authors cite theory-derived criteria: Beierle's (1999) six social goals (i.e. education, incorporate values, increase	An exploratory, mixed method case study approach used to assess (rather than evaluate) current participatory practices in	Outsider perspectives (i.e., 'informed members of the public'): two workshops with 30 participants. Subsequently, insider perspectives (i.e. planners,	Authors reference public-participation evaluation literature: Rosener (1978; 1981; 1982); Rowe and Frewer's framework (2004); Chess and Purcell (1999)

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
	an exploratory assessment is required prior to full-scale evaluation. The objective was to identify strengths and weaknesses of current practices		decision quality, foster public trust in institutions, reduce conflict, cost effectiveness) and Rowe and Frewer's (2000) acceptance (i.e. representativeness, independence, early involvement, influence, transparency) and process (i.e. resource accessibility, clear task definition, structured decision making, cost-effectiveness) criteria	Malta through insider and outsider perspectives.	public officials): 15 semi-structured interviews (approximately 45 minutes), based loosely on workshop findings. Data analysed inductively; no criteria or deductive analysis applied	
Aitken (2010); Scotland, United Kingdom (UK)	Evaluation to better understand whether participation represents exercise of empowerment or social control	X	-*-	Case study; several stages (sequential); multi methods; predominantly qualitative	First, review of secondary material & thematic analysis of objection letters; second, observer at 'public inquiry'; third, thematic analysis of inquiry report; fourth, selection of interviews	Luke's (2004) three-dimensional view of power used to assess 'various forms of power present in the planning system'
Bedford et al (2002); London, England, UK	Study to explore whose 'values are acted on'; whether participation constitutes empowerment or 'consultation and placation'; and to what extent involvement fosters	X	-*-	Case study approach: 'shadowed the development application process'; multi-methods; predominantly qualitative	Review of publicly available documents; interviews with range of key actors (officials and citizens); observations at participatory events	Authors cite: 'communicative turn in planning' (Healey, 2006a; Innes & Booher, 1999b); communicative critics (Flyvbjerg, 1998)

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
	'public confidence in local government'					
Baker et al (2010); North West England, UK.	Examine 'stakeholder involvement in LDP preparation' & stakeholders' experiences of North West RSS preparation, to better understand if planning reformations have led to a more inclusive plan-making process	✗	No criteria; however, policy principles cited: involvement appropriate to planning level; frontloaded; appropriate mechanisms selected; continuing involvement; transparency; accessibility	Study conducted 'research at two different spatial scales'. Findings drawn from three 'methodological components'	First, review of participation statements; two stakeholder surveys; three, semi-structured interviews with subset of survey respondents	References to English planning policy for participation standards
Bickerstaff and Walker (2001); Bickerstaff et al (2002)	To 'evaluate the experience of public participation in local transport planning in the United Kingdom' through a local authority perspective	✓	Process criteria: inclusivity, transparency, interaction, continuity. Outputs and Outcomes Criteria: evidence input impacts 'overall shape of plan' and 'specific areas of the plan'	A (predominantly) quantitative study evaluating English HAs	Two methods: a) 'drawing on a questionnaire survey' comprised of rating scales, value statements and open questions, and b) criteria guided 'content analysis of provisional local transport policy documents'	Researchers reference normative, substantive and instrumental rationales for participation (Fiorino, 1990). Evaluative criteria drawn from policy documents (DETR, 1999)

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
Cunningham & Tiefenbacher (2008)	To evaluate public participation opportunities (delivered by three government agencies) in a highly contested decision-making process regarding a permit renewal application	✓	Criteria: include most vulnerable to the hazard; include value based i.e. non-expert testimony; establish legitimacy with the public, strive for government transparency	A mixed methods exploratory case study approach examining thirteen public participation exercises delivered by three government agencies i.e. federal, state and local.	Data sources: digital spatial data, government documents / reports, websites, local news / media coverage and direct observations	Criteria derived from participation literature (Fiorino, 1990; Rowe & Frewer, 2000; Webler et al., 2001); participation-evaluation literature cited (Beierle & Cayford, 2002; Rosener, 1978; Rosener, 1982)
Brown and Chin (2013)	To 'evaluate the effectiveness of public participation' and develop a standardised instrument for future evaluation studies	✓	Process Criteria: representativeness; independence; early involvement; transparency; resource accessibility; include most affected; comfort & convenience; deliberative quality; participants influence participation strategy; non-technical information; Outcome Criteria: influence outcome; influence on outcome communicated; increased understanding; consensus reached; conflict reduction; increased trust; workable solutions; satisfaction	A retrospective mixed methods case study approach evaluating 'the public participation process' (from participants' perspective) embedded in a plan-making process. Survey derived respondents' level of exposure to participation activities to understand if degree of involvement impacted perceptions	Data Sources: literature review to derive evaluative criteria; review of BCC's documents; and a participant survey	Process and outcome criteria derived from planning literature (see Blahna & Yonts-Shepard, 1989; Butterfoss, 2006; Carnes et al., 1998; Chakraborty & Stratton, 1993; Crosby et al., 1986; Godschalk & Stiftel, 1981; Halvorsen, 2001; Laurian & Shaw, 2009; Petts, 1995; Twight & Carroll, 1983)

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
Blackstock et al (2007); Kelly et al (2007)	To 'illustrate to what extent the ideals of participatory sustainability science were realised by a project in north-east Australia', the authors develop and apply an evaluative framework in their assessment of DSSF project	✓	Context Criteria: denote political, historical, social and historical context. Process Criteria: champion / leadership; communication; conflict resolution; influence on process; representation. Outcome Criteria: accountability; capacity building; emergent knowledge; recognised impacts; social learning; transparency	A retrospective qualitative evaluation of the DSSF collaborative project using an exploratory multi-method case study approach	Primary methods include 'document analysis and face-to-face semi structured interviews'. Document sources included: 'project proposals, reports, minutes of meetings, conference presentations; Council minutes, local media'. Researchers derived four interviewee groups: 'broad community input through the CWG, industry partners involved in the JVP component, scientists undertaking academic research within DSSF, and local and state government representatives'	Authors referenced 'community and collaborative resource management' literature and derived criteria: (Abelson et al., 2003; Arnstein, 1969; Asthana et al., 2002; Becker, 2004; Beierle & Konisky, 2001; Bellamy et al., 2001; Blackstock, 2005; Bloomfield et al., 2001; Botcheva et al., 2002; Brinkerhoff, 2002; Davies & Burgess, 2004; Fischer, 2000; Grant & Curtis, 2004; Kenyon, 2005; Laverack, 2001; MacNeil, 2002; O'Meara et al., 2004; Richards et al., 2004; Rowe & Frewer, 2000; Schulz et al., 2003; Scott, 1998; Thurston et al., 2005; Wallerstein, 1999; Webler et al., 2001)
Blackstock and Richards (2007)	To learn what worked well, less well, to improve future processes. Overall objective: better understand extent to which	✗	Authors used often cited rationales for participatory / collaborative working: instrumental, substantive and normative. Analysis identified	A retrospective, exploratory case study relying on qualitative data for a predominantly process-focussed evaluation. Study	58 open ended or semi-structured interviews (conducted in-person or via telephone). Study sought maximum variation, thus	Researchers reference planning literature and derive three rationales for public and stakeholder

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
	claims of stakeholder participation improving 'environmental governance' are realised in practice		fulfilment / lack of fulfilment of these rationales	sought 'expressed meaning', 'variation in perceptions', and deriving 'different criteria for success'	interviewing as 'many as possible of those who had participated'	participation (Fiorino, 1990; Stirling, 2005)
Marzuki et al (2012)	Researchers aimed to 'identify the extent of stakeholder involvement in tourism planning' and 'explore the limitations of the public participation processes'	✗	-*-	A retrospective, qualitative assessment of participation processes (linked to plan development) through four stakeholder group perspectives	40 interviews with stakeholders from four different groups (Govt. officials; entrepreneurs, private sector; local community; and interested groups e.g. NGOs).	Researchers identify often cited 'issues affecting participation in tourism planning'; then, compare findings to broader literature
Gelders et al (2010)	Researchers aim to propose and demonstrate the applicability and utility of a standardised, 'integrated analytical framework for public participation projects'	✓	Criteria: participation and collaboration; resources; communication; policy involvement; context; method; and continuity	A comparative case study of two NWPs using document review, interview data and an expert panel	Review of various documents and multiple perspectives interviewed (e.g. police officers, commissioners, coordinators, NWP members) Case description and analytical framework 'subsequently' presented at expert focus group	Researchers build on the frameworks proposed by Webler and Tuler (2002) and Rowe and Frewer (2000)
Adams (2004)	To examine a) the role and utility of PMs in 'participatory policy making' and b) identify 'the purposes that meetings serve'. Variation in interview data inhibits	✗	-*-	No single case, process or mechanism evaluated. Researcher collects interpretive data from Santa Ana citizens regarding their experiences of public	55 semi-structured interviews conducted; sample derived from document review and introductions. Criteria for sampling: 'citizens who were	Researcher departs from PM critiques in participation literature. Data analysis sought 'reasons why attendance at public meetings is effective'

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
	researcher from 'any firm conclusion' about attitudes toward PM			participation in local policy development	most active in Santa Ana politics'	
Chompunth and Chomphan (2012)	To better understand how effective public participation is at managing environmental conflicts in the context of Thai development projects	✓	Criteria: [Context] legislation; administrative structure; conflict's root cause [Process] goal clarification; education / informed; inclusive & representative; multiple methods; early opportunities; transparency; two-way communication; accessible resources; convenience [Outcome] impact / influence; public values incorporated; increase values; conflict resolution	A single, mixed methods case study approach drawing on document review and interviews with various stakeholders. Researchers identify 'context' criteria; however, evaluated process and outcome criteria only	Researchers reviewed 'documents concerning the operations, activities and concepts of [the] public participation process' then conducted 'structured, semi-structured and in-depth interviews' with stakeholders that 'held key positions or played important roles' in the development project	Authors reference theories informing evaluation (for example, 'public participation theory, communication theory and democratic theory') citing Chess (2000), Fiorino (1990) and Chess & Purcell (1999) before deriving theory-based criteria
Bawole (2013)	Researcher sought to examine the 'extent of involvement and influence' of local citizens and local government agencies in the Environmental Impact Assessment [EIA] process prior to 'commercial oil production' from Ghana's first offshore oil fields	✓	Criteria: [Context] legal requirement, 'composition and awareness of the public involved'; [Method] decision-making transparency; information quality; consultation framework; timing & venue; [Substance] consideration of public concern in EIA report; [influence] extent final	A qualitative, retrospective assessment of people's experience in the participatory element of an EIA process. Findings draw on document review and semi-structured interviews	Document sources: Jubilee Partners' Environmental Impact Statement; EIA consultation report; meeting minutes. Interviewees: local government officials, development planning officers and local stakeholders and citizens. Aim: interview a 'cross section of the population'	Researcher relies on framework proposed by Nadeem and Fischer (2011) for 'the evaluation of public participation in EIA in Pakistan'

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
			decision incorporates public concerns			
Kangas et al (2014)	Evaluation to better understand how successful the participatory planning process was against a) normative criteria and b) stakeholder perceptions, and subsequently develop best practice recommendations	✓	Normative criteria: access to process; power to influence process and outcomes; structural characteristics promoting constructive interactions; facilitation of constructive personal behaviours; access to information; adequate analysis; enabling of social conditions necessary for future processes	A retrospective mixed method study that a) reviewed planning process documents, then b) using Q-Methodology designed survey for 49 focus and steering group participants. The survey grouped respondents to explore 'different perspectives or discourses' among sample	First, documents reviewed against normative criteria. Documents referenced: meeting minutes, interviews, questionnaires, newspaper articles and video tapes. Second, designed Q-Method survey administered	Normative criteria derived from Tuler and Webler's (1999) findings on what participants expect from participatory processes
Lamers et al (2010)	A case study evaluating to what extent the water board achieved its objectives i.e. create an acceptable, realistic plan 'tailored to the regional context and the needs of the stakeholders involved'	✓	Indicators used in developing a data collection tool (for data collected on the Advisory Group). Indicators derived for context, process and outcome categories. Indicators used for statements and questions in questionnaire and interviews	Formative case-study evaluation focussing on process & implementation, which surveyed participants 'at the start, halfway and at the end'. Early findings used to *improve* second process stage. Article's authors involved in participation design, execution and evaluation. Some elements evaluated more intensely than others	Methods tailored to *group* identified, see: [Planning Group] two interview rounds; [Planning & Core Group] evaluated 'halfway' and at process end via 'reflection workshop'; [Advisory & Core Group] questionnaires (evaluating ten indicators) & telephone interviews; [Public] short, questionnaire administered at public meetings [Other] direct observations at event	Researchers used 'standardised performance indicators derived' from Beierle & Cayford (2002) and Rowe and Frewer (2000)

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
Roma et al (2010)	Evaluation to understand a) what participatory approaches are used in CBS implementation, b) what impacts these approaches have on recipients. Author hypothesis: correlation between participatory approaches and a community's receptivity of CBS systems	✗	Evaluation framework not present. However, 'five measures' of community's *receptivity* of 'transferred system' identified: participant satisfaction; greater awareness of CBS health benefits; ownership / responsibility; sense of inclusiveness; willingness to invest in system improvements	A mixed methods multiple case study approach (i.e., nine cases) that relied on a review of 'internal documents' and randomly selected interviews	Document review and 84 semi-structured and/or in-depth interviews with case study community members. Researchers derived 'eight experiential variables' to understand what could affect participant responses (e.g., level of involvement). Statistical analysis was applied	Authors reference White (1981) when comparing study findings to literature on 'the benefits of participatory activities'
Omidvar et al (2011)	An evaluation into the effectiveness of public participation on the efficiency of Bam's reconstruction process	✗	No evaluative criteria. Questionnaire included questions regarding 'elements that could contribute to the public participation'. Source of *elements* not described	A mixed methods retrospective case study drawing from three participant groups (disaster survivors, authorities and managers, specialists / experts). Questionnaire explores participants' depth of involvement against perceptions of effective / non-effective 'elements'	Random sampling administers questionnaire to 200 individuals. Focus group convened (representatives from all three groups) to discuss findings. Other: direct observations, face-to-face interviews with participant groups, and 'library and documentary research'	Authors reference reconstruction literature and describe justifications for public participation
Finnigan et al (2003)	To evaluate the role of civil society stakeholders (i.e. those between State and Market, typically non-government) in	✓	Process criteria: purpose & incentives; inclusive representation; commitment; self-design; participant role & ground rule clarity; equal	Survey research design requiring respondents to rank statements on a four-point scale (strongly agree – strongly disagree). Sample	14 process criteria generated 46 survey questions; 11 outcome criteria generated 20 survey questions. Survey mailed	Framework development literature: Cormick et al (1996), Moote et al (1997), Innes and Booher (1999b) and Wondolleck and Yaffee

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
	collaborative land use planning in British Columbia, Canada		opportunity & resource; principled negotiation / respect; accountability; flexible, adaptive & creative; high quality information; time limits; implementation and monitoring; effective process management; independent facilitation. Outcome criteria: perceived successful; agreement; conflict reduced; superior to other methods; creative & innovative; knowledge, understanding & skills; relationships & social capital; information; second-order effects; public interest; understanding & support of decision-making	taken from participants in seventeen Land and Resource Management Planning processes carried out between 1995-2002	and/or emailed to 762 participants (260 responses). Analysis categorised and compared respondents into two groups: civil society (i.e., non-government) and other stakeholders.	(2000). Evaluative criteria literature: Caton Campbell and Floyd (1996), Harter (1996), Menkel-Meadow (1996), Susskind and McMahon (1985), Gray (1989), Gunton et al (1998) and Duffy et al (1996)
Harrison et al (2004)	Article sought to assess 'new spaces', created by the GLA in first six months of formation, to better understand if practices 'provided support for a collaborative approach to policy-making'	X	-*-	Researchers draw on document review and semi-structured interviews, which were conducted during the first six to nine months of the GLA's formation	50 semi-structured interviews with a) 'elected members, advisers and officers of the GLA' and b)15 officials of non-government agencies. Document review including records of London Assembly's Scrutiny Committee, policy	Assessment of 'new spaces' rests on the 'theories and practices of deliberative democracy'. Authors reference Healey (1997) and Blowers (2000). Critiques also cited (Conrad, F. Cassar, et al., 2011;

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
					documents and publicly available transcripts of public forum proceedings	Flyvbjerg, 1998; Tewdwr-Jones et al., 1998)
Kahila-Tani et al (2016)	Research assesses effectiveness of public participation techniques (notably, the PPGIS survey tool) in the early stage of masterplan development	✓	Procedural and normative focus. Rowe and Frewer (2000) posit acceptance criteria (representativeness, independence, early involvement, influence and transparency) and process criteria. Researchers prioritised the former	Example of mixed-methods action research: authors were participation consultants to commissioner. Study considers early phase participation to first draft; thus, outcome criteria not assessed.	Mixed methods used in process focussed evaluation: content analysis of meetings / emails; spatial analysis of PPGIS survey; workshop observations; city planner interviews; and online planner survey	Theoretical influences include Rowe and Frewer's (2000) evaluation framework to judge 'how well certain participation techniques function'
Sayce et al (2013)	Authors present the process and implementation of a participatory planning approach for a statewide MPA	X	Evaluative framework not used. However, best practice standards were ostensibly incorporated. See sixth column.	A retrospective exploration of the initiative's process implementation. Findings are based on participant-observations. Article's co-authors were 'directly involved in initiative planning process; thus, the paper reflects a "participant-observer" perspective'[20]	Participant observations only methodology identified, little discussion on research design or methods.	Best practice theory-derived standards included: early involvement including 'planning of public participation'; 'power to influence decisions'; understand local needs and concerns; multiple mechanisms used in involvement strategy; 'providing technical assistance to the public';

[20] Sayce et al (2014) describe a participant-observer methodology with little reference to broader research design or measures taken to ensure research credibility. Therefore, one could question the reliability or dependability of findings given authors were directly involved in delivering the PE.

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
						include 'native peoples'; employ 'vigorous outreach' for maximum involvement (Sayce et al., 2013, see p. 58 for references)
Booth and Halseth (2011)	Researchers assess CORE and LRMP's land use planning processes, from the public's perspective, to identify success and failure	✗	No formal criteria used for evaluation. Authors reference 'successful' participation qualities (e.g. transparency, honesty, trust and participation timing)	A retrospective qualitative comparative case study design focussing on *process*. Five cases with a participatory element, one out with CORE or LRMP served as a 'control community'	80 interviews (with local government, municipal staff; process participants; local activists; community leaders); secondary data; focus groups in each community; mail survey to community members; open houses to feedback research findings for comment	Authors reference Arnstein (1969) and Webler and Tuler (2006) in discussion of existing research and literature.
Sarvašová et al (2014)[21]	Research evaluates the participatory element in developing a) the National Forest Program of Slovak Republic [NFP SR] and b) in Forest Management Plan [FMP] development	✓	Acceptance criteria: representativeness; independence; early public involvement; influence; transparency. Process criteria: resource accessibility; task definition; structured decision-making; cost effectiveness	A qualitative assessment of the NFP process (i.e. national level) and FMP process (i.e. Local level). Two District Forest Offices [DFO] selected for FMP analysis. Collectively, DFOs produced 56 FMPs, between 2010-2012	Primary methods: document review and interviews. Five interviews with FMP officers; document review of empirical data provided (i.e., 'invitations, documents, attendance lists, minutes'); observations of NFP SR meetings; 'three NFP editors' reviewed article	Authors reference Rowe and Frewer (2000)

[21] Sarvašová et al (2014) evaluate criteria fulfilment; however, often *assume* satisfaction

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
					development [Observation data described as 'complementary']	
Street et al (2014)	Authors examine 'process, recruitment, evidence presentation, documentation and outputs (e.g., reports)' of citizens' juries against principles of deliberative democracy	✓	Criteria are derived from Smith and Wales (2000), which centre on 'inclusivity, deliberation and active citizenship'	A qualitative theory-derived evaluation of '37 papers describing 66 citizens' juries'	Document review (of 37 papers) guided by deliberative democracy principles and seven research questions	Authors reference tenets of deliberative democracy theory and 'conceptualisations of these principles described by Smith and Wales (2000)'
Lynne and Busenberg (1995)	Study into CACs. To better understand a) how researchers define and measure CAC success and b) derive characteristics 'associated with success'	X	-*-	Authors reviewed a) literature associated with CACs (e.g., guidelines and manuals) and b) 14 empirical CACs studies conducted between 1976-1993	Document review (of 14 empirical studies) derived a) characteristics of CACs and b) success definitions c) conditions contributing to success (or lack of) d) research methods used to measure success	Authors reference Creighton et al (1983) as 'one of the most experienced practitioners and influential theorists in the area of citizen participation'
Brownill & Carpenter (2007a); Brownill (2009)	Researchers develop a framework to assess a frontloaded participatory process, which helped explore tensions and dynamics between competing planning and participatory rationalities	✓	Framework developed to help identify the 'tensions between different rationalities in planning'. Its theoretical foundations largely owed to Albrechts (2003), Bridge (2005), and Barnes et al. (2004).	A qualitative retrospective, exploratory case study relying on 'lived examples of participation' involvement	Three methods: 21 interviews (with key stakeholders, local community groups, participation consultants); 'observations at consultation meetings'; review of secondary sources	[Communicative Turn] Healey (2003; 2006a); Innes and Booher (2004b) ; Innes (1995); Forester (1989) [Power] Flyvbjerg (1998); Flyvbjerg & Richardson (2002) Cooke and Kothari (2001) [Agonism] Bridge (2005); Hillier (2002)

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
Hopkins (2010a, 2010b)	Researcher evaluates a participatory process (linked to regional planning) to better understand if communicative ideals can neutralise power differentials, thus delivering a more equitable process in practice	✗	-*-	Researcher adopts an 'ethnographic research approach' shadowing project from commencement to planning strategy launch (06.2003-09.2004)	Four methods: Attendance at 51 participatory events (adopting observer-as-participant role); questionnaire to 173 community forum members; 65 in-depth interviews with key actors; and document review	[Communicative Rationality] Innes (1996; 2004); Innes and Booher (1996); Healey (1992, 2003; 2006a); Sandercock (1983) [Communicative Critics] Fainstein (2000); Harris (2002); Huxley (2000); Tewdwr-Jones, and Allmendinger (1998); Purcell (2009)
Jarvis et al (2011)	Evaluate a neighbourhood regeneration effort to demonstrate community engagement's *cruciality* in delivering successful, sustainable implementation	✓	Researchers use Egan's (2004) model to characterise and assess the sustainability of Canley neighbourhood. A framework was not used to assess participation quality	Researchers use a case study approach 'comprising six stages'; the 'primary research' method was 300 household surveys, which was supported by Coventry City Council (i.e., project proposer)	Researchers analysed 2001 Census of Population data; reviewed ethnographic published works on Canley; reviewed secondary literature; administered household survey (300 recipients) 'capturing 90 indicators of quality of life and well-being'; conducted interviews and workshops (with policy stakeholders and residents); and reviewed project's output i.e., regeneration framework	Framework to assess 'sustainability', Egan (2004). Researcher's reference Berkeley et al (2008) regarding survey development (i.e. quality of life indicators)

Table 13: Evaluation Methods

	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
Bond & Thompson-Fawcett (2007)	Researchers evaluate the practical application of a New Urbanist charrette, against theory-derived criteria, to explore power distortions, inclusiveness and accommodation of difference	✓	*Conditions* for communicative process: a) equal opportunity of access i.e., inclusive and representative; b) equal opportunities to participate (i.e., 'open, honest, legitimate, and engendering trust' and accommodating different speech styles); and c) power distortions minimised through careful listening, interpretation and facilitation. *Outcomes* of communicative process: a) shared understanding, b) social learning demonstrated through shared understanding, collective interests override self-interest, conflict is resolved, and c) sense of ownership over outcomes emerge	A qualitative case study approach drawing on three data collection methods: observations, interviews and questionnaire	Observations (of two public meetings & a five-day workshop); post charrette 16 semi-structured interviews with key actors; 90 questionnaires returned by participants of final workshop	Reference to communicative action and deliberative democracy theory for 'measures' to evaluate the participatory event against. Communicative action's critics also referenced (Fainstein, 2000; Flyvbjerg, 1998; Hillier, 2003; Tewdwr-Jones & Allmendinger, 1998)
Toker & Pontikis (2011)	Researchers sought to pilot an 'inclusive and generative design process' (within a 'conventional urban' setting) to a) serve local community by	X	-*-	A university-led pilot study demonstrating 'the use of an inclusive and generative design process' in planning practice. Evaluating participation quality was not	Three stage process devised: first community workshop, generative pattern language development, follow-up community workshop	Public participation references: Wates (2000), Sanoff (1999). Pattern Language references: Salingaros and Mehaffy (2007); Alexander

Table 13: Evaluation Methods						
	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
	producing usable outputs and b) provide an experiential learning process for students involved			the project's objective; rather piloting it was key		(1977, 2002a, 2002b, 2004, 2005 ; 2005; 1975)
Parama (2015)	Researcher analyses the community engagement process in a public-private partnership planning project to test the hypothesis communicative theory tenets are easily co-opted in practice to serve and protect the interests of neo-liberal, market-led authorities	X	-*-	A multi method qualitative case study focussing on the 'Historic Fourth Ward Park / Area Masterplan development' process within the Atlanta Betline project	Researcher reviewed archival records (i.e., planning documents, Steering Committee meeting minutes) and conducted 23 in-depth, semi-structured interviews (with Betline planners, Steering Committee members, Study Group members and local politicians)	Communicative Planning Theory references: Innes (1995, 1996; 2004); Innes and Booher (2000); Healey (1992, 2003; 2006a); Forester (1997, 1998); Habermas (1987, 1990; 2005; 1984) Critics: Purcell (2009); Huxley (2000; 2002); Tewdwr-Jones and Allmendinger (1998) Political Philosophy: Mouffe (1993, 2000, 2005); Swyngedouw (2005; 2009; 2010, 2011)
Petts (2001)	Researcher evaluates two applications of CACs and two applications of CJs against theory-derived criteria to identify 'lessons for the optimum process'	✓	Ten evaluative questions: participants are representative of affected population, biases are minimised; participants influence participation process; dialogue, promote	Case study approach; however, little discussion on research design or methods	-*-	Author references a) discursive / deliberative democracy (Habermas et al., 1984) b) Webler's (1995) fairness and competence criteria and c) 'publicity and accountability' principles

Table 13: Evaluation Methods						
	Researcher Objective(s)	Framework	Criteria / Standards	Research Design Description	Data Collection Sources & Tools	Theoretical Perspectives / Research Concepts
			mutual understanding of values / concerns; dissent is engaged & understood; accessible information, experts are challenged; reduce misunderstandings and examine 'authenticity'; input makes a difference to participants (e.g., learning); enables consensus on preferred options; input influences decisions; transparent process			(Barnes, 1999; Gutmann & Thompson, 1998) to develop the ten evaluative questions

Table 13: Methods used in Participation Evaluation

Chapter Four Conclusion

This chapter shares the first of Stage One research findings. As I worked toward developing an evaluation framework -to better understand how inclusionary and participatory the Scottish charrette is- a natural step was consulting broader literature and examples of participation-evaluation. A key objective of analysing thirty-five articles was to inform general methodological development and derive current definitions of success.

Alone, this chapter presents a systematic review of participation-evaluation practice adding to similarly styled outputs (Brown, 2012; Chess & Purcell, 1999; Rowe & Frewer, 2004). The three primary tables presented above underscore the contextual conditions affecting PEs; the various process designs and their subsequent outcomes; and the different research approaches used in participation-evaluation.

The chapter serves any researcher in the early stages of designing a study to assess or evaluate a PE. In the context of my study, these findings became increasingly useful in Stage Two, as I endeavoured to address weaknesses in the preliminary evaluation framework (see Chapter Five) and build a characterisation tool. The characteristics described here, combined with Stage Two outputs, formed the basis of the case characterisation tool presented in Chapter Eight.

Chapter Five: Developing and Testing a Preliminary Evaluation Framework

This chapter continues to present findings from Stage One. It has three main sections. First, process quality and outcome characteristics are derived from examples of participation evaluation or assessment, which provide possible evaluation criteria for Stage Three. Following empirical analysis of thirty-five examples, the preliminary evaluation framework is presented. Before progressing and using the evaluation framework for the purposes of charrette evaluation, an expert review and pilot test was conducted; the findings from which are presented here.

5.1 Deriving Process and Outcome Criteria

This section discusses nineteen process and outcome characteristics derived from analysing articles presented in Chapter Four. A summary table is presented at the end of this description and before the preliminary evaluation framework. The summary table shares twelve process characteristics and seven PE outcomes. This analysis identified a) what PEs can achieve (either positively or negatively), and b) identified current 'success' definitions.

5.2 Outcome Characteristics

5.2.1 Influence

Anticipated and perceived influence serves as a source for bitter disappointment (Fernández-Martínez et al., 2020). Ultimately, participatory project participants want to know whether their individual and/or collective input had any impact on, for example, proposals or decision-making. Several studies found participants felt valued, had adequate opportunity to influence decision-making and input was identifiable (Aitken, 2010; Blackstock et al., 2007; Finnigan et al., 2003; Jarvis et al., 2011; Kangas et al., 2014; Lamers et al., 2010). Furthermore, Denters and Klok (2010) reported citizens were afforded a 'right of approval' prior to final municipal ruling. Therefore, involvement was valued, had a role, and influence was either perceived or demonstratable.

The unfavourable outcome is a permeating sense involvement is 'merely paid lip service' (Baker et al., 2010 p. 589) with no identifiable impact (Bawole, 2013; Bedford et al., 2002; Chompunth & Chomphan, 2012). Involvement becomes cosmetic, a veneer, a tokenistic exercise that may serve to satisfy only instrumental rationales for citizen and stakeholder involvement (Brown & Chin, 2013; Harrison et al., 2004; Lynn & Busenberg, 1995; Parama, 2015). Booth and Halseth (2011, p. 902) reported the 'second most frequently cited change needed in public engagement' was assigning it greater value.

5.2.2 Participant Self-Evaluation

A positive or negative self-evaluation may affect citizens' decision to participate in future processes (Mannarini & Talò, 2013). Mannarini and Talò (2013) suggest participants place more value on process criteria than outcomes; however, Brown and Chin (2013) argue differently. The general aim nonetheless is to create a positive experience. Several studies found involvement led to greater trust among participants and/or in public institutions or fostered new connections (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Blackstock & Richards, 2007; Finnigan et al., 2003; Jarvis et al., 2011; Lamers et al., 2010; Omidvar et al., 2011; Sayce et al., 2013).

However, processes can achieve the antithesis. Cunningham and Tiefenbacher (2008, p 854) reported communities found the 'process tedious, full of 'red tape', and illegitimate'; certain stakeholders were unhappy, feeling marginalised in Baker et al. (2010); and Blackstock and Richards (2007) recorded frustration caused by an endless pursuit for consensus. More extreme, Booth and Halseth (2011) found involvement had a negative impact on some participants' mental health and worsened community relations. Likewise, Chompunth and Chomphan (2012) found involvement led to greater distrust of institutions, and whilst Brown and Chin (2013) found greater trust among residents their collective distrust for public and private bodies grew.

5.2.3 Agreement and Acceptance

Participatory processes aim to address differences and find 'practical solutions to shared problems' in recognition conflicts may never really cease but can be temporarily paused (Innes & Booher, 2015, p. 199). Respondents in Petts (2001, p. 217) indicated 'dissent and

disagreement had been productive, indeed vital to the debate'. Several studies report on fewer proposal objections as a result of broader involvement (Bedford et al., 2002; Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b; Denters & Klok, 2010). Others found agreement or proposal support (Harrison et al., 2004); fewer 'conflicts of interests' (Lamers et al., 2010); and even 'consensus' (Finnigan et al., 2003). Although, the latter concept is widely debated.

However, as Bedford et al. (2002) imply, fewer objections does not always reflect greater levels of agreement. Rather, revision renders proposals less offensive than the original. Blackstock and Richards (2007, p. 507) similarly suggest there 'may be limits to using DIPs[22] to resolve conflict' given the output can sometimes be the least offensive outcome to the majority, as opposed to 'a truly optimal solution'. Bond and Thompson-Fawcett (2007) report more deliberate conflict-avoidance. Rather than using the interactive arena to 'explore the historical context (and emotion) behind' a minority's strong opposition (to a generally well-received proposal), facilitators abandoned all discussion (Bond & Thompson-Fawcett, 2007, p. 467). Papering over dissent is a well-recognised problem (Inch, 2012; Innes & Booher, 2015; Purcell, 2009).

5.2.4 Outputs and Solutions

A substantive rationale suggests participatory approaches can generate better solutions or outputs i.e., more cost effective, more creative or more widely acceptable and 'technically rigorous' results than those expert-led (Beierle, 1999, p. 84). Several studies reported on useable, reliable outputs (Street et al., 2014; Toker & Pontikis, 2011); solutions adopted by authoritative bodies (Hopkins, 2010a, 2010b; Jarvis et al., 2011; Lamers et al., 2010); novel, creative ideas that otherwise would not have emerged (Finnigan et al., 2003; Sayce et al., 2013); and more holistic understandings of the problem (Blackstock & Richards, 2007).

However, it is not a guarantee. Participatory processes can produce outputs that lack detail (Kangas et al., 2014; Petts, 2001); include too much detail to the point they become unusable, cumbersome documents (Blackstock et al., 2007; Kelly et al., 2007); or fail to satisfy all

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interests (Finnigan et al., 2003; Kangas et al., 2014). Bawole (2013) found more serious critiques suggesting the output was generally poor and potentially unauthentic.

5.2.5 Participation's Effects

Innes and Booher (1999b) describe 'effects' that extend beyond the immediate PE. For example, a sense of ownership and capacity to act; new partnerships; coordinated joint action; new institutional practices; or new behaviours.

Several studies described an attitudinal change as involvement increased support for participatory approaches (Finnigan et al., 2003). Participants gained experience in delivering citizen and stakeholder participation (Baker et al., 2010; Bickerstaff et al., 2002; Bickerstaff & Walker, 2001) and others implied involvement helped participants learn how to better work in partnership (Blackstock & Richards, 2007; Lamers et al., 2010). Building on the endeavour, some reported joint action followed, new working relationships were established and new organisational structures that redefined 'strategic and delivery roles for residents to work in partnership with local policy stakeholders' manifested (Hopkins, 2010a; Jarvis et al., 2011, p. 11/16; Kelly et al., 2007).

Less favourably, PEs have equally struggled to implement long-lasting change to well-established structures or induce future cooperation (Brownill, 2009; Brownill & Carpenter, 2007a; Kangas et al., 2014). Reasons for limited 'effects' included 'different organisational cultures' (Blackstock & Richards, 2007, p. 505), little ownership or capacity to act (Kelly et al., 2007) and 'dictatorial and officious' government officials (Booth & Halseth, 2011, p 903).

5.2.6 Two-Way Learning

Collaborative practices have dialogue and/or deliberation at their core. The purpose is to 'address the interests of all, allowing time for these to be explored' (Innes & Booher, 2004b, p 426). Healey (2012, p. 60) focusses on the interactive or 'performative dimension' in which people come together. An intention is to build understanding among diverse interests, foster learning and create shared meanings, which can ultimately lead to action (Innes & Booher, 2015).

The most often cited benefit among the articles was shared, two-way learning through an exchange of values, concerns and perspectives (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001). Many discussed increased awareness and holistic understanding of the problem, issue or content (Blackstock & Richards, 2007; Harrison et al., 2004; Lamers et al., 2010; Roma & Jeffrey, 2010); others considerably improved their knowledge (Brown & Chin, 2013; Petts, 2001); others built greater political or institutional awareness (Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b); and public agencies were better aware of the existing community group network (Kahila-Tani et al., 2016).

Others found an opportunity for exchange challenged preconceptions and self-interests that led, in some instances, to self-reflection and a change in perspective (Blackstock et al., 2007; Bond & Thompson-Fawcett, 2007). Sayce et al. (2013, p. 64) similarly report the PE 'offered an optimal setting for the public to learn new ideas and come to recognize that others' views were legitimate'.

5.2.7 Empowerment

As mentioned, Bailey (2010), along with others, note terms are often used interchangeably despite distinction (e.g. involvement, engagement, consultation, participation and empowerment). With regards to the latter, Bailey (2010) suggests empowerment implies a transfer of power. For example, new skills or authority, greater capacity to influence, or endorsement from higher-ranking agencies.

Amongst the articles, sentiments echoing empowerment were discussed in terms of building citizens' willingness to engage (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001); establishing new communication channels with previously silent (Ibid, 2002; 2001); increasing one's capacity to engage in future projects (Blackstock et al., 2007); strengthening interaction between policy-makers and citizens (Jarvis et al., 2011; Kahila-Tani et al., 2016); and building residents' skill, training and self-confidence (Brownill, 2009; Brownill & Carpenter, 2007a; Brownill & Carpenter, 2007b).

5.3 Process Characteristics

5.3.1 Deliberation and Structured Decision-Making

Habermas' ideal speech situation has been criticised (see Chapter Four). Discussion ground rules would typically encourage an interest in the common good or what is perceivably 'fair', which requires summoning some empathy for others (Fung & Wright, 2003; Purcell, 2009, p. 149). However, Blackstock and Richards (2007, p. 506) found participants 'often struggled with the requirement to evaluate all arguments'.

As collaborative planning proponents admit, interactive spaces can co-opt, ignore or peer pressure participants (Innes & Booher, 2015). Studies reported on minority interests dominating and the influence just a few could exert (Baker et al., 2010; Blackstock et al., 2007; Kelly et al., 2007; Marzuki et al., 2012). Others observed bullying and general impropriety, causing some participants to feel intimidated (Booth & Halseth, 2011; Conrad, Cassar, et al., 2011; Hopkins, 2010a, 2010b). With a greater focus on facilitation quality, Kangas et al. (2014) found discussions could have been better structured to avoid repetition and progress.

Conversely, others reported neutral or positive atmospheres conducive for multi-way exchange (Finnigan et al., 2003; Mannarini & Talò, 2013; Street et al., 2014). Respondents in Lamers et al. (2010) were positive about small group settings suggesting issues could be discussed directly and openly in a safe environment. Discussions in these instances were governed by mutual respect, openness and trust. Sarvašová et al. (2014, p. 415) more specifically discussed effective 'mechanisms for structuring and displaying the decision-making process'.

5.3.2 Attendance, Inclusivity and Representativeness

A hallmark of best practice lies in engaging a broad range of 'multiple stakes in all their complex diversity' (Healey, 2012, p. 62). However, deciding who and how to recruit participants is challenging, as is constructing terms of reference from which to group and frame members of the public (Beebeejaun & Vanderhoven, 2010; Davies et al., 2005; Wesselink et al., 2011). Lynn and Busenberg (1995, p. 160) conclude, 'membership selection processes' is an area worthy of further study. Inclusion can also be interpreted in several

ways; for example, social, cultural and discursive inclusion (see Avritzer, 2017, p 22). Beebeejaun and Vanderhoven (2010) advocate informalizing participation given representativeness, as traditionally conceptualised, is thought inadequate for the often heterogenous nature of communities (see also Fung & Wright, 2003).

Many studies discussed some form of limitation. Either missing minority voices and over and/or under representation of particular groups (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Blackstock & Richards, 2007; Hopkins, 2010a, 2010b; Kelly et al., 2007; Sarvašová et al., 2014). Some speculated why involvement was low: outreach methods favoured different demographics (Kahila-Tani et al., 2016), volunteerism naturally curtails diversity (Kahila-Tani et al., 2016), project scale was perceivably too broad-brush (Baker et al., 2010); local apathy or distrust discouraged attendance (Chompunth & Chomphan, 2012; Marzuki et al., 2012); and more tactile recruitment (Parama, 2015) or deliberate exclusion (of particular groups) was afoot (Harrison et al., 2004; Marzuki et al., 2012).

Others commended their study's overall participant turnout (Bawole, 2013), observing those most affected were involved (Cunningham & Tiefenbacher, 2008; Finnigan et al., 2003), active outreach was used (Denters & Klok, 2010; Harrison et al., 2004; Kangas et al., 2014) and methods were tailored to societal groups (Lamers et al., 2010). However, what constitutes *good* or *high* turnout is not always explicit.

5.3.3 Resources for Participatory Endeavour

Consensus building, or collaborative processes are thought to be more resource intensive than traditional decision-making processes (Baker et al., 2010; Lamers et al., 2010; Petts, 2001). Without additional support, Bickerstaff et al. (2002); Bickerstaff and Walker (2001) found authorities may struggle to fully implement the government's participatory rhetoric. Personnel, time and financial limitations are considered process constraints (Baker et al., 2010; Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Marzuki et al., 2012). Parker and Street (2018, Ch. 2) discuss the lack of resource and commitment as a *distancing tactic*.

Marzuki et al. (2012, p. 596) found complaints of an 'insufficient workforce and budget' leading to 'ineffectiveness of public participation processes'. Finnigan et al. (2003, p. 21) also noted 'there was insufficient funding to support participants'. More positively, participants in Gelders et al. (2010) reportedly received a degree of support and were reimbursed if out of pocket.

With reference to time, Petts (2001), Bickerstaff et al. (2002); Bickerstaff and Walker (2001) and Finnigan et al. (2003) suggested deadlines were unrealistic, hindering process delivery and/or output quality. Likewise, Street et al. (2014, p 5) criticised shorter citizens' juries, as respondents complained of 'insufficient time to explore issues'.

On the other hand, resources were ringfenced specifically for the PE in Brownill (2009); Brownill and Carpenter (2007a), which afforded an extensive involvement strategy. However, the authors still reported mixed findings (Ibid, 2009; 2007a; 2007b).

5.3.4 Involvement Windows

Citizen and stakeholder involvement in decision-making, proposal development and so forth should be offered early and continuously (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001). Planning reforms in England advocate *frontloaded* involvement (Baker et al., 2010; see Bishop in Inch et al., 2019; see Chapter Six). Sayce et al. (2013) and Kangas et al. (2014, p. 16) demonstrated early involvement as the former invited comment on the proposed involvement strategy and citizens in the latter were involved in goal-setting. Bickerstaff et al. (2002) and Baker et al. (2010) also found evidence of earlier and regular opportunities in their more holistic reviews of participatory practices. Others concluded involvement windows were inadequate (Cunningham & Tiefenbacher, 2008); for example, offered too late in the developmental process or extended to trivial matters (Kahila-Tani et al., 2016; Parama, 2015).

However, others also questioned frontloaded involvement's worth. Brownill (2009); Brownill and Carpenter (2007a) found frontloading sped-up statutory phases given fewer objections and more informed representations were submitted. Though some stakeholders (i.e., 'organised businesses') reserved all involvement until the statutory phase. Therefore, frontloading citizen involvement 'could be at the expense of community influence' (Brownill & Carpenter, 2007b p, 422).

5.3.5 Transparency

Generally, articles describe transparency in terms of openness i.e., whether decision-making is clear, the extent participants are able to scrutinise outputs, whether use of citizen and stakeholder input is communicated, and if full disclosure and sharing of available materials is offered. A transparent process should squash any sense of secrecy and build trust in project

proposers. Lamers et al. (2010) and Jarvis et al. (2011) both commend their cases for process transparency citing increased visibility, identifiable impact and, in the former, an appreciation for the commissioning body's honesty around attempts to influence the process.

Other studies found process aspects undermining transparency. For example, a lack of audience appropriate information (Cunningham & Tiefenbacher, 2008); deliberately withheld information (Kangas et al., 2014, p. 16); suspicions decisions had been made priorly (Chompunth & Chomphan, 2012); a lack of feedback communicating how 'concerns had been acted on' (Harrison et al., 2004, p. 910); and a chequered audit trail, meaning explanations to support decision-making were not always available (Kelly et al., 2007).

5.3.6 Citizen and Stakeholder Access

PEs should be comfortable and convenient for their target audience (Brown & Chin, 2013). Recommendations include high quality, unbiased, comprehensible, information; sufficient time to read materials prior to involvement; and easily accessible activities. Petts (1995) found direct information, for example, through site visits or panel debates -which forgo any commitment to reading lengthy material- may be preferable. For effective discourse, Webler (1995) suggests normative criteria, including *competence*, which is based on access to information and 'procedures for knowledge selection' (Webler & Tuler, 2002, p. 183).

With overlaps in Transparency, several studies report material was either withheld, of poor quality or not audience appropriate (Baker et al., 2010; Conrad, F. Cassar, et al., 2011; Cunningham & Tiefenbacher, 2008). For example, Chompunth and Chomphan (2012) and Bawole (2013) both question whether participants could digest information noting low educational attainment. Brown and Chin (2013) found 'more comprehensible the information, the more likely future participation'. Bond and Thompson-Fawcett (2007) found meeting times were not always accessible (e.g., during working hours) or lack of childcare inhibited attendance.

More positively, other studies recognised possible accessibility barriers and implemented workarounds. For example, participants were generously informed in Denters and Klok (2010) and written session reports made publicly available (online) for non-attendees. Likewise, in Sayce et al. (2013) a (then) novel and costly webcast was implemented to provide real-time and archival access to materials for non-attendees.

5.3.7 Cost

Satisfying Transparency and Citizen and Stakeholder Access criteria may render involvement too costly. Striking a balance, in favour of benefit over cost, is considered key (Baker et al., 2010). For example, the onus is on participants to prepare for involvement. Thus, the commitment and organisation required of citizens and stakeholders could become burdensome (Blackstock & Richards, 2007; Hopkins, 2010a, 2010b; Lamers et al., 2010). Involvement may be emotionally draining and stressful (Booth & Halseth, 2011; Inch, 2015). Participants may experience unequal costs as some are compensated and others not; therefore, the 'demands upon the participants' must be recognised (Booth & Halseth, 2011, p. 902). Respondents in Brownill and Carpenter (2007b, p. 422) also 'talked of 'tiredness' after the exhaustive consultation', and the endeavour may have been equally successful with slightly fewer meetings in Lamers et al. (2010). Indirectly Sayce et al. (2013, p 59) recognised this level of organisation required by acknowledging more should be done to cater for those 'who were less organised'.

On the other hand, Petts (2001, p 214) found despite the high commitment cost 'drop-out was very low'.

5.3.8 Task Definition

As Rosener (1978, p. 459) proposes in her evaluation matrix, a healthy endeavour requires agreement on participation goals and scope between commissioners and participants. Several studies evaluated some form of *task definition* and found involvement's purpose was not clearly communicated, participant and stakeholder roles had not been clear and participants did not understand how input would be used i.e., what decisions input would likely affect or not affect (Brown & Chin, 2013; Chompunth & Chomphan, 2012; Gelders et al., 2010; Kangas et al., 2014; Lamers et al., 2010; Marzuki et al., 2012).

In Lamers et al. (2010) the project benefited from some midway evaluation as participants identified a need for 'greater clarity about project boundaries and the roles' of various participants. Likewise, Kelly et al. (2007, p. 237) found participant recommendations for a 'fair, transparent' process partly lay in distinguishing between project 'coordinator, the information provider and the decision-maker'. In Denters and Klok (2010, p. 588-590) the municipality,

with advice from an independent committee, adopted a 'process architecture' that included a series of 'institutional rules'. Although informal, *position rules* identified roles (or positions); *boundary rules* derived recruitment or inclusion criteria; *authority rules* matched actions to different position holders; *scope rules* 'defined the set of outcomes that might be affected'; and *information rules* ensured process openness.

Overall, mismanaged expectations and a lack of clarity on role or task could lead to participant disengagement, confusion and overall negative self-evaluation of involvement (Brown & Chin, 2013; Chompunth & Chomphan, 2012; Kelly et al., 2007).

5.3.9 Independence

Finnigan et al. (2003) derived two process criteria: *effective process management* and *independent facilitation*. The former requires the process to be managed in a 'neutral manner' and the latter necessitates independent, trained facilitators for deliberation management. Petts (2001) suggested an important factor was achieving *'perceived* independence of the organizer and facilitator' (Petts, 1995, p. 530, emphasis added). Lynn and Busenberg (1995, p. 147, 159; emphasis added) also found the PEs with 'significant policy impacts' generally had 'well-defined charges, adequate resources, and [were] *neutrally facilitated'*.

However, achieving Independence is challenging. Hopkins (2010a, p. 61) distinguishes avoidable from inevitable imbalances observing facilitators can help to 'redress power differences'. Yet, planners -drafted into facilitator roles in the absence of external professionals- actually 'enacted power distortions themselves' (Ibid, 2010a, p. 71). Furthermore, Hopkins (2010a, p. 65) questions the 'framing of the information given to participants' suggesting it may have implicitly encouraged participants to select the government's preferred growth scenario. Likewise, Bond and Thompson-Fawcett (2007) recognised a professional bias in the promotion of New Urbanism principles in a New Urbanist-led charrette. Their study's respondents suggested this strongly led the agenda and founded proposals, which, some thought, had no 'clear mandate from the public' (Ibid, 2007, p. 463).

5.3.10 Self-Design

Several studies discussed strict agendas set by limited parties and a lack of shared goals (Blackstock et al., 2007; Harrison et al., 2004; Kelly et al., 2007). Petts (2001, p. 215) suggested the complexity of issues considered by citizen advisory committees means a pre-determined agenda could be 'a potential source of disquiet amongst participants'. Thus, participants should have a say on 'procedures and moderation method' (Ibid, 2001, p. 209). Likewise, Blackstock and Richards (2007) found participants dissatisfied with the final output suggesting it did not address all relevant issues. The authors suspect the PE failed to foster 'shared goals and expectations of the process' given the output was perceived as 'trying to be "all things to all people"' (Blackstock & Richards, 2007, p. 505). Kangas et al. (2014, p. 20) found participants were involved in goal definition. However, findings also indicated participants 'saw the planning problem differently' implying 'stakeholders would have wanted to participate on a more detailed level'.

Overall, Self-Design builds on criterion Task Definition by extending broader involvement in defining the problem, agenda, objectives and participatory mechanisms.

5.3.11 Consultation Fatigue

Blackstock and Richards (2007) suggest satisfying a policy rhetoric of increased citizen and stakeholder involvement ironically leads to overload, fatigue and possible withdrawal. In their study the public was noted as a *missing voice*. Authors suspect the public's low response could be attributed, in part, to other 'several consultative processes running during the SCMP's development' (Blackstock & Richards, 2007, p. 506)

Findings from empirically analysing articles suggest there can be too many *uncoordinated* efforts. Bickerstaff and Walker (2001, p. 446) criticised projects for working in isolation with 'no real strategic coordination', which could lead to disengagement. Similarly, Booth and Halseth (2011, p. 902) suggested the number of opportunities can lead to 'public burn out' and participants indicated they were often involved in other PEs. However, PEs were said to rarely capitalise on participants' expertise or failed to establish a 'relationship' with similar, overlapping projects. Underscoring the utility of evaluation findings, respondents expressed concern little learning had been gleaned from past or parallel projects.

5.3.12 Mechanisms and Involvement Strategies

A multiplicity of involvement windows and mechanisms is generally recommended (Baker et al., 2010). Petts (1995, p. 530) suggested whilst some mechanisms on their own would not be considered effective, they 'were probably more important as a package'. Marzuki et al. (2012), Chompunth and Chomphan (2012), Booth and Halseth (2011) and Bond and Thompson-Fawcett (2007) made observations that fall short of these recommendations. For example, several studies observed an over reliance on information provision mechanisms with little two-way communication.

On the other hand, Sayce et al. (2013) describe good process characteristics such as continuous involvement, opportunities to 'affect both process design and outcomes', both 'conventional' and 'unconventional' mechanisms, appointing external engagement specialists and tailored involvement strategies (Sayce et al., 2013, p. 58, 64). These good process characteristics reportedly led to a host of good outcomes: a 'diverse public audience' engaged, 'mutual understanding' and new relationships evident, new or novel ideas and more locally responsive plans[23]. Although, others cast doubt on whether an extensive, innovative involvement strategy is a recipe for inducing notable, long-lasting change (Brownill, 2009; Brownill & Carpenter, 2007a; Manuel & Vigar, 2020).

5.4 Outcome and Process Characteristic Summary

Evaluation frameworks typically list process and outcome criteria that are thought to be ingredients for successful PEs. The review presented here goes a little beyond listing *good* characteristics and discusses the negative counterpart and/or downsides to criteria fulfilment. Summary Tables 14 and 15 provide a foundation from which to draw evaluation criteria. I used this analysis to develop the preliminary evaluation framework (presented below). The nuances in the above discussion were particularly relevant for Stage Three analysis.

[23] As mentioned in the previous chapter Sayce et al. (2013) made little reference to research methods. Thus, one could question the study's reliability or dependability.

[-] Process Qualities	[+]
Deliberation and Structured Decision-Making: poorly structured or managed social interaction; limited multi-way conversation; uncomfortable deliberative arena; limited or no decision-making tools to track / structure conversation.	Deliberation and Structured Decision-Making: environment is conducive to multi-way deliberation; participants are comfortable; communicative ethics observed; and tools to structure, record and display decision-making are used.
Attendance, Inclusivity and Representativeness: over and/or under representation; limited interest, poor involvement rate; deliberate or implicit exclusion; poor recruitment strategies.	Attendance, Inclusivity and Representativeness: high involvement rates; (however, *high* not always made explicit); and/or most affected and those with specific interest are involved.
Resources for Participatory Endeavour: insufficient resources (time, finance, personnel) to support PE; involvement costs not recognised.	Resources for Participatory Endeavour: adequate resources (time, finance, personnel) to support PE; participants compensated; involvement costs recognised.
Involvement Windows: inadequate opportunities; limited extent of citizen and stakeholder involvement; frontloaded engagement compromises citizens' capacity to influence.	Involvement Windows: citizens and stakeholders are engaged early and throughout the PE; participants contribute to problem definition and goal setting.
Transparency: lack of or poorly prepared information; materials deliberately withheld; processing of input unclear; limited feedback on input's use; decision mandate / justification unclear.	Transparency: decision-making is clear; use of citizen and stakeholder input is communicated; full disclosure and sharing material.
Citizen and Stakeholder Access: inadequate information (e.g., limited information, overly technical, lengthy, translations unavailable); meeting times unsuitable; possible barriers are not considered (e.g., childcare provision).	Citizen and Stakeholder Access: participants can access high quality, audience appropriate material; barriers to involvement are minimised; participatory events are convenient (e.g., time, location).
Cost: high level of organisation required of participants; involvement becomes burdensome; cost outweighs benefit / gain.	Cost: despite commitment cost participant retention remains high; benefit / gain outweighs cost.
Task Definition: mismanaged expectations; PE's goals and objectives unclear or understood differently; expectations on input's role unclear.	Task Definition: stakeholder analysis informs involvement strategy programme; role and responsibilities clearly defined; project boundaries and scope are agreed.
Independence: avoidable distortions not minimised; impartiality, bias evident; deliberate (possibly implicit) persuasion; and/or selective use of facts.	Independence: neutrally facilitated events; clearly defined roles; external staff (e.g., project managers, facilitators); perception of independence (i.e., external appointees unnecessary if there is a *perception* of neutrality).
Self-Design: strict agenda with little contribution from participants; lack of shared goals and problem definition.	Self-Design: participants able to influence agenda; inform PE process design; influence / select moderating methods.
Mechanisms and Involvement Strategies: commitment to traditional mechanisms / methods; overreliance on single methods; lack of tailoring and innovation.	Mechanisms and Involvement Strategies: extensive involvement strategy with a range of mechanisms; conventional and unconventional methods used; mechanisms tailored to stakeholders and project stage.
Consultation Fatigue: PE overload, multiple projects; uncoordinated, overlapping projects where cross-over or relationship missed.	Consultation Fatigue: Past and parallel PEs communicate; lessons are learned; ideas, knowledge exchange across projects; synergy amongst different endeavours.

Table 14: Participatory Endeavour Process Qualities

[-] Outcome Qualities [+]	
Influence: Citizen and stakeholder input is unidentifiable in outputs; participants do not feel valued; involvement perceivably tokenistic.	Influence: Citizen and stakeholder input is identifiable in outputs; participants feel values are incorporated.
Participant Self-Evaluation: Participants are dissatisfied; involvement creates frustration, rather than building trust and connections involvement exacerbates participant relationships.	Participant Self-Evaluation: Participants enjoy involvement, feel valued and respected; participants make new connections, build better relations; participants build trust in fellow residents and/or institutions.
Agreement or Acceptance: consensus pursuit renders output(s) least offensive option, rather than optimal solution; disagreement sustained, no agreed actions; contentious issues avoided; limited scope to influence certain issues.	Agreement or Acceptance: Involvement leads to fewer registered objections; conflicts addressed, and shared actions identified; disagreement spurs debate; consensus pursuit explores broader interests leading to more responsive outputs.
Output and Solutions: outputs (e.g., plan, proposal, report, new data and so forth) from PE is of questionable quality e.g., flawed, cumbersome, not based on input; outputs are not shared; others (including beyond PE) have little use for and/or access to outputs.	Quality Output: outputs (e.g., plan, proposal, report, new data and so forth) from PE are usable, shareable and adoptable; based on involvement input.
Participatory Effects: limited evidence of joint action; uncollaborative attitudes; institutional inertia or collaborative approaches clash with organisational culture.	Participatory Effects: participatory involvement produced more creative, cost-effective, novel, well-informed ideas; involvement was a valued learning experience; project proposers gained experience; support for participatory approaches was raised; attitudinal change, new behaviours and/or practices.
Two Way Learning: Little knowledge, idea exchange amongst participants; atmosphere not conducive to dialogue / deliberation; little knowledge gain, unchanged perspectives.	Two Way Learning: all parties involved gained new knowledge; better understood perspectives; and/or changed perspective.
Empowerment: no evidence of power transfer e.g., news skills, greater capacity, increased confidence, strengthened social or political capital.	Empowerment: some form of power transfer: typically, news skills, greater capacity, increased confidence, strengthened social or political capital.

Table 15: Summary of Participatory Endeavour Outcomes

5.5 The Emerging Framework

Bickerstaff and Walker (2005) are critical of checklist approaches to evaluation claiming frameworks, based on Habermasian ideals, can largely ignore factors contributing to local tensions. In their comparative assessment of two deliberative exercises, the researchers explore power relations, institutional constraints and general inhibitors limiting full 'realisation of the participatory agenda in local governance' (Ibid, 2005 p, 2123).

In agreement and with the tenets of critical realism in mind, I was conscious using a framework to understand criteria fulfilment could generate a shallow reading of attainment or

non-attainment. The above discussion on outcome and process characteristics reference inhibiting and enabling elements alongside consequences of falling short and fulfilling 'good' outcome and process characteristics.

Therefore, criteria fulfilment does not seem a reliable indication of a more effective PE. For example, empirical analysis of examples of participation-evaluation show fewer proposal objections, as a result of citizen and stakeholder involvement, does not always indicate greater agreement (Bedford et al., 2002); providing sufficient information (thus fulfilling Citizen and Stakeholder Access criteria) can create too high a cost for participants (see Cost discussion above); and extensive involvement strategies do not guarantee community influence (Brownill, 2009; Brownill & Carpenter, 2007a; Manuel & Vigar, 2020).

In response, the emerging framework intentioned to strengthen the link between hypothesised benefits of inclusionary practice (i.e., rationales) and criteria (i.e., best practice standards). Laurian and Shaw (2009) proposed a framework that lists participation goals alongside criteria for goal attainment. I attempted to advance this framework-type by underscoring a) the connectedness between criteria and participatory goals, benefits or rationales and b) connectedness between different charrette stages. Therefore, the framework demonstrated a horizontal and vertical connectedness (see Figure 11).

Emphasis was placed on the interrelated parts of a PE and building working theories, for example (and with reference to Figure 11):

- Using the evaluation tool vertically, one might posit Criterion X in Section 1 (Convening) should be sought with the intention of achieving Y Criterion at the Process / Event Stage (dotted arrow, Figure 11)
- Using the framework horizontally, one might posit Criterion Z should be sought if the PE aims to achieve Z1 goal, benefit or rationale (dashed arrow, Figure 11)

Figure 11 shows a diagrammatic version of the preliminary evaluation framework, highlighting the intended relations between criteria (i.e., best practice standards on the left-hand side) and often cited benefits or rationales for participatory processes (on the right-hand side). I derived 'criteria' and 'goals' from the above analysis and broader literature review. Next, I expand a definition of the three goal-groups on the right-hand side of Figure 11 (see Table 16), which precedes the preliminary tool presented across Tables 17 to 20.

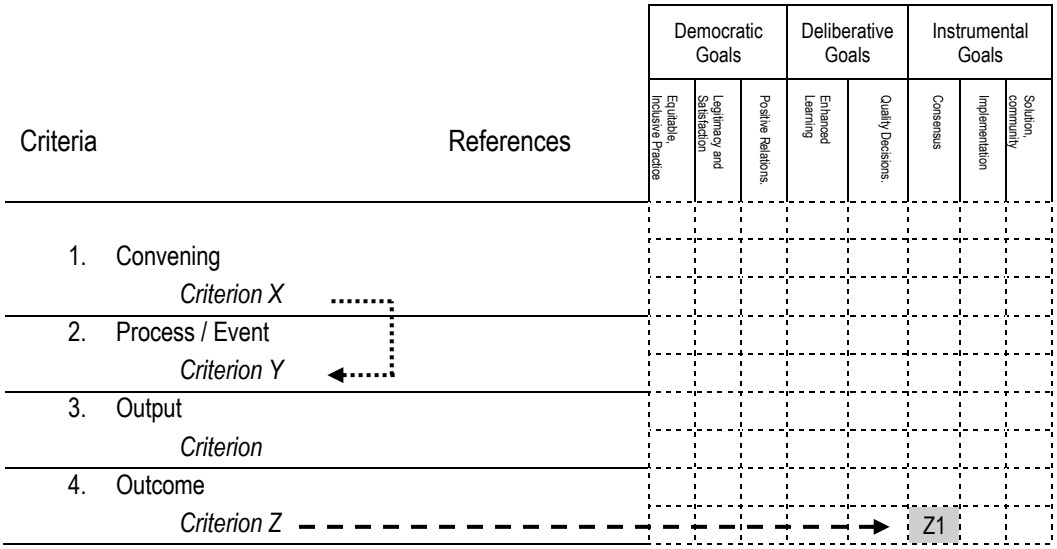

Figure 11: Diagrammatic Version of Preliminary Framework

Goal Groups	References
1. Democratic Goals:	
A. Equitable, Inclusive Practice Refers to democratic and equity rationales i.e., fair, inclusive processes; incorporating diverse knowledge sources; ensuring previously excluded are included; giving voice to those most affected by decisions	*(Bond & Thompson-Fawcett, 2007; Brand & Gaffikin, 2007; Brown & Chin, 2013; Fischer, 2012 p.62; Hopkins, 2010a; Lawless & Pearson, 2012; Sanoff, 1985)*
B. Legitimacy and Satisfaction Refers to an institution's credibility; participant satisfaction with process; participants' willingness to agree outputs (e.g., a decision, proposal) were *justly* produced even if they are unfavourable	*(Aitken, 2010; Barnes et al., 2004; Beaumont & Loopmans, 2008; Blackstock, 2005; Blackstock et al., 2007; Brand & Gaffikin, 2007; Conrad, F. Cassar, et al., 2011; Innes & Booher, 1999b; Petts, 2001; Sanoff, 1985, 2005)*
C. Positive Relations Refers to public trust in institution; positive public image; external political efficacy; overcoming inertia and suspicion; sustained engagement	*(Bowler & Donovan, 2002; Cento Bull & Jones, 2006; Conrad, F. Cassar, et al., 2011; Denters & Klok, 2010; Innes & Booher, 1999b, 2004b; Mannarini & Talò, 2013; Sanoff, 2005)*
2. Deliberation Goals:	
A. Enhanced Learning Refers to awareness generated through discussion and resources; appreciation of diverse views; shared understanding of issues and more holistic perspectives developed	*(Blackstock et al., 2007; Bond & Thompson-Fawcett, 2007; Innes & Booher, 2015; Jones et al., 2013 ch.4; Mandarano, 2008; Margerum, 2011; Renn, 2006; Sanoff, 1985)*
B. Quality Decisions Refers to innovation e.g., unique knowledge contributed, new ideas or creative solutions developed; optimised fair solutions that are socially just, responsive to priorities and locally appropriate	*(Barnes et al., 2004; Beebeejaun & Vanderhoven, 2010; Bickerstaff et al., 2002; Blackstock et al., 2007; Brownill & Carpenter, 2007a; Carr & Halvorsen, 2001; Conrad, F. Cassar, et al., 2011; Gaventa & Barrett, 2012a; Innes & Booher, 1999b, 2004b, 2015; Renn, 2006; Sanoff, 1985, 2005)*
3. Instrumental Goals	
A. Consensus Refers to levels of agreement from tolerable consensus, jointly developed objectives and shared visions; reduced conflict	*(Fischer, 2012 p.62; Innes & Booher, 1999b, 2004b, 2015; Jones et al., 2013 ch.5; Renn, 2006; Sanoff, 2005)*
B. Implementation Refers to efficiency gains e.g., reduced delay, local support little objection; durable, robust strategies developed with rich knowledge sources and/or agreements; coordinated action between government and non-government agencies	*(Bickerstaff et al., 2002; Blackstock et al., 2007; Brand & Gaffikin, 2007; Dargan, 2009; Healey, 2006b p.538; Hopkins, 2010a; Innes & Booher, 1999b, 2004b; Jarvis et al., 2011; Lawless & Pearson, 2012; Sanoff, 2005)*
C. Solution and Community Performance	

	Refers to tangible outcomes (solution implementation) and enhanced community performance e.g., social, economic and environmental sustainability	*Solution implemented: Laurian and Shaw (2009) Social Sustainability: (Agger & Löfgren, 2008; Aitken, 2010; Barnes et al., 2004; Bedford et al., 2002; Bowler & Donovan, 2002; Carr & Halvorsen, 2001; Denters & Klok, 2010; Gaventa & Barrett, 2012a; Innes & Booher, 1999b, 2004b; Jarvis et al., 2011; Renn, 2006) Enhanced Performance: (Bond & Thompson-Fawcett, 2007; Brownill & Carpenter, 2007a; Cento Bull & Jones, 2006; Conrad, F. Cassar, et al., 2011; Innes & Booher, 1999b; Jarvis et al., 2011; Mandarano, 2008)*

Table 16: Summary of Goal Groupings used in Preliminary Evaluative Framework

Preliminary Evaluative Framework										
Participatory Endeavour Stage One: Convening		Democratic Goals			Deliberative Goals		Instrumental Goals		
Recruitment		1a	1b	1c	2a	2b	2a	3b	3c
Inclusive recruitment strategy using existing and non-existing networks	*(Coaffee & Healey, 2003 p.1984 ; Denters & Klok, 2010; McAreavey, 2009 p.319)*	X							
Those most vulnerable to issue are contacted	*(Cunningham & Tiefenbacher, 2008; Denters & Klok, 2010)*	X							
Accessibility	*(Agger & Löfgren, 2008 p.151-152)*								
Adequate opportunities for involvement i.e., early and multiple	*(Blackstock et al., 2007, p. 730; Bond & Thompson-Fawcett, 2007; Brown & Chin, 2013; Chilvers, 2008 p.176; Eiter & Vik, 2015 p.45-46; Faehnle & Tyrväinen, 2013 p.334; Fischer, 2012 p.62)*	X							
Participants are able to access information and support enabling involvement	*Brown and Chin, 2013 p.565, Blackstock et al., 2007 p.730, Chilvers, 2008 p.176, Faehnle and Tyrväinen, 2013 p.334, Petts, 2001 p.209, Laurian and Shaw, 2008 p.297)*	X			X				
Timing, location and structural barriers inhibiting involvement are considered and minimised	*(Agger & Löfgren, 2008, p 153; Baker et al., 2010, p. 577; Brown & Chin, 2013, p. 565; Chess & Purcell, 1999, p 2691; Eiter & Vik, 2015, p 45-46)*	X							
Mechanisms									
Variety of participatory mechanisms used to avoid privileging social groups e.g., going-to / come-to-us; in-depth / in-breadth; long-term / immediate.	*Agger and Löfgren, 2008 p.160, Baker et al., 2010 p.581, Purcell, 2009 p.154, Chess and Purcell, 1999 p.2691)*	X			X				

Table 17: Participatory Endeavour Stage One: Convening

Participatory Endeavour Stage Two; Deliberation		Democratic Goals			Deliberative Goals		Instrumental Goals		
Representativeness		1a	1b	1c	2a	2b	2a	3b	3c
Descriptive representation and discursive representation i.e., broad sample of affected stakeholders and relevant narratives represented	*(Blackstock et al., 2007, p 730; Bond & Thompson-Fawcett, 2007, p 452; Brown & Chin, 2013, p 565; Conrad, F. Cassar, et al., 2011 p.25; Denters & Klok, 2010, p 595-596; Eiter & Vik, 2015 p.45-46; Innes & Booher, 1999b p.419; Margerum, 2011, p 108)*	X	X						
Representatives express legitimate interests of the collective (i.e., the represented)	*(Beebeejaun & Vanderhoven, 2010; Blackstock et al., 2007, p 730; Margerum, 2011, p. 99)*		X						
Non expert testimony included; focus on place quality through daily-life experiences	*(Coaffee & Healey, 2003 p.1984; Cunningham & Tiefenbacher, 2008, p. 842)*				X	X			
Ground Rules									
Expectations managed through scope, purpose and task definition	*(Brown & Chin, 2013, p. 465; Chess & Purcell, 1999; Dargan, 2009; Innes & Booher, 1999b p.419; Margerum, 2011; Rosener, 1978, p 459)*		X	X					
Self-organised participatory event i.e. participants contribute to objectives, information exchange procedures, agenda	*(Brown & Chin, 2013, p. 465; Innes & Booher, 1999b p.419; Margerum, 2011, p. 98; Petts, 2001 p.209)*	X							
Agreed decision-making and monitoring procedures are used i.e., rules for decision-making and recording agreement / disagreement	*(Laurian & Shaw, 2009, p 297; Margerum, 2011, p. 98, 102-103)*		X				X		

Different speech styles accommodated	*(Barnes et al., 2004 p.95; Bond, 2011 p.173; Bond & Thompson-Fawcett, 2007, p 452)*	X	X						
Commitment to the common good; consideration for the many	*(Bond & Thompson-Fawcett, 2007, p 452; Carr & Halvorsen, 2001; Fischer, 2012 p.63; Innes & Booher, 1999b p.419; Mannarini & Talò, 2013, p. 243; Margerum, 2011, p. 98)* ***Counter concerns:*** *(Beebeejaun & Vanderhoven, 2010, p 287; Purcell, 2009)*					X			
Substantively neutral facilitation minimises avoidable power inequalities	*(Bond & Thompson-Fawcett, 2007, p 452; Chess & Purcell, 1999, p 2691; Hopkins, 2010a; Margerum, 2011, p. 88-94)*	X							
Discussion									
Participants offer information otherwise unattainable and/or develop original ideas	*(Beierle, 2002 p.745; Carr & Halvorsen, 2001, p 108-109; Innes & Booher, 1999b p.419)*				X	X			
A variety of input sources are present and engaged in deliberation e.g., multiple stakes discussed from local and expert knowledge sources	*(Agger & Löfgren, 2008 p.160; Blackstock et al., 2007, p 730; Coaffee & Healey, 2003 p.1984; Fischer, 2012 p.62; Healey, 1999b p.117; Innes & Booher, 1999b p.419)*				X	X			
Two-way dialogue; in-depth discussions	*(Chilvers, 2008 p.176; Innes & Booher, 1999b p.419; Margerum, 2011, p. 96-97)* ***Multi-way / creative interaction:*** *(Innes & Booher, 2004b p.429; Wates & Knevitt, 2013 p.117-118)*				X				
Participants have equal access to engage in dialogue	*(Brown & Chin, 2013; Mannarini & Talò, 2013, p 243; Petts, 2001 p.209)* ***Concerns:*** *(Bickerstaff & Walker, 2005 p.2128-2131; Purcell, 2009)*	X	X						
Participants challenge the status quo or testimony validity	*(Innes & Booher, 1999b p.419; 2004b p.426; Petts, 2001 p.209; Schmidt-Thomé & Mäntysalo, 2014)*			X	X				

Likely distributive impacts (i.e. fairness in costs and benefits) of decisions are considered	*(Fischer, 2012 p.76; Laurian & Shaw, 2009)*					X			
Diversity and difference are explored; conflict types identified and engaged	*(Chilvers, 2008, p 176; Dargan, 2009, p 309,312; Inch, 2012, p 523; 2014, p 420; Innes & Booher, 2015; Jones et al., 2013, ch.5; Margerum, 2011, p 88-94; Mouat et al., 2013; Parama, 2015 p.66-67; Petts, 2001, p 209; Sørensen, 2014)*				X		X		

Table 18: Participatory Endeavour Stage Two [Deliberation]

Participatory Endeavour Stage Three: Output		Democratic Goals			Deliberative Goals		Instrumental Goals		
Goals and Objectives		1a	1b	1c	2a	2b	2a	3b	3c
Workable, realistic goals with supporting intermediary objectives are defined	*(Brown & Chin, 2013, p 566; Margerum, 2011, p. 123-128)*						X	X	
Goal integration; cross-border collaboration	*(Faehnle & Tyrväinen, 2013 p.334; Margerum, 2011, p. 127-128)*							X	
Plan Communication									
Output (e.g., plan, report) explains project context e.g. geographical, legal, administrative, financial structures	*(Margerum, 2011, p. 129)*				X				
Decision-making process transparently communicated in output e.g., how participant input was used, discounted alternatives communicated, records of participant input presented	*(Agger & Löfgren, 2008 p.160; Blackstock et al., 2007, p 730; Brown & Chin, 2013, p 565; Cunningham & Tiefenbacher, 2008, p 842; Laurian & Shaw, 2009, 297; Petts, 2001 p.209)*		X	X					

Implementation Plan										
	Assigned responsibilities; accountable bodies have capacity	*(Margerum, 2011, ch.5)*							X	
	Evidence of local ownership / support e.g., accountability in the form of task commitment, memorandums, informal contracts / agreements	*(Agger & Löfgren, 2008 P.160; Blackstock et al., 2007; Bond & Thompson-Fawcett, 2007, p 452; Innes & Booher, 1999b p.414; Margerum, 2011, ch.5; Wates & Knevitt, 2013 p.118)*							X	

Table 19: Participatory Endeavour Stage Three [Output]

Participatory Endeavour Stage Four: Outcomes		Democratic Goals			Deliberative Goals		Instrumental Goals		
Understanding		1a	1b	1c	2a	2b	2a	3b	3c
Developed a shared understanding on information / data presented	*(Blackstock et al., 2007, p 730; Bond & Thompson-Fawcett, 2007, p 452; Brown & Chin, 2013, p 565; Carr & Halvorsen, 2001, p 110; Conrad, F. Cassar, et al., 2011 p.25; Denters & Klok, 2010, p 595-6; Eiter & Vik, 2015 p.45-46; Innes & Booher, 1999b p.419; Margerum, 2011, p. 108)*				X		X		
Participants deepen understanding of issue (e.g., through perspective sharing) and developed a more holistic view of issue	*(Bond & Thompson-Fawcett, 2007, p 439; Brown & Chin, 2013, p 566; Mannarini & Talò, 2013, p 243; Petts, 2001 p.209)*				X				
Agreement									
Tolerable or conflictual consensus reached	*(Bond, 2011 p.167-168; Innes & Booher, 1999b; Laurian & Shaw, 2009, p 297; Mouffe, 1999 p.756; Renn, 2006 p.37)*						X		
Creative solutions to disagreement emerge; participants negotiate joint gains	*(Beierle, 2002 p.744; Bond & Thompson-Fawcett, 2007, p 452; Carr & Halvorsen, 2001; Innes & Booher, 1999b p.419; 2004b p.419, 429)*					X	X	X	
Influence									
Decisions or goals are rooted in joint fact-finding i.e., idea generation and/or problem definition richly informed by broad input	*(Fischer, 2012 ch.2; Innes & Booher, 2004b p.426; Laurian & Shaw, 2009, p 297; Margerum, 2011)*					X			
Participant input / new knowledge created genuinely influenced decisions and goals	*(Blackstock et al., 2007, p 730; Brown & Chin, 2013, p 565; Conrad, F. Cassar, et al., 2011 p.26; Eiter & Vik, 2015 p.45; Mannarini & Talò, 2013, p 243; Petts, 2001 p.209)*			X		X			

Social Capital										
	Social learning: involvement changes perspectives, behaviours or practices e.g., collective action, reframed positions	*(Blackstock et al., 2007, p 730; Healey, 2006b p.540; Margerum, 2011 ch.10; Schmidt-Thomé & Mäntysalo, 2014)*								X
	Social, Political or Institutional capital i.e., new connections, networks, collaborations, partnership arrangements or coordinated action	*(Healey, 1999b p.114; Innes & Booher, 1999b p.419; 2004b p.428; Laurian & Shaw, 2009; Mannarini & Talò, 2013, p 243; Margerum, 2011 ch.10)*							X	X
	Skill development; training or educational attainment	*(Bailey, 2010, p 320)*								X
	Agency increases their responsibility or involvement; increased resources or status	*(Bailey, 2010, p 320)*								X
Satisfaction										
	Participants do not perceive institutional structures to favour or constrain some participants	*(Bedford et al., 2002; Cento Bull & Jones, 2006 p.778; Dargan, 2009; Lawless & Pearson, 2012; Mouat et al., 2013 p.152)*		X	X					
	Participants perceive institution as willing and committed to implementation	*(Bowler & Donovan, 2002 p.371-374; Craig et al., 1990 p.297; Laurian & Shaw, 2009)*		X	X					
	Involvement is perceived to be worth the effort	*(Margerum, 2011)*		X						
	Participants are satisfied decisions and goals were justly developed	*(Brown & Chin, 2013, p 566; Innes & Booher, 1999b p.416; 2004b p.429; Laurian & Shaw, 2009; Mandarano, 2008 p.457)*		X						
Progress										

Assess levels of opposition or obstructive behaviours (e.g., collective action)	*(Laurian & Shaw, 2009; Schmidt-Thomé & Mäntysalo, 2014)*			X				X	
Solution implemented i.e., evidence on-the-ground	*(Laurian & Shaw, 2009, p 297)*			X					X
Participatory decision-making generates equal or fewer costs than alternative decision-making processes	*(Beierle, 2002 p.744; Blackstock et al., 2007; Faehnle & Tyrväinen, 2013 p.334)*							X	

Table 20: Participatory Endeavour Stage Four [Outcomes]

5.6 An Expert Review and a Pilot Test

In brief, the pilot test aimed to trial an interview schedule derived from the above framework, get closer to concepts important to those with lived charrette experience and practice conducting interviews. The expert review was similarly intentioned: inform methodological development and help prioritise relevant criteria selection for Stage Three.

Recommendations from *experts* resonate with broader literature and lessons from the pilot test helped underscore a) some practical issues going forth as well as b) concepts important to DT members. Four discussions are presented below; the first three focus on experts' comments and the latter refers to reflections on the pilot test with two charrette DT members.

5.6.1 Discussion One: Characterising Cases

Echoing broader literature (Conley & Moote, 2003; Watson, 2014; Webler & Tuler, 2002) and the variability amongst examples of participation-evaluation sampled here, expert reviewers stressed a need to explicitly account for different context and project particulars. Professor Healey, Professor Sanoff and Expert Reviewer A suggested project differences, framing any PE should be understood before designing an evaluation methodology. Recognising an approach must provide a 'fit for purpose evaluation for any potential charrette that takes place', reviewers advised it must also account for 'a lot of different circumstances' that likely affect its performance (Expert Reviewer A, personal communication, 2017).

Professor Healey described PEs occurring 'in different places and times, with specific histories and geographies, and especially histories of what has gone on before'. Expert Reviewer A too fed into this discussion suggesting conditions have an impact on PE performance: 'if you get the climate right for the charrette to take place …it's got a much better chance for success'. Expert Reviewer A questioned what impact local perceptions are likely to have on project success; for example, 'what if people thought the subject matter was threatening?' Echoing tenets of Realistic Evaluation, reviewers' comments recommended unearthing contextual variables likely to aid or hinder programme effectiveness.

Professor Sanoff, reflecting on his collaborative work, makes a distinction between project conditions and success. The smaller projects focussing on generally well-received topics, such as a children's playpark, often provide more fertile ground for success: 'the smaller

projects the greater the likelihood for success than the large projects'. Small-scale, non-controversial PEs provide a necessary building block for larger, more complex projects.

Additionally, expert reviewers focussed on commissioning structures. Professor Healey highlighted some public and/or stakeholder opportunities are mandated, statutorily obligated; therefore, not commissioned 'because of some wider commitment to *participatory democracy',* which citizens are often quick to realise. Other initiatives might be *community-led* but depending on the commissioner's political and social standing could represent a singular local interest, whilst marginalising more pertinent community issues (Professor Sanoff, personal communication, 2017; Expert Reviewer A, personal communication, 2017). Hence, understanding commissioning structures and specific objectives for participation must also tailor evaluation design and 'effectiveness' criteria selection.

Here, expert reviewers have posited some conditions to support 'successful' participation initiatives and in doing so begin to delineate project and contextual characteristics. Their recommendations are in line with wider literature commendations for case-comparison frameworks to accompany evaluation approaches (Bellamy et al., 2001; Conley & Moote, 2003; Hassenforder, Smajgl, et al., 2015).

5.6.2 Discussion Two: Research Design

Expert reviewers also offered research design and methodological advice, which helpfully coincided with my analysis of research methods used in the participation-evaluation examples (see Chapter Four). Generally, expert reviewers showed support for the framework's four-part format and application as a data-collection and analysis-guiding tool. Like Bickerstaff and Walker (2005), Professor Sanoff thought evaluation need not 'have an end result of a check list'. Professor Hamdi suggested distinguishing phases, such as *outputs* from *outcomes*, helped 'deconstruct' PEs into separate, but ultimately relatable component parts.

Expert Reviewer A and B similarly identified relationships between evaluation criteria assigned to different PE stages. For example, some early-stage criteria surrounding recruitment may act as a 'precursor / foundational condition' that if 'skipped could affect the performance or delivery in another stage'. Expert Reviewer A using 'recruitment' and advertising as an example, suggested 'setting up and post charrette is something needing to be considered in [the] evaluation model', because poor attendance may be attributable to poor execution of

earlier actions. Whilst commenting on the emerging framework's four-part format, experts' observations resonated with wider literature on process versus outcome evaluations. Professor Sanoff suggested splitting the emerging framework to support either the former or latter depending on evaluation timing.

Describing his research practices, Professor Sanoff discussed longitudinal studies (tracking changes over five, ten, fifteen-year increments) as crucial: in the absence of 'knowledge it is really difficult to advocate for a process'. Evaluations cannot accept participants' warm subjectivities on involvement as sufficient, standalone outcomes, but must ask, 'what's the outcome of it? Come Monday morning how do things change?' (Professor Sanoff, personal communication, 2017). Likewise, Expert Reviewer C suggested participants are likely to focus on outcomes to determine PE success, which contrasts with Mannarini and Talò (2013) findings that show participants placed more value in the quality of interaction. Professor Healey too, suggested people will most often question, 'Does it make a difference? Will it make a difference? Did it make a difference?'

Understanding outcomes and effects of programme and policy implementation is the basic rationale of *evaluation* research. Evaluation essentially aims to understand what works, under what conditions and whether the intervention had any real part to play. For Expert Reviewer A, establishing causality is the most important aspect:

> Convince me they [i.e., outcomes] would only have happened had we done the charrette, in other words would it have happened anyway? That's probably the challenging question… if the charrette is valid and is actually bringing about change show me the evidence it is bringing about change. (Expert Reviewer A, Personal Communication, 2017)

Assessing effects and impacts suggests an outcome-oriented, summative evaluation, which can be challenging due to timescales. Experts suggested parts one, two and three of the emerging framework could be used for a process-oriented evaluation. This type is equally valuable, as many evaluations side-line process-recording in favour of an outcome discussion:

> To a great extent what is documented is the results, not very much about who participates, how they participate and that's really the most important aspect of it. (Professor Sanoff, personal communication, 2017)

As an intermediary gauge, reviewers commented on output criteria as an indication for outcomes. Expert Reviewer B would 'expect to see a plan for M&E of the implementation' covering the intermediary steps thought necessary for end goal achievement. Therefore,

'intermediate impacts (e.g., changes in attitude, knowledge, generation of new networks, shift in norms, ability to leverage more funding)' could be assessed in the short term. Expert Reviewer B -similar to first, second and third order effects discussed by Innes and Booher (1999b)- suggested building in a temporal dimension. However, some of the intermediate impacts suggested by Expert Reviewer B could fall into medium to longer term brackets suggested by Innes and Booher (1999b). Nevertheless, the premise is the same. Fearing participatory processes often exclude this sort of output, Expert Reviewer B (similar to Expert Reviewer A's causality comment above) suggested participatory processes should lead to change and be transparent on 'how change came about'.

Professor Sanoff suggested failing to prepare quality outputs with implementation strategies has been the downfall of many charrette-type initiatives. Reflecting on America's earlier charrette 'craze' he suggested 'people had lost the concept of it' as it was increasingly regarded 'as an end in itself':

> This craze, it happened in the USA too, less so now, but when it first emerged people were all excited about it and then people realised, to some extent, it was the wrong projects and expecting a group of people (like the commandos) to come in quickly and do something and expect that it was going to be implemented without developing an implementation strategy- doesn't make a lot of sense. (Professor Sanoff, Personal Communication, 2017)

Expert Reviewer C's experience suggests many charrette-type projects in Scotland conclude with an output proposing a broader vision followed by 'short, medium and long term environmental and local economic development projects', which may be worth reflecting in any assessment. In wider literature, Margerum (2011) proposes criteria to assess the quality of outputs. On the other hand, Professor Sanoff and Professor Hamdi hint at goal-free evaluation (see Patton, 2002) and are seemingly sceptical of masterplan-type outputs that are often the result of 'big purpose' questions (Hamdi, 2014). Professor Sanoff suggested they are an obsolete concept:

> Some of those projects will take 10-15 years before they are implemented… I mean, it's like the failure of the masterplan… the plan is [a] totally obsolete concept because it takes so long to implement and doesn't recognise the changes that would occur. (Professor Sanoff, Personal Communication, 2017)

Professor Hamdi advocates a 'reverse planning cycle' that replaces 'big purpose' questions with localised, action-oriented ones to kick-start on-the-ground-changes (Hamdi, 2014). Both suggested an intervention's *by-products* or *unintended consequences*, such as, participants'

learning or attitudinal change that may not have been a stated goal, should be recorded. For example, Lundmark (2018, p 78) records several 'secondary' outcomes, which are distinguishable from the initiative's 'explicitly stated goals' i.e., 'primary' goals. Therefore, evaluation should not be too narrowly focussed that it is closed off from outcomes, which could be equally, or more valuable, than the originally cited policy objectives.

Overall, advice on research design lends some support to the emerging framework (presented above) that separates a PE into relatable, but independently identifiable stages. As Conley and Moote (2003, p 378) suggest, one approach is to 'break a collaborative process into its component parts and evaluate the parts separately'. Experts stressed however, any evaluation design must clearly define the evaluation's intentions, set parameters, and tie-off which ends of the endeavour are being studied.

5.6.3 Discussion Three: Criteria Selection

Reviewers offered advice more specifically on criteria selection, data sources, data collection tools as well additional reading material. Based on Expert Reviewer C's experience, s/he suggested interrogating more fully the Scottish Government's aims around the CMP (and later AI and MP) initiative as a basis for criteria selection. According to Expert Reviewer C, a key CMP goal was based on the charrette's assumed *power to convene*. Amidst a broader shift to third-way governance and the idea user and/or stakeholder input will render better, more responsive outcomes, the charrette is geared toward convening a range of stakeholders to ensure partnership working in design and delivery:

> One of the main aims of the Scottish Government charrette approach is the 'power to convene' a range of third sector, public and private partners and to ensure that the plan that results achieves a consensus across the sectors and is delivered by the relevant local agencies in all three sectors and not just the local authority. (Expert Reviewer C, personal communication, 2017)

In line with recommendations found in Weiss (1997), Expert Reviewer C is suggesting isolating a single assumption, or *theory*, of the CMP initiative for evaluative purposes. In this instance, taking the assumption the charrette's power to convene will produce *better* designs and establish sound partnership structures for project delivery. This logic rests on the substantive rationale broader citizen and stakeholder input will produce better outcomes than those expertly designed and delivered, and other agencies may be willing to engage in joint

action. As Professor Sanoff suggested, this has often been a warmly received concept with a flawed underlying logic:

> The training component becomes really essential. You can't just bring a whole bunch of people together and expect viable results because it's a different style of decision making. I think that's what a lot of public officials and professionals don't seem to understand. Everybody recognises democratic principles, and everyone should be involved and engaged… but there's certainly enough of a literature [suggesting] that most of the methods that have been employed have not been very successful. (Professor Sanoff, personal communication, 2017)

Expert Reviewer C suggested assessing (post-charrette) the number of new 'individuals / ambassadors', 'new groups established' or reactivated community / third sector groups 'taking on responsibility for overseeing delivery of project / charrette outcomes' (Expert Reviewer C, personal communication, 2017). Observing on-the-ground changes was suggested as a viable means to assess the programme's power to convene

Yet, a common critique waged against *formal* participatory spaces is failure to recruit the right attendees or a good cross section of the affected population (Professor Sanoff, personal communication, 2017; Professor Hamdi, personal communication, 2017). As referenced, Beebeejaun and Vanderhoven (2010) argue an informalized understanding of 'representativeness' is needed. Professor Hamdi urges against tokenistic recruitment of those unaffected by the issues(s); instead, PEs should identify and recruit the *right* people. Expert Reviewer A offered additional reading sources to better develop 'recruitment' criteria (under the framework's convening stage) and 'representative' criteria (under the framework's deliberation stage). Professor Sanoff suggests participant-observations as a means to really understand who attends.

In Professor Sanoff's experience, public officials have often dominated participatory spaces. Thus, raising the discussion level to one that some citizens and stakeholders feel ill-equipped to contribute, which could lead to their general exclusion (also see Hopkins, 2010a, 2010b; Livengood & Kunte, 2012 for a discussion on citizen exclusion). In general, the activities, questions or materials may be inappropriate:

> Architects and planners start to pin up maps and stuff people don't understand, don't know what that is, so I think there's been an inherent problem with a lot of those community workshops. (Professor Sanoff, personal communication, 2017)

Referencing facilitation skills and professionals' capacity to design effective participatory processes, Professor Sanoff shared conversation details with Lucien Kroll that suggest criteria focussing on process design and delivery may be a worthwhile singular study:

> Lucien Kroll and I had this discussion many times, that architects have a certain kind of expertise and users have an expertise, and users are not designers... So, you really have to identify role differentiation, what's the expertise of the user and what's the expertise of the designer? And each has to understand its own limitations, and I think that's been one of the problems in all kinds of participation activities, it's kind of like romanticism -wouldn't it be nice to get people involved- but then professionals ask the wrong questions, typically they ask, what do you want? No. (Professor Sanoff, personal communication, 2017)

In line with this advice on the preparatory and process stage, Professor Healey recommended The Craft of Collaborative Planning by Jeff Bishop (2015), which discusses at length the convening stages of any PE. An important step according to Bishop (2015, p. 16, 43) is to agree the process 'with at least some of those other than the main commissioners' to heighten process transparency and increase local buy-in. Expert Reviewer A, also believing wider local involvement is worthwhile in early charrette-design, reflected on his/her experience within Scotland. Largely doubting this stage is open to those beyond the direct commissioning and facilitating teams, Expert Reviewer A questioned his/her latest charrette experience asking, 'What local intelligence did we use?'

This piece of advice concludes with comments relevant to all criteria under any PE stage. Expert Reviewer B thought the emerging framework might need to 'work hard to operationalise the criteria' given there are 'multiple dimensions to the indicators so they could be seen as meta-indicators or clusters of several'. Regardless of which PE stage is at the centre of evaluation, criteria must be explicit and presented alongside data sources and tools.

Both Professor Healey and Professor Sanoff commented on the emerging framework's terminology, suggesting revisions to avoid misinterpretation. For example, Professor Healey referenced the framework's use of 'consensus' observing I was 'struggling to bridge the 'consensus-seeking' v 'agonistic' approaches to politics and policy processes' and suggested 'temporary agreement' as an alternative. Professor Sanoff advised 'democratic goals' required an explicit definition given the term's various connotations, and Expert Reviewer B suggested 'deliberation' and 'consensus' as a heading under *goal groupings* and *charrette stage* or *criteria* is likely to confuse. Therefore, some tidying-up was recommended.

Expert Reviewer A questioned who the evaluators would be and suggested a general revision to ensure any final framework would be accessible and straightforward. Likewise, Expert Reviewer B commented on its format suggesting visual aids, especially to highlight relationships between criteria, could be a useful addition. Furthermore, Expert Reviewer B identified more horizontal relationships than suggested in the preliminary framework.

Overall, the group of local and international experts shared their personal insights and experiences, which reassuringly converged on several points indicating areas for further development and improvement. Evidently, the framework (above) was in its infancy requiring revision and expansion to accommodate contextual and project particulars; to reflect evaluator's objectives; to convey evaluation's focus on either early, *process* or latter, *outcome* stages; to show criteria matched to data sources; and demonstrate how criteria would be 'operationalised'.

5.6.4 Discussion Four: Piloting an Interview Schedule

I gleaned several insights from piloting an interview schedule with two DT members. As a result, I better understood a) the typical CMP timetable, b) who would potentially be receptive to Stage Three involvement, c) possible ethical considerations regarding participant anonymity, d) the preliminary tool's potential weaknesses and strengths, e) feasible data collection tools and sources and f) a need for interview question revision.

Although the interview schedule anticipated gathering data on a particular PE, it was apparent a single episode could not be evaluated without a holistic understanding of the initiative. Therefore, much of what was learned through the pilot informed broader methodological design. Interviewees spoke of charrette rounds and the evolving nature of the initiative since its 2010 introduction. For example, interviewees cited Scottish Government grant criteria, recipients' funding structure, the application and award process and the DT appointment phase, which all preceded charrette delivery. There were several takeaways.

First, there was a practical takeaway that helped plan Stage Two and Three. Interviewees spoke of a typical CMP-round timetable and the small professional network operating in

Scotland. As a result, I knew when to expect *charrette season*[24] (see Figure 12) and which DTs may be more receptive to an involvement request. Thus, the DT members helped with planning, recruitment and gaining entry into the field. Second, this small professional network meant Pilot Interviewees had an extensive catalogue to reference. This highlighted the heterogeneity among PEs and their diverse contextual conditions, which the emerging framework did not yet capture. For example, Pilot Interviewee 1 remarked: 'The two [charrettes] you asked me to look at were Chilbrook and Apsworth and in some ways they are very different places'. Pilot Interviewee 2, when asked about the charrette objective, responded: 'well it's different for each one'.

Similar to Discussion One above (i.e., Characterising Cases), the emerging framework had to expand, and much like delineations discussed in Chapter Four, had to account for contextual and process particulars. Pilot Interviewee 1 implied project particulars -what Webler and Tuler (2002, p. 185) call 'preconditions and moderating variables'- should be reflected, for example:

> And you find that there's another term which is the politics of Farnuck Council; the SNP against the Labour with different… but shining a light on that is always pretty difficult but it's worth thinking of that. (Pilot Interviewee 1, 2017)

Third, this extensive catalogue highlighted DT (and possibly CT) members were likely to cite multiple examples if struggling to illustrate their point when focussed on a single episode. Therefore, talk holistically, rather than specifically. Digressions were useful in collecting overall perceptions on how well the Scottish charrette had been working. For example, both Pilot Interviewees discussed post-charrette limitations and the need for a local anchor organisation to own charrette outputs:

> Rather than fly-in and then we leave that place… there is a local facilitator person there. Now some authorities are doing that e.g., Appin (Pilot Interviewee 2, 2017)

> The charrette has been used to get funding for a coordinator for 2-3 years who would be responsible for delivering the outcomes of the charrette… That's important, or it is the community group… they are the owners of the outcomes of the charrette. (Pilot Interviewee 1, 2017)

[24] Charrette Season refers to the time of the year charrettes were typically live. Given national government funding stipulations and grant deadlines, Spring months were often busy with charettes.

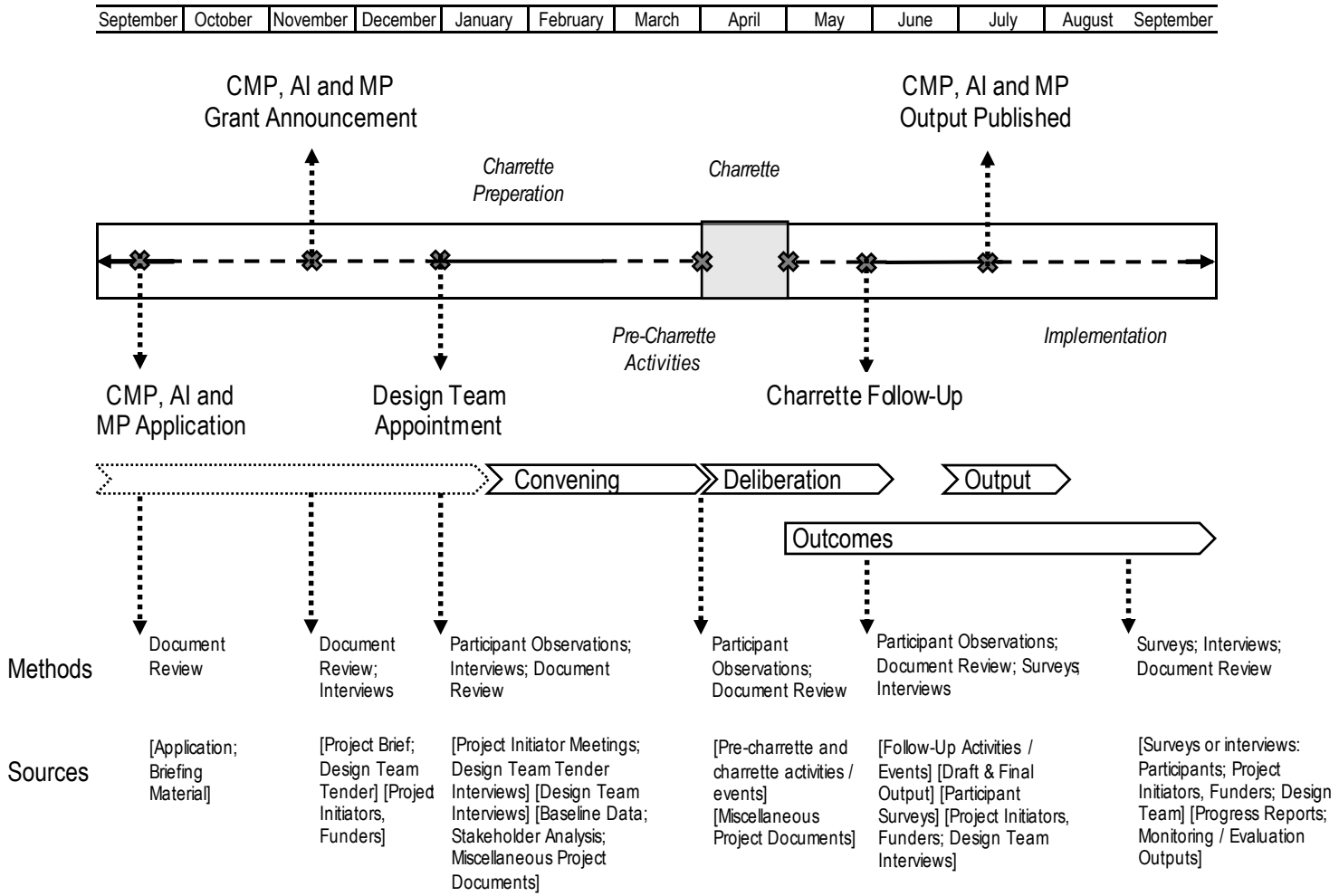

Figure 12: Reflections on Data Sources and Tools from Pilot Interviews

Therefore, whilst the emerging framework proved a good data collection and analysis framework, I was reminded to keep an open mind for emergent, local themes through inductive analysis. However, these digressions suggested I had to better steer conversation if the intention was to gather data on a single charrette episode. Table 21 gives an example of my reflection on question modification and Figure 12 shows my reflection on possible data collection tools and sources for Stage Three. All of which had been prompted by the Pilot Interviews.

Charrette Stage: Convening	
Theme: Recruitment	
Pilot:	Q. How do you get citizens and stakeholders interested and involved in the charrette?
Modification:	Q. Can you describe how you recruited citizens and stakeholders for this charrette? Probe: What recruitment strategies do you think worked well / less well this time around?

Table 21: Example of Interviewee Question Modification

Fourth, the Pilot Interviews proved helpful in collecting data on recruitment and pre-charrette activities (i.e., convening stage); mechanisms, discussion structuring and recording tools (i.e., deliberation stage); and immediate gain or benefit, as opposed to longer-term effects. Pilot Interviewees explained their involvement typically ceased after output publication, which likely explains why fewer references to outcomes were offered. Pilot Interviewee 1 suggested it would be good to know if charrette participants had followed through, i.e., 'have they carried it on?' But also recognised measuring impact or evaluating outcomes and establishing causality would be difficult: 'It will be really difficult to measure. How do you measure that? What difference will that make in one year, two years, five years?'

Therefore, DTs appeared to be more focussed on procedural norms and designing a good charrette in honour of hypothesised outcomes, with limited understanding of M&E procedures. Hence, Pilot Interviewees seemed unsure whether efforts (to date) have spawned the sorts of effects and changes sought. As Professor Sanoff above notes, Pilot Interviewee 1 acknowledges s/he is uninvolved in 'the bits we don't control, like the transitions' that may affect deliverables in the longer term (Pilot Interviewee 1, 2017):

> So, if someone like me keeps rolling out the same way as running the charrette and never involved in the delivery of any of this stuff then for all I know I could be pedalling complete rubbish, it could be done in a much better way. (Pilot Interviewee 1, 2017)

> I think the Scottish Government should be trying to find out, in terms of their evaluation of charrettes. That's the danger, 'oh I remember the charrette it was four days in February 2015, but I haven't been involved afterwards and I'm not sure what happened afterwards'. We're always saying to the client you should get people together on an annual basis… if we're putting together a vision that's for ten years with an action plan that has projects (short term, medium term and long term) well let's see how they're moving forward. (Pilot Interviewee 2, 2017)

These comments support broader literature that has suggested there is a deficit of participation-evaluation studies (see Chapter Four), and also lends credence to my doctoral project's pursuit of an evaluation methodology to assess PEs in Scotland. Pilot Interviewee insights shine a light on a current knowledge gap given those at the helm of CMP, AI and MP delivery are typically not involved in assessments or evaluation post PE completion[25].

Whilst outcomes remained elusive, Pilot Interviewees focussed on best-practice standards and anticipated outcomes, which chime with several characteristics discussed thus far. For example, Pilot Interviewees felt PEs should be independent i.e., neutral venue and neutral facilitation; therefore, casting themselves as brokers and go-betweens, which is a debatable position (Fainstein, 2000; Healey, 2003; Healey, 2006a; McClymont, 2014; Polletta, 2016). Mindful of power inequalities in the room and invoking sentiments of collaborative planning, Pilot Interviewees spoke of participant handling techniques, ensuring two-way interaction and exposing participants to other viewpoints.

Both agreed PEs should maximise involvement through a) tailored, creative and innovative involvement strategies, b) easy-access venues and c) remote opportunities e.g., social media and online outputs. Regarding access however, *charrette season* has forced national stakeholders to decide which ones to resource. If 'five, six seven charrettes [are] running over a couple of months at the same time of the year' and stakeholders only have several available people then their response is often, 'we'd love to get involved but literally we can't resource it' (Pilot Interviewee 1, 2017).

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[25] As mentioned in Chapter One and later referenced in Chapter 9, a need for this study was evidenced by a participation-evaluation deficit in Scotland, also identified in Kennedy (2017). Subsequently, the Scottish Government published a report into charrette-type activities and their effects centring on a sample of cases (Scottish Government, 2019a).

Despite the tailored, creative innovative strategies and targeted recruitment, Pilot Interviewees discussed low turn-out and the self-selecting nature of participants. Although both described identifying the *right* people (thus demonstrating a substantive rationale), Pilot Interviewee 2 thought reaching a minimal percentage of the local population was typical of the mechanism. Instead of focussing on numbers and statistical tick-boxes, Pilot Interviewee 2 thought representativeness should be reframed as hearing a range of views.

With regards to their expectations of the charrette, the PE should produce a 'coherent plan that is deliverable' (Pilot Interview 2, 2017). The charrette should move through several phases from 'fact finding, listening' to 'emerging options and third' onto 'a preferred set of options' (Pilot Interview 1, 2017). The expectation is to produce a 'shared action plan' that can be used to either a) support grant applications and/or b) to inspire collaborative partnerships to work on more complex projects. It is hoped involvement identifies volunteers or ambassadors, re-energises existing groups or makes new introductions. However, little was known about the longevity or trajectory of these early accomplishments:

> I've seen all those things, but I couldn't answer to what level I've seen them. I think all those things happen, they are all true, but I have no idea, it would be great if someone worked it out, but no idea to what extent these things are true. A lot of claims are made. (Pilot Interviewee 2, 2017)

Chapter Five Conclusion

This chapter concludes Stage One findings. Most importantly, findings further underscore a need for M&E methodologies given DT members suggested a) little M&E is implemented and, b) knowledge of M&E methods is likely weak. Second, analysing examples of participation-evaluation and testing the preliminary framework, highlighted the many forms M&E could take. This learning provided the bedrock from which I designed the sequential, qualitative multi-method case study approach presented across Chapter Six to Ten.

Third, I learned how the emerging framework could be improved. Insights from broader literature and early testing reflections (i.e., expert review and pilot test) suggested a descriptive element would be necessary. As Watson (2014, p 63) and Brownill and Parker (2010) note, 'the range of

contexts and conditions within which participation takes place' must receive attention. Case comparisons would otherwise not be feasible. Therefore, Stage Two's *extensive, in-breadth* assessment of the CMP, AI and MP initiative was in response to Stage One's findings.

Lastly, whilst Stage One's pilot test helped get closer to key concepts that would inform Stage Three criteria selection, it was a limited exploration. Given time limits of my doctoral project, it was not feasible to collaboratively derive evaluation criteria. In response, Stage Two was a hybrid attempt to better contextualise Stage Three criteria selection.

Chapter Six: Case Study Introduction

Synopsis Chapters Two and Three describe the methodology. Chapters Four and Five explore participation-evaluation literature; analyse examples of participation-evaluation; develop a preliminary evaluation framework; and subsequently draw on the knowledge and experience of professionals and academics through a pilot test and expert review. This chapter kickstarts Stage Two findings.

Stage Two aimed to address pitfalls inherent in holistic versus embedded case study designs. Yin (2013) warns embedded case study design can ignore its wider context. Similarly, Stage One findings underscored the role of context in evaluation, which was not reflected in the preliminary framework. In response, Stage Two research questions (see Chapter Three's full list) intended to 'return to the larger unit of analysis' (Yin, 2013, p. 55); in this instance, the CMP, AI and MP initiative.

This chapter draws from content analysis of CMP, AI and MP outputs, document review and semi-structured interviews. Findings presented here answer two of Stage Two's research questions:

- Q1. Why did the Scottish Government decide to trial and then support the charrette model in the context of spatial and community planning?
- Q2. How do CTs, DTs and initiative commissioners describe their rationales for using a charrette?

Organised into three parts, this chapter takes 1999 as a political starting point to observe changes in land use and community planning, which provides a necessary pretext for understanding Scotland's charrette promotion. Second, I present a chronology of the Charrette Series and its subsequent expansion into the CMP, AI and MP. Finally, I explore rationales i.e., reasons for the initiative and local-level commissioning.

6.1 The Charrette has Landed

The charrette is one mechanism for facilitating citizen and stakeholder engagement; however, it is not one that has been cultivated locally. Like the invasive lionfish, it is not native to Scotland and may have encroached on professional design practices that were already delivering charrette-like activities, albeit their methods had not been 'badged as a "charrette"'

(Participant F1, Private Practice Professional). Disgruntled, there was a perception the Scottish Government was co-opting best practice and unfairly branding the charrette as a novel idea:

> I get frustrated with this talk as if it's just been invented whereas a more accurate thing is when old-Duany blagged his way in to do all this work for the then Scottish Executive he did say, not that it's brand new. (Participant K, Private Practice Professional)

> The big charrettes of 2010 had big booklets prepared in advance. Almost to make it feel more special. (Participant J, Private Practice Professional)

In rebuttal, a Scottish Government representative argued without Andres Duany there would have been 'less or no activity around that issue' (Participant D, Scottish Government Representative). Duany was considered a market-leader; someone 'with lots of capacity to carry out big projects simultaneously' (Participant L, former Prince's Foundation Representative) and so successful he could 'self-select what projects' to adopt (Participant G, Private Practice Professional). Therefore, lies the question: what led to the Scottish Government trialling and subsequently supporting the charrette model in the context of spatial and community planning?

There are several factors to consider but the short answer would suggest Scotland, post devolution, had built a comfortable nest for the charrette and its handler, New Urbanism.

6.1.1 Scottish Devolution and a Modernising Agenda for Planning

Prior to Scottish devolution, public sector reform was already afoot; across Britain, there was an increasing pressure to problematise and remedy land use planning ills with a focus on - arguably competing goals- efficiency and inclusivity (Aitken, 2010):

> We have consistently said that our objectives for modernising planning are to make the system more efficient and to give local people better opportunities to participate in the decisions that affect them. (Scottish Executive, 2005, p 4)

This was by no means new. McAuslan (1980), cited in Peel and Lloyd (2007b), identified these conflicting ideologies in 1980. Following a newly reconvened Scottish Parliament in 1999, a New Labour and Liberal Democrat coalition governed the first two terms; a not unexpected arrangement given Scotland's use of proportional representation (Lloyd & Peel, 2009). Scotland has earned a reputation of better harnessing social democracy policies

compared to other devolved administrations and has tried to set herself apart through a rhetoric of Scottish 'distinctiveness' (Jackson, 2019; Law & Mooney, 2012; Tewdwr-Jones, 2001). However, as Inch (2018) observes, this unhelpfully distracts from tracing the neoliberal trajectory in Scottish politics, which, if unearthed, may serve to partially dismantle some of the egalitarian claims (see also Gray, 2018; Paterson, 2015).

Whilst subtleties exist, radical differences between Holyrood and Westminster do not (Allmendinger et al., 2005). A similar, shared pursuit for a more spatialised, streamlined planning system that incentivises development through speedier decision-making, greater certainty and less red tape is evident (Lloyd & Peel, 2009; Tewdwr-Jones, 2001). UK planning was increasingly taking direction from Europe[26] as its remit broadened to consider the 'spatial needs of other government services' (Inch, 2018, p 1083; Peel & Lloyd, 2007a; Tewdwr-Jones, 2001); for example, Scotland's innovative National Planning Framework was not dissimilar to 'European Spatial Development Perspective' (Peel & Lloyd, 2007b, p 401). More recently, the Planning (Scotland) Act 2019 replaced Strategic Developments Plans with Regional Spatial Strategies; a move seemingly made much earlier in England (Allmendinger et al., 2005).

Clifford and Tewdwr-Jones (2013a) see a thread connecting the spatial planning turn and the neoliberal governance agenda. As discussed in Chapter One, a neoliberal governance agenda minimises state support, encourages consensus whilst prioritising deregulation, private interests and economic growth through a capitalist framework of 'free-market policies' (Allmendinger & Haughton, 2010, 2012; Fung & Wright, 2003; Ghose, 2005; MacLeod, 2011; Purcell, 2009, p. 142). Therefore, planning became a tool 'to try and coordinate the spatial impacts of the diverse organisations involved with local and regional governance' (Clifford & Tewdwr-Jones, 2013a, p 56).

Accompanying these developments was a necessary culture change among professional planners in local government that recast their role into co-ordinators and 'enablers of development' as opposed to acting as a regulatory block (Clifford & Tewdwr-Jones, 2013a; Inch, 2018, p 1086). Whilst this new role has seemingly embedded itself among a professional

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[26] Although Allmendinger and Haughton (2012, p 90) note: 'Though sometimes presented as an evolution from European planning traditions, the promotion of 'spatial planning' in the UK owes at least as much to the planning system's blemished domestic history'.

cohort, 'residual subcultures' are evident as 'dinosaur' planners cling to their old ways (Ibid, 2018, p 1089). The 'over-friendly developer stance' is also 'railed against' by some planners - in Glasgow at least- as they 'retain a planning vision both fuller and more grounded than the Scottish Government's sustainable economic growth agenda' (Jackson, 2019, p 219, 220).

Despite the modernisation agenda spearhead by a New Labour and Liberal Democrat coalition -that culminated in the Planning etc. (Scotland) Act 2006- its underlying rationale remained largely intact following the SNP election victory in 2007. Ultimately, Scotland maintained its neoliberal persona as the SNP similarly pursed business growth and economic development. Planning was moved to the Finance and Sustainable Growth directorate; thus, recognising its economic utility (Lloyd & Peel, 2009, p 115). After all, Scotland was building a case 'around the economics of independence' and wanted to be taken seriously on the global market (Lynch, 2009, p 632). Therefore, the dominant political orientation chimed rather than jarred with the governing ideologies of Europe (Paterson, 2015).

Furthermore, Inch (2018) suggests the global financial crash only helped ground commitment to efficiency and increased pressure on planning to support sustainable economic growth. Subsequently, 'risk-averse' developers ostensibly received easy sanctions for greenbelt development as housebuilding became a key source for employment (Jackson, 2019). Then, First Minister Alex Salmond stated Scotland's house building rate should increase to a minimum of 35,000 units per annum in 2008 ("Salmond Stresses "Sustainability" in Holyrood Palace Address", 2008).

More recently, as the planning system underwent further modernisation -leading to Planning (Scotland) Act 2019- developers are thought likely to welcome some of the changes, and mainstays (McGovern, 2019). For example, any form of third-party rights of appeal was rejected by the SNP and Conservative parties because it 'would be a disincentive to investment in Scotland' (Scottish Government, 2017b, p 25), and:

> work against early, worthwhile and continuous engagement that empowers communities by encouraging people to intervene only at the end of the process rather than the beginning where most value can be added. (Ibid, 2017b, p 25)

As the 2005 White Paper advocated (before the 2006 overhaul (Scottish Executive, 2005)), the Scottish Government is 'drive[n] to put engagement early on in the planning process' (Participant L, former Prince's Foundation Representative) through frontloaded, early

participation, which warrants investigation into its effectiveness (see Brownill (2009); Brownill and Carpenter (2007a); see Jeff Bishop in Inch et al. (2019)). Second, a request by the Association for the Protection of Rural Scotland [APRS] that would require developers to demonstrate no brownfield site was suitable in their greenbelt proposal was also not included in the revised planning bill (Findlay, 2019; Lavety, 2019).

Overall, it is argued the 'sway of developers is apparent' (Jackson, 2019, p. 211). However, the new 2019 planning bill extends contemporary measures for citizen involvement: an overt goal since the 2005 White Paper. For example, following England's NP, Scotland introduced LPPs; notably, at a time of growing disillusionment and distrust in the planning system (Walton, 2019b).

6.1.2 Scottish Devolution and a Modernising Agenda for Public Sector

It is worth noting planning's continuous revisions are set amidst a broader restructuring of public services and local government that similarly extol 'cost-cutting and efficiency-savings' and 'greater public participation and engagement' (Revell & Dinnie, 2020, p 5/19). As discussed in Chapter One, this trajectory in public sector modernisation belongs to the 'liberalisation revolution' (Cable, 1994, p 18; Cope et al., 1997, p 444; Fung & Wright, 2003; Markantoni et al., 2018, p 143) that sees many governments wean communities off welfare support in a move to become an 'enabling' state' (Coaffee & Healey, 2003, p 1981; Lemanski, 2017). Bishop observes 'participatory art' -which can often look strikingly like charrette-type events- has also developed 'in tandem with the dismantling of the welfare state' offsetting state responsibilities to 'wageless volunteers to pick up where the government cuts back' (Bishop, 2012, p. 5, 14).

The theory is to recast individuals and communities as self-enablers, capable of delivering solutions and harnessing greater 'responsibility for individual and collective wellbeing and development' (Markantoni et al., 2018, p 142). Of particular relevance is the general rhetoric of participatory governance in a move toward 'community empowerment' in Scotland. Again, subtleties exist -as does a fluidity in its definition (Elliott et al., 2019)- but a similar trend is evidenced across the devolved administrations (Rolfe, 2016; Tait & Inch, 2016).

In 2007, the SNP carved out their 'Scottish Approach' to public sector reform with the Community Empowerment Action Plan (2009) and the Christie Commission (2011) (Elliott et

al., 2019, p 303). The essence: improve quality of public participation, adopt an assets-based approach to community development, promote active citizenry in the design and delivery of services, and dismantle government's top-down structure (Elliott et al., 2019; Markantoni et al., 2018; Peel & Lloyd, 2007a).

Known to have the 'most centralized systems of local government in Europe' (Revell & Dinnie, 2020, p 5/19), the SNP endeavour to be the 'most accessible government Scotland has ever had' (Markantoni et al., 2018, p 144; Scottish Government, 2015b, p 74) and encourage social action through new measures made available in the Community Empowerment Act 2015. For example, community bodies can submit participation requests to partake in the delivery of services; community rights to buy are extended across Scotland, therefore no longer restricted to rural areas; community bodies can apply for asset transfer; and there is greater emphasis on involving members of the public in decision-making (Scottish Government, 2017a; Scottish Parliament, 2015).

Furthermore, the act brought forth changes for community planning with statutory requirements for Community Planning Partnerships [CPP] to produce a Local Outcome Improvement Plan [LOIP] and -for smaller, typically more deprived geographies- a Locality Plan [LP]. The list of stakeholders required in the formulation of these prioritised outcomes has also increased (Scottish Government, 2017a). Peel and Lloyd (2007a) point out developments in community planning are significant for the older, more established spatial / development planning. The latter is no longer the only community visioning tool and together may constitute 'overlapping processes around the management of change' (Peel & Lloyd, 2007b, p 400). Most recent changes in the Planning (Scotland) Act 2019 continue to bring the pair closer by repealing a condition for LDPs to include a vision statement and, instead, adopt the vision statement of their respective LOIP. Thus, minimising conflicting directions and ensuring greater synergy (Scottish Government, 2017c, p 4).

Summarising the above, a modernisation agenda affecting public service delivery and the role of land use planning precedes and parallels Scotland's charrette welcome. The SNP has retained a neoliberal front: the planning system was updated (twice) and continues to incentivise investment and development, as well as extend opportunities of citizen involvement. Following the Community Empowerment Act 2015, there is a sustained focus on communities taking the reins.

6.1.3 Scotland Sows New Urbanist Seeds

Since a disdain for modernist planning outputs permeated discourse from mid-twentieth century onwards (see Chapter One), there has been a renewed focus on the *quality* and *design* of urban environments. Scotland, as well as the wider UK, has become increasingly convinced by principles from neoclassical, neotraditional architecture as a turn to 'place-making' promotes compact, mixed-tenure, self-sustainable, walkable communities (Miller, 2009; Porta & Romice, 2010; Samuels, 2014).

Scottish policy increasingly placed emphasis on design following criticisms development was generally of 'mediocre and indifferent quality' (CEA, 2008). Proponents of New Urbanism argue 'design' can improve lives, remedy social inequality (through a commitment to 'spatial determinism') and reinvigorate a sense of community (see "Salmond Stresses "Sustainability" in Holyrood Palace Address", 2008; Fainstein, 2000, p 464). Although, even proponents question the 'social doctrine' of New Urbanist claims (see Talen, 1999).

Hunter (2015) traces the gradual embeddedness of these neo-traditional design principles - more specifically, through two strands of New Urbanism- in Scotland's architectural and planning arrangements. Whilst recounting New Urbanism's ascension would be superfluous given Hunter's contribution (also see Grant, 2005; MacLeod, 2013; McCann & Ward, 2010; Moore, 2013; Samuels, 2014), Figure 13 observes key moments that have been excavated and attributed to its popularisation in Scotland.

Britain is not the only host; New Urbanism -which 'rail[s] against the dominance of International Style modernist architecture' (MacLeod, 2013, p. 2197)- is a 'highly influential planning and design movement that emerged in the 1980s' (Fainstein, 2000; McCann & Ward, 2010, p 180). Since its humble beginnings it has gained global traction, and criticism, as it demonstrates the supposed ease and broad applicability -ranging from Ballater to Jamaica- of its historically inspired designed principles ("Salmond Stresses "Sustainability" in Holyrood Palace Address", 2008; MacLeod, 2013; Moore, 2013). This is precisely the critique: New Urbanism fails to consider context, instead privileges pre-established forms and style (Adam & Jamieson, 2014).

Following McCann (2011), some form of policy transfer i.e. the partial or variant importation of externally cultivated practices to emulate results seen elsewhere, requires particular

conditions that Scotland arguably satisfies. Traditional design principles and the trademark community engagement approaches of New Urbanism and The Prince's Foundation[27] i.e. the charrette and Enquiry by Design [EbD], had likely been 'ideologically anointed or sanctioned' (Peck & Theodore, 2010, p 171) prior to the Scottish Sustainable Communities Initiative [SSCI], Charrette Series and CMP initiative. Observed is a change in language and increasingly 'prescriptive' policy documents (Hunter, 2015, p 105) paralleling 'a growing recognition that the government's performance frameworks, the national outcomes, were a lot to do with place making and wellbeing' (Participant G, SNH Representative).

Across Scotland, The Prince's Foundation had been 'sowing the seeds' as professionals were seconded to the philanthropic organisation and a series of EbD events took place: 'Yes, we did maybe 10 in Scotland. So, set-up an office in Scotland in 2006 and the first EbD was ran in 2006 in Ballater. Then there was a whole series of them' (Participant L, former Prince's Foundation Representative). Their work had caught the attention of Scotland's political elite:

> Salmond also addressed the work of the Prince's Foundation for the Built Environment, which he said was "a testament to what can be achieved by encouraging people to participate in the development of sustainable neighbourhoods,". HRH Prince Charles was in attendance for the First Minister's address. ("Salmond Stresses "Sustainability" in Holyrood Palace Address", 2008)

In 2006, Moray Estates appointed Duany Plater-Zyberk [DPZ] to masterplan a new estate, Tornagrain (Onyango & Hadjri, 2010). As with other projects and events with international collaborations (see Figure 13), this development that was later awarded SSCI status brought key mobilizers together. Following Poundbury -developed on Duchy of Cornwall land- the 'lines of contact between the Prince of Wales' Foundation and the U.S. New Urbanists have been very close' (Samuels, 2014, p 51). Several interviewees spoke of the tightly woven professional nexus in Scotland, which tied The Prince's Foundation, DPZ and Scotland's (then) chief planner, Jim Mackinnon (Participant G, SNH Representative):

> Tornagrain, Moray Estates had been thinking about this new estate for a while even before Duany was approached… so Duany was a good fit. He was a senior fellow of The Prince's Foundation. I attended the Tornagrain charrette, we were very supportive of it. Jim [Mackinnon] knew what it was all about by that point and

[27] The Prince's Foundation merged The Prince's Foundation for Building Community and other associated bodies in 2018 (The Prince's Foundation, n.d.); hence, quotes may refer to either. In any case, it is the same organisation being referenced.

> wanted to come along to try and support it. (Participant L, former Prince's Foundation Representative)

Overtly, the Scottish Government was 'sticking its neck out saying we… support the process and the principles of early engagement over and above all of the statutory engagement' (Participant L, former Prince's Foundation Representative). In short, Scotland had all three ingredients listed in McCann (2011, p 114) for successful policy transfer. First, receptive 'local policy actors' in the form of an enthusiastic Chief Planner and agreeable high-ranking political officers; second, 'global policy consultocracy' in the form of neo-traditionalists DPZ and The Prince's Foundation had been working across Scotland; and finally, a series of spaces for knowledge transfer evidenced by professional secondments, conferences, lectures, workshops and site visits:

> There were various discussions going on in the government and various fact-finding missions. John Swinney went across to Munich to look at a new development in urbanism and he brought back that learning that things are better elsewhere. (Participant G, SNH Representative)

> And there were people from the Scottish Government that attended our workshops and even some were seconded to the Princes Foundation. (Participant L, former Prince's Foundation Representative)

To summarise, combining a prevailing 'lack of confidence' in homegrown approaches (Hunter, 2015, p 138) and disciplinary pressure on planners to perform (Inch, 2018), Scottish professionals could be characterised as 'solution starved actors' willing to 'scan' and adopt ready-made policies (McCann & Ward, 2012, p 45). Especially those that are pro-development (thus, satisfying Scotland's economic growth imperative), those that claim to have participatory working practices at their core (thus, satisfying commitments to improved community engagement) and those that are aesthetically and sustainably conscious (thus, satisfying a concern for design quality).

However, contrary to the tracing here, one Scottish Government representative made clear there is not an overt commitment to New Urbanism in Scotland. Responding to criticism the Scottish Government were 'pedalling New Urbanism', Participant D reiterated 'we absolutely don't, we are just interested in good design… for us, it's all about response to context' (Participant D, Scottish Government Representative).

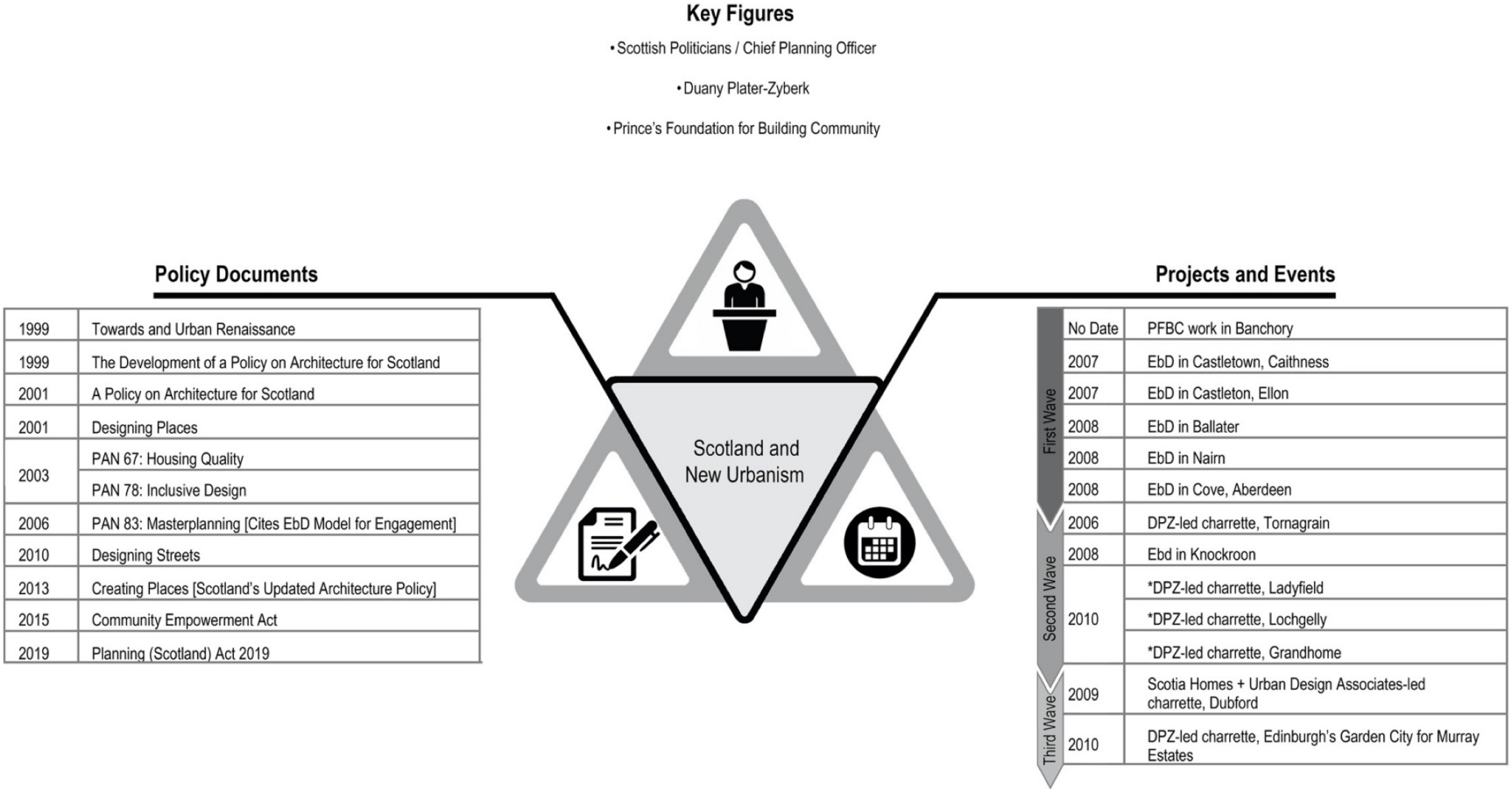


Figure 13: Policy documents, key figures and projects in Scotland with sustainable urbanism principles. Projects & Events adapted from Hunter (2015). *indicates Charrette Series project

6.2 From Scottish Sustainable Communities Initiative to Making Places

In 2008, the Scottish Government launched its SSCI initiative to support the design and delivery of sustainable, quality places (Government, 2011). The SSCI identified eleven exemplar projects after a call for submissions received sixty-eight applicants. They represented 'the best in Scotland [and] a lot of them had international collaborations going on' (Participant D, Scottish Government Representative): Chapelton, Grandhome, Ladyfield and Lochgelly involved DPZ, and Knockroon involved The Prince's Foundation (APS Group Scotland, 2011b; Chapelton of Elsick, 2012; Scottish Government, 2009b).

The SSCI's main support was 'recognition that projects were largely aligned with national policy' (Participant D, Scottish Government Representative). Each project was 'asked, what kind of support would you like?... three of the projects were well placed to use a charrette' (Participant D, Scottish Government Representative). However, this sparked speculation the Scottish Government had an overly cosy relationship with Duany and broke European Union [EU] procurement rules ("US architect 'too close' to SNP", 2010). In response to accusations, Participant D said, 'we didn't actually procure anyone so that's not the case'.

Whilst Duany remains a controversial figure, former chief planner -Jim Mackinnon- received speculation given his connections, influential position and ostensibly sleight endorsements (The Newsroom, 2010, 2016). Likewise, the Prince of Wales has also been accused of unfairly compromising processes that should be genuinely democratic (Cockcroft, 2009). Pertinent concerns given the trio's involvement in Scottish planning and the 'power relations through which [policy] adoption occurs' (McCann, 2011, p 110). Local architects and urban designers were also irked at the observed importation of external resources, as evidenced through sentiments presented in this section's opening.

Nonetheless, amidst the rumblings the Scottish Government 'were keen not to let that de-rail what looked like an interesting and valuable process' (Participant D, Scottish Government Representative). In March 2010 three SSCI exemplar projects participated in a DPZ-led charrette i.e., The Charrette Series (Scottish Government, 2010), which was revered as a generally successful event: 'three were expensive and based on the American approach but

they were successful. Lochgelly, for example, stuff has gone on as a result of it' (Participant H, former Scottish Government Representative).

This month-long series of charrette work including 'talks and lectures' about the methodology and promotional events (Participant G, SNH Representative), laid the foundations for the subsequent CMP (2011-2017) and MP initiative (2017-2019).

6.2.1 The Charrette Series

Generally, interviewees favourably described The Charrette Series. Public sector officials thought the methodology raised a much-needed concern for *design quality*: the methodology was 'good to get an injection of creative thinking into sometimes quite a dull and prosaic planning process led often just by the local authority or the applicant' (Participant D, Scottish Government Representative). A Scottish National Heritage [SNH] representative suggested 'we still don't have the design processes to create really good places' and tend to 'rely on developers, praying they do the right thing' (Participant G). Likewise, a former Scottish Government representative criticised 'councils [that] just let the developers stick houses in some totally unsuitable places' and 'council estate departments [for having] no interest in design quality' (Participant H). The Scottish Government, seemingly pleased with the charrette methodology, proposed it be mainstreamed:

> The charrette process has proven itself to be an immensely powerful mechanism for harnessing information, interests, local views and aspirations, and for marrying these with specialist knowledge and design skills. I believe that a key challenge for the Scottish Government now, is to help to mainstream this approach to community involvement and placemaking in shaping the future of Scotland's places. (Scottish Government, 2010)

The work was thought to have delivered 'some really good engagement' benefiting all SSCI projects involved (Participant D, Scottish Government Representative), and although Duany's American style did not sit well with everyone, DPZ's methodology proved a successful draw for community participants as well as national stakeholders. Turn-out was good: 'there was a real buzz around it. Particularly at the Lochgelly charrette where Fife Council had done good work preparing the community, there was big attendance at public meetings' (Participant G, SNH Representative).

Duany's DT had 'a very slick operation' where 'everyone had a clear role, it was like a big machine, with its parts' (Participant G, SNH Representative). At its heart were architects, planners and illustrators that the public were encouraged to visit. Undoubtedly well-orchestrated events, interviewees suggested they constituted pieces of 'theatre', with a well-crafted 'performance element' to maintain public interest in the interim (Participant H, former Scottish Government Representative):

> Members of the public… would all gather round this guy's desk and he would be designing things like Macintosh influenced castles that looked amazing but had absolutely no basis in reality. It was all like, this is a bit of a sham isn't it?... it was only once we had actually produced plans and diagrams of where the housing was going to go did at that point… what he was producing become completely realistic. (Participant O, GCHT Representative)

6.2.2 A Word of Warning

The pretence observed above by some interviewees stirs accusations of artificiality when the participatory mechanism (i.e., charrette, EbD) is deployed alongside a governance agenda. Outcomes are thought highly prescribed and context ignorant whilst dissensus and alternative approaches are denied. Afterall, 'who could be 'for' 'dumb growth' or 'unsustainable development'?' (Allmendinger & Haughton, 2010; 2012, p 94). Hence, the saliency of smart growth as a 'responsible' approach to sustainable development (Grant, 2006, p 164). *Sustainable development* has become an equally hazy term alongside participation, engagement and empowerment, allowing a myriad of actions to be taken under its guise (Parker & Street, 2018).

Proponents are clear: EbD and charrette involves 'educating communities and other people about the principals of sustainable urbanism' (Participant L, former Prince's Foundation Representative). This is no secret (Fainstein, 2000). New Urbanists privilege the role of the expert and use discursive spaces to arrive at a consensus. Critics in Scotland echoed postmodernist sentiments on plurality suggesting this is an illogical position as 'points-of-view are incommensurable' (Beauregard, 2002, p 187):

> The thinking is really soft and ill-formed… In our report to the Scottish Government there's a line that says… a lot of this is predicated on the assumption that the community will have a settled view on something, why would we think that? They don't have a settled view on anything else. (Participant K, Private Practice Professional)

Thus, New Urbanists may claim to embody the discourse of participatory democracy and communicative planning whilst privileging expert opinion, building 'suburban enclaves' on greenfield sites and serving the interests of wealthy landowners (Grant, 2005; 2006, p 161; MacLeod, 2013). As outlined in Chapter One, there is a well-rehearsed debate that traces parallels in the networked, participatory rhetoric and its seemingly indifferent, neoliberal political orientation as both extol active citizenry and multi-actor agency. The latter is said to have co-opted the former, or at least masquerade in its practices (Roy, 2015).

New, sanitised spaces may be examples of managerialist participation designed to whittle out dissent, force consensus, offload state responsibilities and impose a taxing citizen etiquette whilst protecting a growth oriented, market-led economy by setting limitations around what really is debatable in discursive spaces (Allmendinger & Haughton, 2012; Blue et al., 2019; Ghose, 2005; Gray, 2018; MacLeod, 2011; Roy, 2015). The risk is governments prioritise efficiency and leave communities grappling for support (Markantoni et al., 2018). In the midst of a general shift to govern*ance*, Swyngedouw (2010) argues a post-political condition reigns, which thwarts rather than fosters the genuinely political:

> It is a governance regime concerned with policing, controlling and accentuating the imperatives of a globally connected neo-liberalized market economy. This new polic(y)ing 'order reflects what Slavoj Zĭžek and Jacques Rancière define as a post-political and post-democratic constitution. In other words, contrary to the popular belief that these new forms of neo- liberal urban governance widen participation and deepen democracy', I shall insist that this post-political condition in fact annuls democracy, evacuates the political proper – i.e. the nurturing of disagreement through properly constructed material and symbolic spaces for dissensual public encounter and exchange – and ultimately perverts and undermines the very foundation of a democratic polis. (Swyngedouw, 2010)

Therefore, whilst collaborative or participatory governance is stabilised by an ethical anchor and an interest in transferring power to the power-less, it provides the neoliberal, decentralisation agenda with a safe conduit, under the shroud of democracy, for its less-desirable effects (Ghose, 2005). In other words, decentralisation via 'state withdrawal' has 'provided the framework for participatory urban governance' (Lemanski, 2017). So, whilst EbD or charrette participants are 'free to object to the very principles of development', input should 'go beyond the simple objection as to why a person is concerned about it [and] what the problems might be. Parking, traffic, school pressure' and so forth (Participant L, former Prince's Foundation Representative). As MacLeod (2013) argued in Tornagrain, development dissent is not on the discussion agenda.

McCann and Ward (2010, p 182) recognise 'New Urbanism is undoubtedly a pragmatic, free-market ideology'. Nevertheless, others remain hopeful and claim to have observed genuinely 'political processes at the heart' of planning episodes (see Brownill & Parker, 2010, p 279; Ghose & Huxhold, 2001). It is against this backdrop that I explore the motivations and reasons for charrette promotion and commission through semi-structured interviews in this chapter's final section.

6.2.3 Mainstreaming a Scottish Charrette

The Charrette Series events were 'fascinating', yet 'very different to the charrettes we're doing now' (Participant G, SNH Representative). As Peck and Theodore (2010) observe, policies take twists and turns on their transatlantic journeys and unpack differently within their new socio-political contexts. Therefore, they are modifications not replicas. Chapter Seven and Eight demonstrates this unfolding and Scottish evolution. Hence, this departure from the Charrette Series is unavoidable, and deliberate. The first step toward mainstreaming required reconceptualising DPZ's 'very expensive all singing all dancing projects into something [the Scottish Government] could fund and justify (Participant H, former Scottish Government Representative). The Charrette Series was just the catalyst:

> The Duany stuff, thinking now, it's quite insignificant… It's a bit like trying to improve opera in Scotland and you get Plácido Domingo to come and sing, that inspires people, it gets people interested… What you want then is Scottish opera and local opera companies to start build momentum. (Participant D, Scottish Government Representative)

To kickstart a mainstreaming process the Planning and Architecture Division [PAD] drafted a) a framework agreement in line with EU regulations and b) opened their doors to charrette applications. The framework agreement was used to select potential charrette DTs: thirty applications were initially received, which were whittled down to four approved DTs. Although, many unsuccessful applicants later 'turned up as subcontractors' for the approved DT (Participant H, former Scottish Government Representative). Architects and planners typically took the lead role, as 'everyone was looking at what Duany had done' (Participant H, former Scottish Government Representative).

In the first year, charrette project applications from Callander Community Council (Callander), Renfrewshire Council (Johnstone South West) and South Ayrshire Council (Girvan) were

selected by PAD officers. A brief for each was developed and a 'mini' competitive tender was launched. Each of the four pre-approved DTs were required to submit a bid outlining their charrette management proposal, which was subsequently 'analysed against set criteria, scored and then discussed by a panel' (Participant M, Scottish Government Representative).

Through a one-year spending review, the PAD was successful in securing funding for the initiative's second round. With little certainty around its continuation, it was not strictly a 'programme'. Recognising 'public spending is under the cosh' the CMP (later AI and MP) was never set-in stone, which brought logistical challenges (discussed later) (Participant M, Scottish Government Representative).

The CMP ran again with the same logistical arrangements in 2012-2013, generating another three charrettes. These first two rounds were arguably the CMP's pilot years given there was an element of experimentation, learning and a general emphasis on quality, as the PAD explored how the methodology may work independently of Duany. These post-Charrette-Series-projects 'became the new basis. That's Duany and this is our Scottish model' (Participant H, former Scottish Government Representative).

Charrettes differed, a purposeful move, on CT types, local government structures, project boundaries, format and duration. Overall, 'experimenting with format' was exciting, and project variety offered 'good learning' into possible success criteria (Participant H, former Scottish Government Representative; Participant D, Scottish Government Representative).

Reflecting on these pilot projects, little developed from one council-led charrette whilst Callander -despite its locally unique governance structure with separate planning and service authorities- was well-regarded as a pilot success, because:

> It was a very active community, quite diverse, but on the whole relatively not a disadvantaged area… The National Park (and this is just my view) but they are a pretty progressive planning authority… they've done a lot of charrettes, they're good at this sort of thing… They are spread out on a wide geography… and quite good at handling that. They are not a service provider, so they don't have some of the compromises. (Participant D, Scottish Government Representative)

Subsequently, the CMP was funded for a third series (2013-2014) but there was a notable change in CMP management, enabling more than three charrettes per round: applicants were expected to procure their own DT and source 50% match funding. This structure stayed in place until the advent of MP in 2017-2018. Charrettes in the third and fourth round, were

organised into one of two categories: LDP charrette or Town Centre charrette. In the fifth CMP round, the focus broadened. The CMP was not serving land use planning projects only (e.g., informing the LDP) but integrating community planning with spatial planning. Launch material in 2015-2016 stated three key focus areas:

- Projects that link community planning and spatial planning processes.
- Charrette projects commissioned directly by communities.
- Linkages between town centre action plans and community plans.

A *community-led* focus continued in 2016-2017, as prospectus material specified it supported communities 'taking independent action leading to positive physical change' (Participant C, Scottish Government Representative). In 2016-2017 the charrette design fund was accompanied by a short-lived AI fund. Local professionals had suggested charrettes 'walk people up the hill to walk them back down again' (Participant F1, Private Practice Professional). Therefore, AI was 'seed money to bring ideas to the next level' and extend support post-charrette (or similar engagement activities) (Participant M, Scottish Government Representative).

The fund was well-received; popular among community-led organisations, especially those that previously commissioned a charrette or similar community-engagement work. The PAD was inundated, 'absolutely swamped with applications, compared to the budget' and granted seven awards out of around seventy applications (Participant C, Scottish Government Representative). Even interviewees critical of the CMP initiative thought 'a pot of money to do things as things emerge… would be, for me, more useful' (Participant E, Private Practice Professional). However, the fund ceased in the initiative's seventh round along with the term 'Charrette Mainstreaming Programme'; a term which was slowly falling out of favour. Even the minister was not a fan of the word *charrette* (Participant M, Scottish Government Representative). Enter, Making Places.

This rebranding was in response to a perception 'the programme could be more responsive to meet people's needs' (Participant M, Scottish Government Representative). One individual conducted 'a review for internal purposes' only (Ibid, Scottish Government Representative). It was 'not a comprehensive evaluation of the programme' with 'time and money' allocated because 'the minister was happy with outcomes, outputs and work that was being done' (Ibid, Scottish Government Representative). A series of interviews and discussions informed 'a

piece of advice given to ministers to propose strengthening the programme' (Ibid, Scottish Government Representative).

Impacts from this review were first felt in 2016-2017 in the form of AI funding and a longer lead in time for charrette delivery. Feedback highlighted logistical challenges charrettes encountered; for example, the winter to spring months had soon become *charrette season* due to grant spending stipulations and a relatively small circuit of available DTs. Therefore, the review impacted the 'way the government do business and the way' the PAD organised themselves; thus, giving DTs and CTs a 'longer lead-in time' (Ibid, Scottish Government Representative).

The following year, the 2017-2018 MP initiative was a three-pronged endeavour (Figure 14). Architecture and Design Scotland [A+DS] were said to lead on the first and third components. Prospectus described MP as support to 'build communities' skills and confidence; support a wide range of participative design events; and assist communities in realising their aspirations' (Scottish Government, 2017).

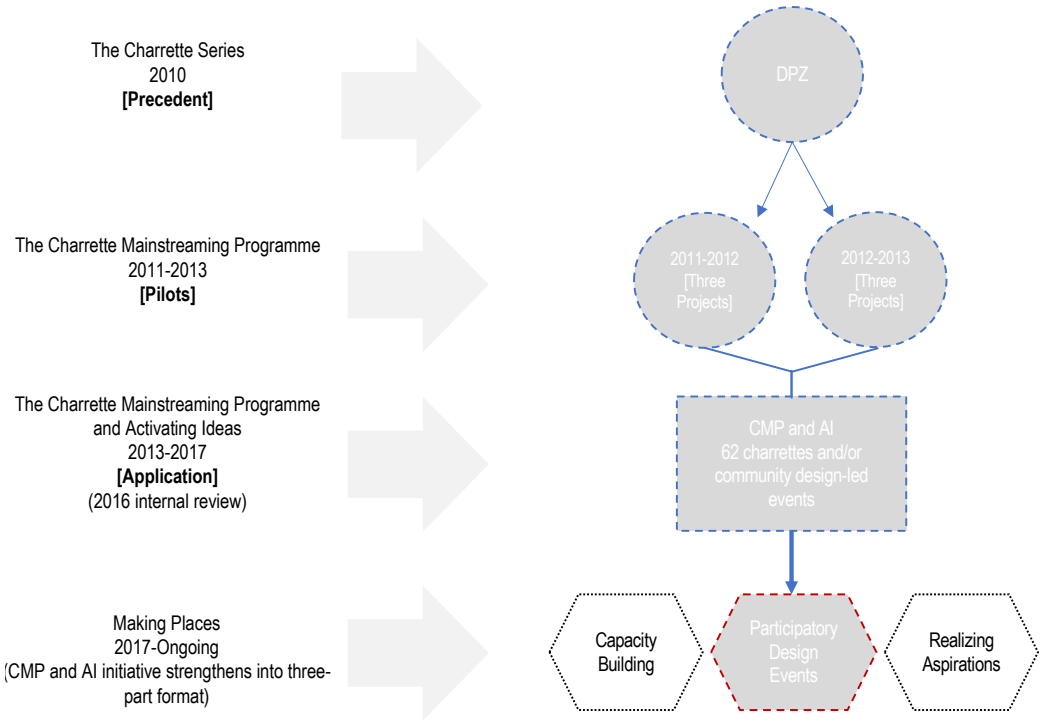


Figure 14: CMP Evolution.

Recognising the CMP typically received applications from 'well-organised, usually affluent middle-class communities' (Participant D, Scottish Government Representative) there was a

growing concern for disadvantaged areas that demonstrated, through their application, they were not in a 'state of readiness for a charrette' (Participant M, Scottish Government Representative). These communities needed support to build 'confidence, its skills, and build an understanding of place' (Ibid, Scottish Government Representative). Given 'two big objectives of the government are tackling inequality and inclusive growth', the 'future of the initiative is definitely focused on tackling inequality and working in areas of disadvantage' (Participant D, Scottish Government Representative).

In response to the capacity building deficit, the first of three component parts in MP centred on just this: 'First part is to encourage capacity building' (Participant M, Scottish Government Representative). MP's third component responds to a common thread that ran through many AI applications that called for 'someone to co-ordinate activity', help 'move things along, make thing happen' post-charrette (Participant M, Scottish Government Representative). A+DS was responsible for providing 'scope' on how this national 'ring mastering role' may take shape (Ibid, Scottish Government Representative). Not too dissimilar from the previous CMP initiative, the middle component helped finance 'a range of participative design and place-based workshops (including charrettes)' (Scottish Government, 2017).

Notably, charrette is now in parenthesis. The year previous, launch material implied charrette was a loose term, 'becoming more widely used and applied to a range of varying projects' (Participant C, Scottish Government Representative). This stepping back from *charrette* promotion is therefore not a shock departure. Others too, suggested the PAD had become increasingly non-prescript over the course of the CMP:

> If someone phoned me and says… I'd like to have a charrette and my community are interested, what does it actually mean? I would say… you're looking at a thing that's going to last probably 3-4, or 3-5 days sort of intensive community workshops, with various venues within your community, a DT will come in and do some pre-charrette work to animate the community, there'll be the intensive period and then afterwards there'll be a feedback day when the DT has had a chance to map out, give more thought to things… then present that back to the community…That's about it, we don't specify much beyond that in terms of being very precise or prescriptive in terms of what the charrette must do. (Participant C, Scottish Government Representative)

The 'core values' and 'strategies' of the NCI system are not referenced here (see Lennertz & Lutzenhiser, 2017). Rather a typical schedule is described. Despite this evolution, some of the logistical requirements were anticipated to remain the same. For example, a March

completion date to comply with funding stipulations; grants for 'community-led design' required 50% match funding; and successful CTs must procure their own DTs. The most notable change is 'charrette' is no longer 'the only game in town' (Participant M, Scottish Government Representative). MP prospectus encouraged CT applicants to consider their specific project requirements. For example, the 'scale and complexity of the project' and the 'level of detailed output that is required' should inform 'the type of design process that is appropriate' (Scottish Government, 2017).

Applicants had the freedom, and responsibility, to design their participatory project. Launch material provided some guidance proposing particular problem and context characteristics that likely suit different process characteristics. Perhaps more explicitly than any other year, MP prospectus suggested applicants should consider whether their community is active, with a 'high level of understanding'; whether a polycentric or centralised format would work; whether the community is urban or rural; whether the topic is spatial, physical, service or issue-oriented; whether the problem is complex or in exploratory stages; and whether the project is of large or small scale. Answers to these should inform applicants' *project design* (Scottish Government, 2018b).

In line with wider literature that recognises a tether between conditions and project success (Conley & Moote, 2003; Webler & Tuler, 2002), the MP initiative identified underlying context and problem characteristics that could affect project success. The MP Initiative ran for two years, 2017-18 and 2018-19. Along with four other funding streams, it was streamlined into the Investing in Communities Fund [ICF], which offers -unlike MP- multi-year awards. Therefore, funding for charrette and/or design-led events can be accessed through the Scottish Government's ICF, which is one of two community regeneration support platforms under the Empowering Communities Programme (Government, 2019).

Table 22 concludes this chapter section by providing an overview of charrette and/or charrette-like cases funded via The Charrette Series, CMP, AI and MP initiative from 2010 to 2018-19.

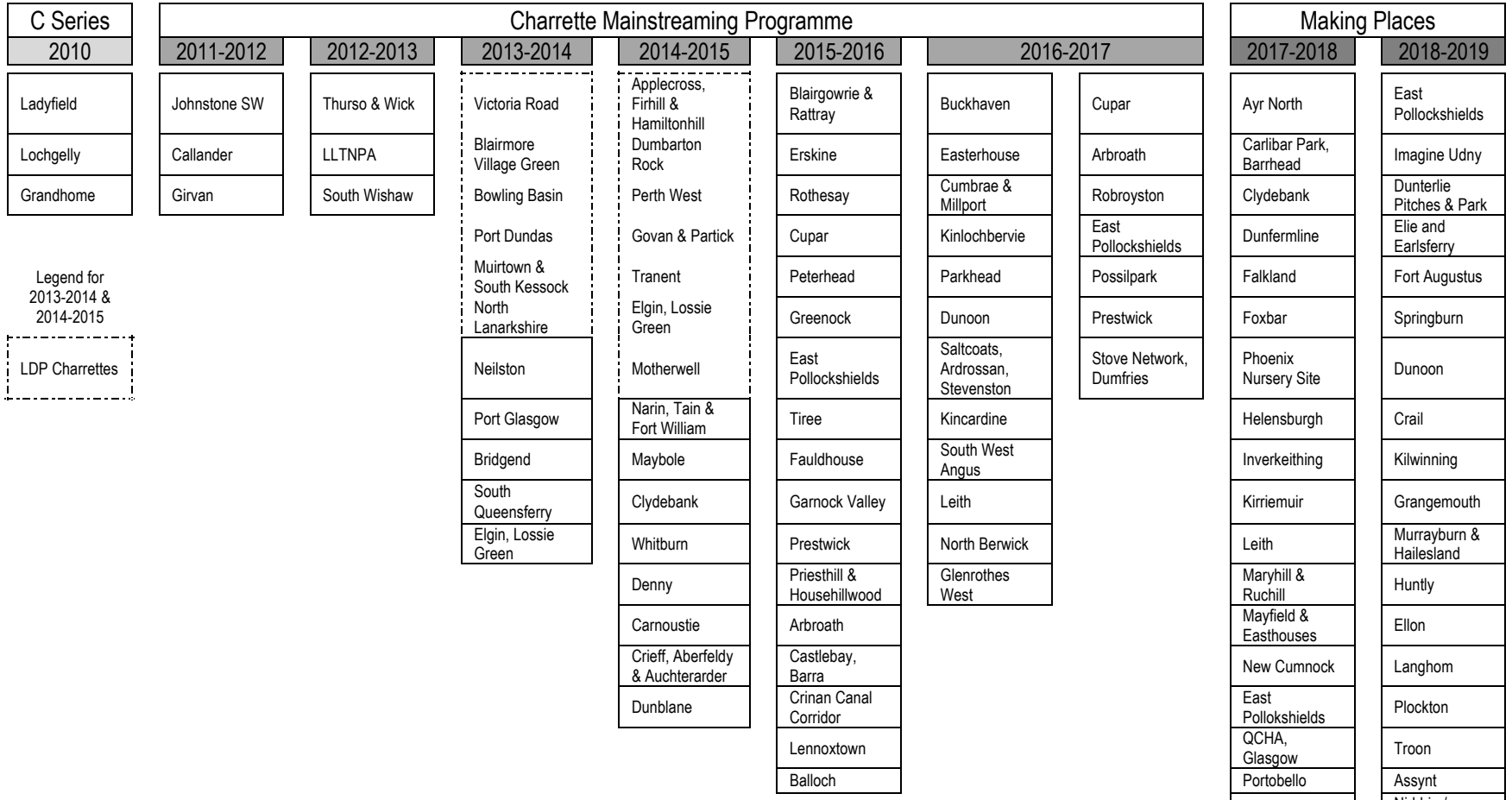


Table 22: Charrettes, Activating Ideas and Making Places projects per commissioning year.
Between 2013-2015 funding divided between LDP and Town Centre charrettes. Dotted lines represent LDP charrettes.

6.3 Rationales behind CMP, AI and MP

The above illustrates the policy context surrounding charrette mainstreaming, thus, giving a preliminary answer to how do CTs, DTs and initiative commissioners describe their rationales for using a charrette? I identified a reform agenda that aims to incentivise development as well encourage greater public participation and active citizenry. DPZ's charrette and The Prince's Foundation's EbD have been sanctioned and generally accepted as best practice.

Against this policy backdrop and warnings of post-political planning, I explore the reasons given for charrette promotion -at government level- and reasons for charrette commission -at a local level. Conley and Moote (2003, p. 374) 'disparage evaluation from a distance'; hence, interviews approximately seven years following the charrette's initiation are used to better understand the charrette's evolution and identify reasons for its sustained uptake. To guide analysis and frame the remaining discussion, I reference three often cited participation rationales: instrumental, substantive and normative (Fiorino, 1990; Wesselink et al., 2011).

6.3.1 Instrumental Rationales

As Chapter Four discussed, instrumental rationales typically favour broader citizen and stakeholder input believing contributions deliver better, more legitimate decisions (Fiorino, 1990). Generally, project or policy goals are centre: intentions may include conflict reduction, restored trust, heightened ownership and shared responsibility (Wesselink et al., 2011). Thus, greasing the implementation wheels. I derived four subgroups under this banner: implicit practice, policy fulfilment & self-interest, collaborative arrangements and support implementation (Figure 15).

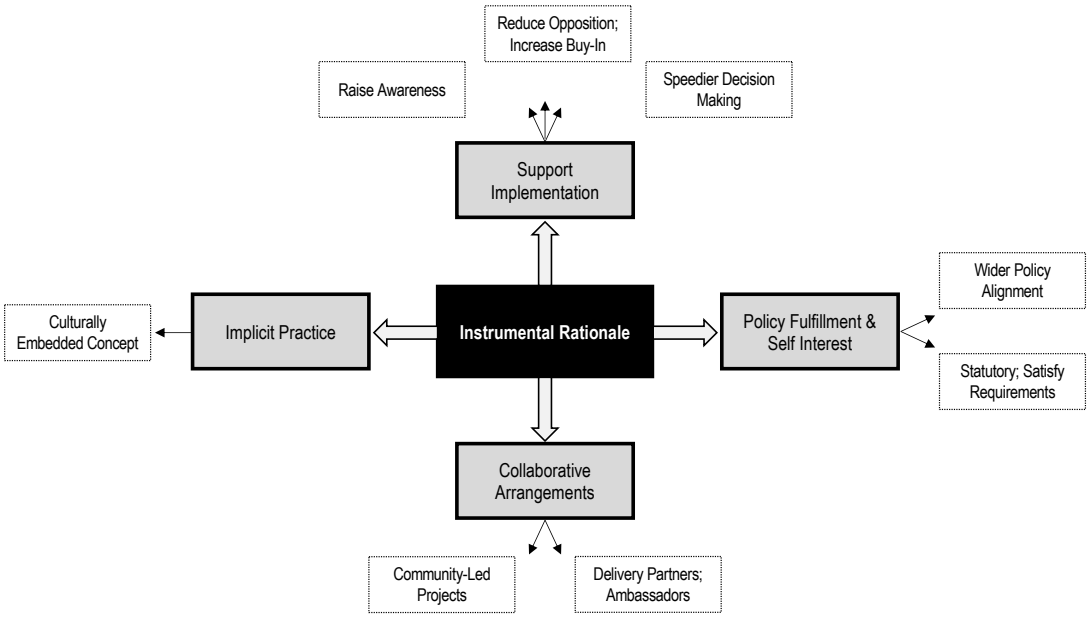


Figure 15: Figurative Summary of Instrumental Reasons for CMP, AI and MP

6.3.1.1 Implicit Practice

The basis for CMP, AI and MP expansion is not because 'it's a massive success and there's all these things that we can point to' (Participant C, Scottish Government Representative). Admitting in 2017 there had not been a systematic review, Participant C observers a lack of evidence that leads to 'no-man's land, where people are saying you've had charrettes for a few years now and what have you go to show for it?' Thus, the PAD is 'scratching our hands-on things looking for really good stuff' (Participant C, Scottish Government Representative). Instead, local appetite and enthusiasm has helped keep the initiative alive:

> The idea now has momentum. People are looking at the idea saying, my neighbour did a charrette so maybe we should do one. That's how culture works. (Participant H, former Scottish Government Representative)

> I keep a distribution list for any interested parties… this list has grown and grown and grown so I think the interest that's one of the main reasons. There is an appetite for it to happen. (Participant C, Scottish Government Representative)

Therefore, despite an absence of evidenced success, citizen and stakeholder participation is a concept that many are happy to endorse simply because it is perceived as an 'unmitigated good' (Conrad, Cassar, et al., 2011, p 761). It is simply, *what we do*, 'whether we like it or not, public

service and civic interaction is as the heart of it' (Participant I, ADS Representative). Participant G suggests this collaborative approach to planning and design is not yet reflected in education:

> Those who are committed to this way of working we just feel it's how you do things, it's the right way to do it. (Participant H1, Private Practice Professional)

> It's a big, massive Achilles' heel in the education system that we haven't realised that the world is changing and that collaboration, engagement, community buy-in is part of how we operate. We've got to have some training. It would be good to build-up the skills base on that. (Participant G, SNH Representative)

6.3.1.2 Policy Fulfilment & Self Interest

A second reason is charrette work satisfies a government rhetoric that places 'different pressures… about engagement and empowering communities' (Participant J, Private Practice Professional). As Jackson (2019) and Inch (2018) note, culture changes prevail that, in this case, 'blows the doors off' the PAD's earlier remit concerned with 'good quality design, low carbon design', public buildings, infrastructure projects' and so forth (Participant D, Scottish Government Representative). The advent of 'The Place Agenda has really broadened our [i.e., PAD's] responsibility… it's all about place' (Participant D, Scottish Government Representative). Therefore, satisfying this ministerial direction was a key CMP driver because it is 'something you must work *with*' (Participant D, Scottish Government Representative):

> Well, it's really the ministers' focus, the community part of it, I think that's now the main thing for us, the community empowerment aspect of this. (Participant C, Scottish Government Representative)

> When it came to making the pitch to the ministers for a mainstreaming programme, community empowerment was absolutely at the heart of it, and I would say that is the driver for charrettes. To give you an indication, the money we use for it… we get funding for the charrettes from the Empowering Communities Fund. (Participant D, Scottish Government Representative)

The initiative's continued support is generally because ministers are said to be happy with the 'work being done' and it fits well with other priorities (Participant M, Scottish Government Representative). Therefore, the charrette -as originally intended (Scottish Government, 2010)- has positioned itself as a go-to mechanism for not just spatial but community planning purposes because it demonstrates *policy-in-action*.

More cynically, others suggest initiative expansion is a hollow, tick-box exercise to demonstrate citizen involvement happens (see below). A private practice professional thought using the Scottish Government's revered methodology would lend credibility, and others suggest DTs get involved to satisfy their in-house social corporate responsibility.

> In the Kingetive one we were going along a route anyway, we didn't have to take a charrette, we actually took a charrette as an insurance policy… We thought the charrette would be appropriate and getting the Scottish Government behind us would help us with the council. (Participant J, Private Practice Professional)

> There is a charrette that goes cap in hand to the wealthy and says we'd like your thoughts on this and there is the other charrette where the government says we're doing this thing and we've got to do this thing as well. (Participant F, Private Practice Professional)

Ostensibly, the initiative has provided a 'bit of a gravy train' for some DTs, 'which has some practices ticking over when there's not much other work around' (Participant K, Private Practice Professional). A regular subconsultant, estimated their appointment to DTs had supported up to 25% of their activity over the last three-four years (Participant I1, Private Practice Professional). Luck (2018a) and Miessen (2010, p 46) see these practice innovations linked to the 'economic instability of the profession'. Rather than a progressively social shift amongst architects, the 2008 financial crash compounded a need to diversify the skills and activities on offer. Participant E argues this pseudo-shift is observable in Scotland citing much earlier, more radical participatory interventions linked to an emancipatory ethos:

> The last eight or nine years there has been this myth of an emerging and socially engaged architecture that does consultation and engagement of communities. Like you said, [Person X] recently spoke with Raymond who set-up ASSIST as it is nowadays, but they were radical. (Participant E, Private Practice Professional)

However, the gravy-train may be drying-up. Although the early charrettes had substantial budgets (see Chapter Eight) those part of the mainstreaming agenda have been significantly smaller. Therefore, appointments are not particularly lucrative, especially for lead DTs: 'most people are feeling squeezed now in doing them because the value is dropping so much' (Participant U1, Private Practice Professional). Responding to Participant E1's (i.e., a Local Government Representative) suspicions DTs may get involved in the hope of securing follow-on commissions, Participant U1's experience suggests the opportunity to secure additional work is scarce. It

remains to be seen whether firms continue offering these services when faced with little financial incentive.

6.3.1.3 Collaborative Arrangements

According to Polletta (2016, p 233), 'When governments do sponsor participation, they are rarely in a position to act on the resulting recommendations' (also see Parker & Street, 2018, Ch. 2), which makes the emphasis on community-led collaborative arrangements less surprising. Charrette-type activities have been tasked with 'creating a suite of community-led projects' (Participant D, Scottish Government Representative), and the event is considered fertile ground for 'the unearthing of, what we've called, 'ambassadors' or individuals who might take ownership over ideas' (Participant I1, Private Practice Professional). A community emphasis was in response to a minister's request 'to see much more focus on community-led initiatives', which left some in the PAD 'worried about capacity' (Participant D, Scottish Government Representative). Amidst a 'national policy push to shift things away from public services' those with 'power' and 'leverage, especially in the financial world' are in the voluntary sector (Participant P1, Local Government Representative):

> The way funding has gone the councils have been frozen for ten years, councils have less funding, that doesn't mean there isn't any funding… what we're trying to do is align some of the projects to the funding sources. (Participant B, Private Practice Professional)

> We've tried to make it clear through all our charrettes, and almost say to the consultants to make it clear, this is not about making a list to take back to the council who will deliver. Make that clear. (Participant Q1, Local Government Representative)

Whilst Participant D was tentative about using the word *efficiencies,* opting for *effectiveness* instead, the theory is this shift can simultaneously alleviate pressure on local authorities and build community resiliency:

> It's about giving communities over the control and fostering partnership working, which is good for co-production but also, it's about -efficiencies is the wrong word- but effectiveness. There are things communities can do for themselves which often they'll turn to the local authority and say, 'why haven't you fixed that?'… These things become more resilient so if you were to get, and I don't have any evidence of this, but a community group who go out to tidy up the park, paint the benches… they're going to

> look after that more than if the council did it because there's no sense of ownership. (Participant D, Scottish Government Representative)

The logic is sound. Elinor Ostrom imagined 'co-production' would foster 'social capital as communities organize around service provision and management' (Watson, 2014, p 65). Linking to Participant D's efficiency reference, others have suggested co-production is needed to help-out states that are unable to provide services (Watson, 2014). Therefore, depending on the perspective co-production can simultaneously serve efficiency-interests as well as work toward social, normative ends. Likewise, Fung and Wright (2003 p, 25) suggest 'participation and deliberation can heighten participants' commitment to implement decisions that are more legitimate than those imposed externally'. Akbar and Shaw (1988, p. 15) have long posited the 'state of any object is related to the responsibility of those who own, maintain or use it'. Therefore, one may anticipate instilling a sense of responsibility among users[28] of the built environment through participatory processes, such as the charrette. However, the care a party (e.g., a community) gives to any object -whether it is a street, park and so forth- is also dependent on where ownership and control reside. Some suggest formal participatory projects, like the charrette, may be apt for higher-level decision making and communicating input. Whereas, informal, grassroot participation may be needed for the sorts of changes Participant D anticipates. Whereby the user, owner and controller dynamic is redefined to bestow 'daily and direct control [to] inhabitants over the ordinary modification of their own individual and collective space' (Porta & Romice, 2010, p. 10; Robertson, 1989).

Furthermore, concerns prevail for the recipients of increased responsibility, which has led to 'a lot of volunteer fatigue' (Participant A1, Community Group Volunteer). Participant X1's local government experience leads him/her to predict councils will become 'really slim organisations' leaving communities 'to deliver some quite critical services'. Private Practice Professional I1 argued individuals' -and therefore communities'- sense of agency has dwindled: 'And as part of what we have stolen from ourselves, and each other, and communities at large, is their ownership

[28] The model in Akbar and Shaw (1988) is based on a concept of claims and parties. Three claims are posited i.e., claim for use, ownership and control. The party within each of these groups can also be distinct (e.g., an individual, a pair, a family, a community and so forth).

over those problems and their ability to own them and deal with them'. Spoken somewhat sorrowfully, some referenced a persisting blame culture and a collective sense of organisation that has been stripped, in part, to a debilitating infrastructure that disempowers its citizens and inhibits the everyday mark-making discussed as part of informal participation (Porta et al., 2016a; Porta et al., 2018). Illustrated best by Participant E's frustration:

> All you can do is keep complaining to all these different people and no-ones allowing you to just put on a BBQ for the community because you don't have public liability insurance, you need a risk assessment, a hygiene certificate and you need to make sure you have port-a-loos. So why the fuck am I going to take that on? If the infrastructure at a local level doesn't exist, if that is all the stuff, we need to do just to get our community together to share a time, share food, discuss a situation then that is extremely problematic. (Participant E, Private Practice Professional)

This sentiment lends credence to claims new spaces are well-choreographed, sanitised affairs that require citizens to 'understand how to perform actively as a citizen in order to claim a right to the city' (Ghose, 2005, p. 64). Exemplifying the lack of preparation communities may have received, Participant E narrated the struggle some community-led CTs experience post-charrette as they fear 'assets [may be] forced on us, but we're not actually shown how to do anything'.

An empowerment agenda may be in full pursuit but there has not been 'enough investment in communities in the third sector to really prepare them for that, and that's an issue' (Participant P1, Local Government Representative). Nor, according to Participant E are there supporting local governance arrangements in place[29]. Alternative, relational methodologies to the 'point-in-time transactions' charrettes offer, are also needed to sustain open communication channels (Participant I, A+DS Representative). After all, 'it's a little fanciful to think, you can connect people once and that's now a social network' (Participant I1, Private Practice Professional).

6.3.1.4 Support Project Implementation

Private practice professionals, national and local government interviewees referenced garnering support, building better relations, speedier decision-making and reducing opposition: typical, instrumental, project-oriented rationales. For example, placating a disgruntled Community Council

[29] Chapter Eight also observes tensions in a national rhetoric and on-the-ground implementation as local governments appear nervous to embrace greater citizen involvement (see Chapter Eight discussion on 'Community Relations')

motivated charrette commission in one instance. It was thought to help strengthen relations and demonstrate 'we [i.e., local authority] want to have your input' (Participant Q1, Local Government Representative).

A PAD representative commended a charrette advertisement promising to 'cram the equivalent of six-months work into four days' by avoiding the linear convoy between necessary decision-makers (Participant C, Scottish Government Representative; Participant G, SNH Representative;). Further, the charrette can persuade and settle community concerns regarding unwelcome development:

> Things that take months to do by correspondence going through the official channels, but if you get everyone there just thrash it out and draw a picture of it and you can largely agree. (Participant C, Scottish Government Representative)

> It's the fear the urban extension is going to be another characterless soul-less volume housebuilder estate and once they're persuaded it's not going to be like that then quite a lot of the opposition falls away. (Participant L, former Prince's Foundation Representative)

Even if participatory activities fail to reframe positions, it is hoped acceptance levels nonetheless increase (Sanoff, 2006):

> An ideal situation would be where you get a lot of the community who've moved to support a direction but even for the ones that haven't, they support the way it's been done, they feel it's been fairly done. (Participant J, Private Practice Professional)

However, private sector developers are thought less likely to be involved in commissioning non-statutory charrette projects given a fear it will achieve the opposite; for example, it could 'fluff-up opposition', render development projects more 'complicated' or more 'expensive' (Participant G, SNH Representative). Charrette mapping in Chapter Seven (and Appendix B) show the private sector has not been regularly part of CTs despite the international collaborations and wealthy landowners around the time of the SSCI and 2010 Charrette Series.

Summary of Instrumental Reasons	Data Source
1. Implicit Practice	
a. Culturally Embedded Concept	
Example: Whether we like it or not, public service and civic interaction is at the heart of it (Participant I, A+DS Representative)	*Interview*
Example: Yeah, it's [i.e., public participation] to the forefront and across the board (Participant C, Scottish Government Representative).	*Interview*
2. Policy Fulfilment	
a. Wider Policy Alignment	
Example: I think there are different pressures on the SG. Some of them are about engaging and empowering communities (Participanf J, Private Practice Professional)	*Interview*
Example: We've got community planning, empowerment, and, you know, health issues and lots of different policy that we're trying to link together now... So, the reason for that is because of the government's agenda around co-production, assets, and you have to work with that (Participant D, Scottish Government Representative)	*Interview*
b. Statutory; Satisfy Requirements	
Example: With a view of feeding them into our LPs. We've known or predicted for some time that under the Empowerment Act we would have to publish our LOIP. Also, under that legislation there was a requirement to do something with LPs (Participant P1, Local Government Representative)	*Interview*
Example: Funders will often look for applicants to demonstrate need or demand for their project, and it is the intention that the data provided within this report could provide an evidence base for this (Icecream Architecture & Willie Miller Urban Design, 2019)	*MP Output*
3. Collaborative Arrangements	
a. Community-Led Projects	
Example: Also, that kind of third sector where... community ownership of assets. The Scottish Government are making a lot of that. So how can we help make the case that the community should take ownership of the asset. Again, you need to be a little bit careful because sometimes that asset can be owned by the local authority and it can actually be a bit of a liability (Participant B, Private Practice Professional).	*Interview.*

Example: So, it's about creating a suite of community-led projects to come out of the charrette and although you don't know what they are you need to be able to say there's a group here who are ready and waiting, so whatever comes out if it they'll take it forward (Participant D, Scottish Government Representative).	*Interview*
Example: The way funding in Scotland is at the moment community groups have more access to public funding, if you like, than private owners. So, I think the opportunity is ripe for us all to own a bit of the Halycon and to make it work and re-open (Participant N, Community Group Volunteer).	*Interview*
Example: The charrette was proposed in order to address the need for more collaboration between groups and stakeholders across this rural area (Go Garnock Draft Report, personal communication, 2016)	*CMP (Draft) Output*
Example: The plan therefore seeks to strike a balance between identifying a co-ordinated, strategic approach while exploring the breadth of 'bottom up' group projects that will attract grass roots interest, ownership and enthusiasm (CMC Associates Ltd., 2017, p. 3)	*AI Output*
b. Delivery Partners; Ambassadors	
Example: …the process also aims to support the community to find new people with energy to help shape its future (DPT Urban Design, Andrew Carrie Traffic & Transportation Ltd., et al., 2016, p.3)	*CMP Output*
Example: During the Charrette attendees were invited to complete 'pledge cards' indicating projects that they wished to promote, support or lead (Austin-Smith: Lord et al., 2018b, p.86)	*MP Output*
4. Support Implementation	
a. Raise Awareness	
Example: It [i.e., charrette] might also raise awareness of stuff that was already in the offing (Participant F1, Private Practice Professional).	*Interview*
Example: One good thing about the Pecha Kucha is that it can get people who might not know what's happening to talk to others and they might go: *I never knew that was happening* (Participant D1, Scottish Charity Representative)	*Interview*
Example: For example, a transport person can explain why car parking is valid in one place but not in another. That's an explanation to local people who can maybe get to grips with that. So, it doesn't come across as you're just telling them no. In some ways it's better that everyone hears all the discussions (Participant G1, Private Practice Professional)	*Interview*
b. Reduce Opposition; Increase Buy-in	
Example: We've seen people come around from that quite strongly. Longniddry started off as a Prince's Foundation, EbD, and there was strong opposition when we first started off with the public meetings, with several hundred people, mostly opposed and in the final application there was six letters of objection and six letters of support (Participant L, former Prince's Foundation Representative)	*Interview*

Example: …for me, it was to go back to them, we had already done some visioning and knew the what the major priorities were, so it was to actually try and drive some of that forward and bring people on board with it (Participant Q1, Local Government Representative)	*Interview*
c. Speedier Decision-Making	
Example: So, there's a speed element to it. Hopefully, you've got all the opinions that are required in one place at one time I suppose it's the intensive nature of it is what makes it different from other processes (Participant C, Scottish Government Representative)	*Interview*
Example: I think charrettes are still the right way to go, it's a lot of work; it's 6 months' work in three-days (Participant H1, Private Practice Professional)	*Interview*

Table 23: Summary of Instrumental Reasons

6.3.2 Substantive Rationales

A substantive rationale values non-expert testimony believing broader input can lead to better decisions than those made by a singular (expert) perspective (Fiorino, 1990; Stirling, 2006). Lay expertise is thought to add 'breadth and depth' (Wesselink et al., 2011, p 2690) rendering more holistic understandings and therefore better quality decisions. Similarly, Fung and Wright (2003, p 25) discuss 'effective problem-solving', and bettering 'public ends'. This rationale, like the above, remains project focussed. Here, I identify two subgroups under the substantive banner:

Figure 16: Figurative Summary of Substantive Reasons for CMP, AI and MP

6.3.2.1 Better Quality Outcomes

As discussed under 6.1 The Charrette has Landed, there was an expectation the charrette would raise design quality. Influenced by his/her Tornagrain experience, one CMP award recipient endeavoured to produce a design code to inform future development; A PAD representative anticipated realistic ideas from a charrette; and one Local Government Representative felt involvement injects some creative thinking when mundane necessities can stall long-term visioning:

> We were keen to get something because there had been developments just north of Tramway, on Albert Drive and Barrland Street, which ironically was called 'utopia' and was anything but utopic. So, we were anxious to avoid that again and get something that related better to the existing architectural and conservation area. (Participant O, GCHT Representative)

> If there's… some idea the community have that just can't happen, because, you know, there's an important drain under there or a sewer there, so can't do that, forget that idea. So, you'd hope what the charrette is, is ambitious but realistic. (Participant C, Scottish Government Representative)

> You're the head of roads… he's going to look at his budget and think it's getting smaller and he's struggling to fill the potholes. The big idea then goes away. Whereas the charrette brings that to the fore, and gets people thinking how you can have big ideas and how you can work towards them over a longer period and be more creative about how you make them happen. (Participant P1, Local Government Representative)

A Private Practice Professional most accurately summarises the substantive rationale as s/he argues tapping into tacit, aggregated knowledge can lead to far better outcomes:

> I really believe in the intelligence of -the idea behind the book, The Wisdom of Crowds. The idea that if you can tap into the knowledge of people who have lived in a place for a long period of time, that you can build far better places. (Participant I1, Private Practice Professional)

6.3.2.2 Power to Convene

An egalitarian rationale is more likely to operate an open-door policy when it comes to stakeholder and citizen recruitment. However, the substantive banner is more likely to seek valuable knowledge sources to better the end result (Wesselink et al., 2011). Therefore, devising a stakeholder strategy and convening the *right* people was cited as a pre-charrette criterion:

> So, you would have the core stakeholder team there for the full duration and then in addition to that you'd invite specific interests along to input at certain points and you'd then have a series of public meetings as well. (Participant L, former Prince's Foundation Representative)

> I would definitely be picking up the phone to a dozen key players and various organisations and actually asking them specific questions about what they're working on and how they can participate, trying to shape them, and it doesn't happen. (Participant G, SNH Representative)

Recognising a fractured urban governance landscape and disconnects among agencies -and within agencies- several interviewees commend the charrette as 'it gets new people into a room, builds a dynamic framework' and 'off-sets entropy with energy' (Participant I1, Private Practice Professional). Therefore, it simply eases the disjointedness some claim Scotland's institutions are suffering from:

> One of the big benefits is you're bringing the different departments in that local authority, or in the National Park (but they work well), a lot of these authorities- housing and planning just don't seem to ever live on the same planet… I think this is true with Highlands as well, even though I've got a lot of respect for them. It's true with North Lanarkshire, it's true with Perth & Kinross and also with quangos. It is the [i.e., charrette] actually bringing NHS, Forestry Commission and Transport -they don't normally talk to each other either. (Participant H, former Scottish Government Representative)

> Working sometimes in the local authority it's like, 'oh, we've never spoke to that department before, didn't know they were doing this and that'. What you're trying to do is get everyone on the same page brought in behind a common vision and enabled to go out and do it. (Participant G, SNH Representative)

Building on introductions, the charrette fosters dialogue and deliberation working toward agreement[30] through 'a journey of map-based consensus building' (Participant G, SNH Representative). The NCI charrette system and EbD models both work toward producing a largely favourable output (Lennertz & Lutzenhiser, 2017):

> But the purpose of a design workshop is that you take that wish list and you bring in other constraints, so everybody understands why a full wish list might not be practical; because you invite other people in to talk about it. (Participant L, former Prince's Foundation Representative)

The nature of exchange -described by interviewees- leaned toward deliberation i.e. advocacy, resolution and closure rather than inquiry and exploration (Escobar, 2011, p 40). The charrette should offer opportunities for critical exchange 'where people need to hear each other, even when they don't like what they're hearing' (Participant V1, Private Practice Professional), as DTs adopt a neutral, facilitative role: 'Because it is about having an independent facilitator, negotiate, mediate and build consensus among a much broader group of people' (Participant D, Scottish Government Representative). One purpose of interaction 'is to change that person's views', not because s/he is wrong, but 'to expose [people] to a wider set of circumstances or other people's needs' (Participant V1, Private Practice Professional). If the charrette has relapsed into a linear process of collecting snippets from stakeholders in silo, then it has effectively travelled backwards:

> As long as you can see it is a design process and not just engagement, so people need to be part of that design process, not feel like they are coming along to say their piece, then go away to draw it up and come back two weeks later because that's a step backwards. (Participant D, Scottish Government Representative)

One of the not-so-positive effects of participation noted in Chapter Five, was the pursuit for consensus that some felt diminished outputs to the least offensive iteration; rather than producing 'a truly optimal solution' (Blackstock & Richards, 2007, p 507). Although, Innes and Booher (2015) suggest -through *collaborative rationality*- interests need not be compromised. Nevertheless, Participant H spoke of agenda-compromising and Participant E mocks the consensus-driven deliberations for their banality, which implies s/he would agree 'there is an

[30] I should note 'dialogue' and 'deliberation' (Escobar, 2011) as well as Forester's (2009) 'dialogue', 'debate' and 'negotiate' have distinguishable meanings and should not be used synonymously.

ever-increasing need to consider the '"breaking of the consensus machine"' (Miessen, 2010, p 21):

> Myth has been created about participation and design that basically ends up being a process of trying to force a consensus around subjectivity. So, that process of design ends up being what would you like this to look like, or be like?
>
> [Respondent A]: We'd like it to be circular. [Expert]: Why is that? [Respondent A]: Oh, I love circles [Respondent B]: Oh, I don't, I like squares [Expert]: How many of you like circles? [Answer]: Three more than those that like squares. Ok, that's what we'll do [Respondent B]: I think it should be red or green. [Respondent C]: But I like pink [Expert]: How many people like red? …more people than those who like green. So, we'll do it red.
>
> And the designer in that situation takes the circle, the colour green and sticks that together, and says we designed a playground with you. (Participant E, Private Practice Professional)

However, even getting to a point where multiple interests are debating trivial preferences appears to be waning. The Scottish Government's backing is thought to act as a draw; however, building on Pilot Interviews in Chapter Five, others spoke of the charrette's diminishing power to convene. Participant F1, a Private Practice Professional, suggested it has become harder to retain broad interest in what was previously a 'new thing'. Over the years, events have become 'so widespread' it 'tends to be very difficult to get the level of engagement that we did in the past' because of a growing 'awareness of the amount of time, effort and resources' required from everyone involved i.e., DTs, local authority and local and national agencies (Participant F1, Private Practice Professional). Not to mention the already-cited competitive charrette season that strains resources.

Summary of Substantive Reasons

		Data Source
1.	**Better Quality Outcomes**	
a.	Value in Lay Expertise	
	Example: It's about we as architects and designers carry certain knowledge but people who live in a place have lived knowledge and lived life. They have knowledge we're looking to tap into and vice versa, and it just needs to be an even playing field to make it as beneficial for both as possible (Participant H1, Private Practice Professional)	*Interview*
	Example: We've said, if you are contacted by [the] DT please make space for them, talk to them, and *that way we'll get a better result* (Participant P1, Local Government Representative).	*Interview*
b.	Realistic, Informed Proposals	
	Example: Hopefully all the stakeholders that have a part to play [are] participating …So, if there's something, some idea the community have that just can't happen, because, you know, there's an important drain under there or a sewer there, so can't do that, forget that idea. So, you'd hope what the charrette is, is ambitious but realistic (Participant C, Scottish Government Representative)	*Interview*
	Example: I guess the theory is, professionals speaking to the community and saying this is what your baseline is, these are the issues, and this is why you can't do something. For example, a transport person can explain why car parking is valid in one place but not in another (Participant G1, Private Practice Professional)	*Interview*
2.	**Power to Convene**	
a.	Multiple Interests Engaged at Once	
	Example: During the report back session… there were almost 70 people there. How else are you going to get 70 people from a community in a place? So, there's things that aren't as tangible but there's a benefit to them (Participant H1, Private Practice Professional)	*Interview*
	Example: ASL has got quite good at this. A lot of them you had different sessions where you have invited stakeholders in one session talking with the transport engineer or water engineer, for example (Participant H, former Scottish Government Representative).	*Interview*
b.	Deliberative Engagement	
	Example: There're opportunities for stakeholders e.g., local business to meet other local businesses or to facilitate discussion with public sector and other bodies. Perhaps there's been a perception of disagreement between two parties and a charrette can really facilitate and enable the breaking down of some barriers' (Participant H1, Private Practice Professional).	*Interview*
	Example: It's a good way of bringing people together and try to achieve a consensus, I suppose that is at the heart of it (Participant L, former Prince's Foundation Representative)	*Interview*

	Example [resolution focussed]: I also think one of the problems with the charrette if the charrette is resourced by problem solvers inherently the charrette team want to come up with an answer, that's what they're geared for (Participant I, A+DS Representative).	*Interview*

Table 24: Summary of Substantive Reasons

6.3.3 Normative Rationales

A normative rationale upholds citizens' right to influence decision-making believing a) citizens are best placed to decide what happens to their environments and b) exclusion is 'incompatible with democratic ideals' (Fiorino, 1990, p. 239). Often 'social capacity outcomes' are prioritised over policy goals as a normative orientation is committed to citizen empowerment and challenging hegemonic power (Tuler & Webler, 2010, p. 262).

Therefore, fair and equitable access, maximising involvement, citizen empowerment and influencing the outcome are principles often associated with a normative perspective (Bickerstaff & Walker, 2001; Fiorino, 1990; Stirling, 2006; Tuler & Webler, 2010). Here I identify three subgroups.

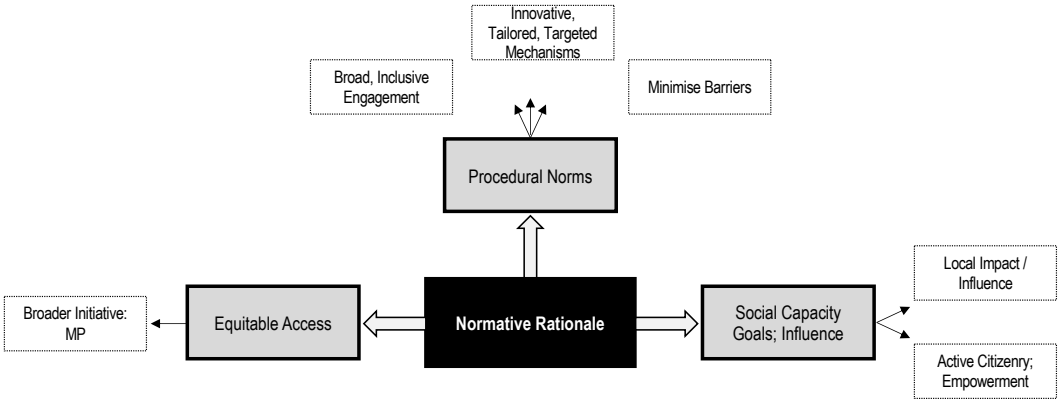


Figure 17: Figurative Summary of Substantive Reasons for CMP, AI and MP

6.3.3.1 Social Capacity Goals; Influence

Among interviewees, there was little explicit reference to satisfying a specific interpretation of democratic decision-making, which is not surprising given discussions in literature; nevertheless, interviewees cited 'features' of an egalitarian perspective (Tuler & Webler, 2010, p 259). For example, ministers liked the CMP initiative because it offered an opportunity to exert influence: 'So ministers were happy in terms of the charrette being... a real opportunity for communities to participate and for them to... have *meaningful* say in what happens within their community' (Participant M, Scottish Government Representative; emphasis added).

With MP's launch, PAD officers re-affirmed their focus on developing individuals' skills, building community capacity and achieving equity by serving the most disadvantaged. The first component (see Figure 14 presented earlier) is intended to build skills enabling communities to 'do whatever they want to' (Participant M, Scottish Government Representative). The intention is not to usher communities 'through the charrette gate', instead, build local resilience to the point communities exclaim, 'you can go to hell Scottish Government, we don't want anything else from you, we don't want a design charrette because we can do it ourselves' (Participant M, Scottish Government Representative). Without this focus the initiative could inadvertently exasperate the inequality it set to tackle:

> The future of the initiative, definitely focused on tackling inequality and working in areas of disadvantage… I'm being careful with my words here, but it's almost like we need to positively discriminate in order to achieve what we call equity. (Participant D, Scottish Government Representative)

However, responding to capacity building claims of CMP, AI and MP projects, others suggested design professionals at the helm go about it in an indefinable way. Architects may not have the skills to design and deliver participatory projects capable of delivering the social goals extolled. One Private Practice Professional admitted *building community capacity* is a 'throw-away comment' that 'people often write in a brief' but have no 'idea about how to do that or measure it or [know] what's a good or bad way of doing it' (Participant V1, Private Practice Professional). Bleeding into a bigger discussion on architectural education's need for 'refreshing' in relation to participatory design practice (Luck, 2018a, p 151), Participant I asks:

> How much practice does an architect get in their training about empathy, contradictory, negotiation, social skills? How much exposure to sociology do they get? Sociological contradictions, philosophical contradictions that are not about the buildings? How much do they get about politics beyond the building? Fuck all. So how come then we have a generation of architecture practices, young ones with fuck all experience, doing graphic-y things and whatnot, with none of the preparedness in their training to deal with really difficult things. How's that? (Participant I, A+DS Representative)

6.3.3.2 Equitable Access

The CMP's expansion into a three-pronged initiative responded to the 'minister's desire to see something wider and more inclusive' (Participant M, Scottish Government Representative). An in-house CMP and AI reflection also raised questions around access:

> It really struck home… because I was thinking well that is the choice, isn't it? If you don't get support from the local authority and the government says no… then where do you go? You go nowhere, and nothing changes. So, I became like a terrier with a slipper and kept yapping on about this stuff that we had to do something about if we were serious about tackling inequalities. (Participant M, Scottish Government Representative)

Whilst the initiative increasingly encouraged community-led applicants, and was not short on submissions, interviewees suggested more disadvantaged communities were slipping through the CMP net. There were several plausible barriers. Participant C noted the application process had changed little since the initiative's launch, which was originally designed with local authorities in mind. Therefore, it may have been 'a daunting prospect' for some (Participant C, Scottish Government Representative).

Consequentially, 'the people that have spear-headed these community bids are people who are well educated and very capable of finding their way round an application form' (Participant M, Scottish Government Representative). Well-versed individuals have been able to make a case for charrette funding and 'put in their application, oh we have a pocket of disadvantaged social housing over here, somewhere' (Participant C, Scottish Government Representative).

Participant D acknowledges individuals in disadvantaged areas are often dealing with 'much more immediate problems and they're not thinking about a planning initiative'. However, those communities evidencing deprivation that also successfully submit an application may still be less likely to receive an award, compared to more affluent competitors, given a charrette 'would just be a tremendous stress' for communities without capacity (Participant M, Scottish Government Representative). Concerned this may leave some communities with no support system the initiative's subsequent expansion (described earlier) intended to ensure communities' needs were being met by a broader, more inclusive initiative.

6.3.3.3 Procedural Norms

Participant H1, a Private Practice Professional, suggested the 'objective is always going to be you engage with as many, wide and far'. An almost overreliance on process seems evident as CTs ask, 'how are you going to engage with our community what are you going to do with Facebook?' To the point of excluding 'equally important' charrette stages such as how 'to turn that [i.e., engagement] into a coherent plan that is deliverable' (Participant V1, Private Practice Professional).

Building on Chapter Five's Pilot Interviews, others similarly cited best practice 'process' measures including unrestricted access and broad involvement, possibly because these concepts are often perceived as a panacea for inequality (Beebeejaun, 2004). In short, a commitment to delivering *better* citizen engagement prevails and this is thought achievable by:

> Getting more people involved in planning, so that's about hard to reach groups, we'll need to focus on that in charrettes as well, whether that's parts of the community like disabled people or actually whether that is about getting more people involved in planning from areas which wouldn't normally get involved in planning, areas of disadvantage for instance. (Participant D, Scottish Government Representative)

> LGBT kids, now that's tackling inequality… It's bringing them into the community view, part of the mainstream community… We're looking at how you'll tackle inequalities and participation and [asking] how you're going to get these people to participate? (Participant M, Scottish Government Representative)

> I always talk about going to speak to people in their natural habitat. Taking the big floor map out, going to pubs, clubs and the shops. The guys have been in supermarkets. Go to where people are. Don't stand in a village hall on a Tuesday night and hope folk rock-up. (Participant F1, Private Practice Professional)

> Above all, we aim for our projects to be inclusive - open and accessible to everyone in the community. By using non-traditional consultation techniques, centred around creative and informal engagement, we reach audiences who ordinarily would not take part in participatory processes (Pidgin Perfect, 2018, p 4).

> Sometimes what we do is say we'll do it around Halloween, or whatever. If there's a community Guy Fawkes night, you're not running a charrette, but you might be handing out cards to get ideas from the community. (Participant J, Private Practice Professional)

Involving 'seldom heard groups' remains a Scottish Government priority (Participant M, Scottish Government Representative); however, the 'concept of "hard-to-reach" communities plays a

particularly insidious role' in adversely constructing societal classifications and solidifying perceptions of problematic difference (Beebeejaun, 2012, p 545). Although well-intentioned, the argument is these bounded terms may invisibly shape approaches that re-assert divisions and unhelpful characterisations (Newman, 2005).

Unlike Baker et al. (2010) I did not find an overreliance on come-to-us or more traditional mechanisms among DTs. Innovative, in-situ methods tailored to project were common: 'We basically have a library of things we can look at and figure out which ones will work best for different types of projects' (Participant T1, Private Practice Professional).

Participant I1 described his/her team's subconsultant role, which has typically focussed on driving pre-charrette community engagement. Unlike organised charrette activities, their methods in this early charrette stage are deliberately opportune. The team arrive in a community as 'blank and innocent as possible' and use tactics 'very prevalent in the world of fine art' to get lost and to get lucky (Participant I1, Private Practice Professional). A counter is necessary to offset some of the limitations associated with formal, deliberative spaces. Therefore, serendipitous, in-situ and non-traditional activities have been frequently used, which stems from:

> Years and years of experience, out with charrettes, of understanding the choice of venue weights who turns-up. Also understanding that when you do participation you will often find in the first year that you suddenly realise there are voices dominating that supress other voices. Even though you are so grateful for those voices at first. There's a lot experience there about realising you have to be creative in how you go about genuinely eliciting *meaningful participation*. (Participant I1, Private Practice Professional; emphasis added)

Recognising involvement barriers (see Baker et al., 2007; Baker et al., 2010) private practice professionals discussed ways to minimise procedural inhibitors. For example, catering for 'people who don't have English as their first language…That stuff is really important (Participant K, Private Practice Professional). Or, providing a 'minibus' on the site visit because 'not everyone could walk' (Participant J, Private Practice Professional). Overall, DTs typically go to 'a lot of trouble to make sure charrettes are accessible; for example, happening in places that are easy to get to, at times that accommodate everyone whether they work or don't work' (Participant P1, Local Government Representative). Recognising structural barriers include a lack of understanding (Baker et al.,

2010), Participant J indirectly referenced competence criteria (Webler, 1995) as s/he primes the community for involvement:

> We try to get everyone up to the same learning basis and we don't want to coerce them to think one or the other, but we've got to make them, enable them to become rather than make them, as knowledgeable and as informed as they can be to participate otherwise the participation is born out of different levels of ignorance. (Participant J, Private Practice Professional)

Chiming with Pilot Interviews, Participant J similarly spoke about transparency: 'If you run something in half term it looks like you've got something to hide. So, we basically have a whole time of the year, we can't do it' (Participant J, Private Practice Professional).

In summary, there was little reference to the theoretical undercurrents found in participation literature (see Webler & Tuler, 2002). Although, approaches and thinking around charrette design evidence a widespread commitment to socially inclusive practice. Those involved in charrette design, appear to think this can be achieved by routinely maximising opportunities through extensive involvement strategies, in the hope those normally on the periphery are given access through a suite of creative mechanisms (Chapter Eight discusses CMP, AI and MP mechanisms more thoroughly).

Sentiments resonate with the 'deliberative rationality' identified in Brownill (2009); and Brownill and Carpenter (2007a) as many interviewees insisted involvement should be fun and exciting: 'you have to make it something, if not fun, enticing, there's got to be some reason to go there. It can't be… this ten-hour meeting, who is going to go to that?' (Participant M, Scottish Government Representative). However, others were more critical of the ways in which normative commitments, especially in a procedural sense, have materialised. For example, the emphasis on seldom heard has possibly been narrowly conceptualised to privilege mostly children through school engagement[31]. Whilst some think it is imperative children are involved, others observe a possible imbalance:

[31] The Scotland (Planning) Act 2019 requires local authorities to 'make such arrangements' to include children and young people in the preparations of the LDP (see section 7, 'Local development plans').

> Getting kids engaged is great. It should be a fundamental aspect of the charrette. (Participant D1, Scottish Charity Representative)

> That term policy makers like to use 'seldom heard groups' I think is very interesting. There's this funny thing -influenced quite a lot by PAS - the Scottish Government have given some privileged status to children in all of this. And I think why are children so important to this?... Why are we so bothered about children as opposed to working age adults, minority groups of all kinds, young people etc. (Participant K, Private Practice Professional)

Not doubting the authenticity of claims and working toward similar normative ends (e.g., capacity building), Participant E is critical of the means. That is, the typical charrette-type activities and engagement strategies badged as innovative and creative are thought ineffective and derive from ignorance. Rather, the 'engagement you need to have in that community is chucking in people who will provide services and employment and training' (Participant E, Private Practice Professional). Participant G similarly reflects on what actually leads to on-the-ground-changes. Whilst there may be a 'lot of people in public sector at senior levels' advocating 'plans, strategies [and] budgets', Participant G contemplates denouncing these plans, strategies and so forth as s/he asks:

> How does that physical change on the ground actually happen? Sometimes I pose that question back to people on the ground, how did that transformation actually happen, if you work it back, how did that tree get in the ground? (Participant G, SNH Representative)

The realisation is the same as Professor Sanoff's in Chapter Five as he criticises the masterplan concept. Having used these so-called *innovative* methods, Participant E has long felt charrette-type activities were rarely the nexus for change. After twelve years, Participant E realised:

> All the stuff I thought might be a truth is bogus, bullshit. That's come from having spent longer time in communities than just doing an engagement exercise, suddenly you realise, god, even in Darnley, worked there for years, doing research in the library getting newspaper clippings out, and you could take a headline from 1972 in The Sun and stick it on The Sun today and it would still be the same fucking story. There's been consultation events, charrette events, community meetings, activists, and you're still going, how come this community is.... (Participant E, Private Practice Professional)

These *innovative* and *creative* methods are thought by some to be old, tired and contrived. Even belittling. Participant K warned whilst these approaches offer 'a good way of speaking to people in

bitesize pieces', the practice of having 'someone who does something funny or clever' has 'almost become mandatory'. However, it is not always favourable: 'we got a lot of resistance from some stakeholders who thought what they were doing was being trivialised' (Participant K, Private Practice Professional). Likewise, Private Practice Professional (Participant F) suspects 'there's a huge number of men particularly, and women, who are highly competent, not stupid, actually being told to express their dreams and put them on a piece of paper', which is simply 'down right fucking rude'.

Participant I1 disagreed; s/he supports the typical involvement strategies used in charrettes, even championed 'the sugar-rush, the hyped, artificial, contrived, intense' activities. S/he highlighted the value these can have by making a comparison to:

> The Northern Ireland peace process, which was entirely artificially contrived to the extent that an American centre came across, set a clock ticking with a countdown to zero with the whole of the world ostensibly focussed on a space that became a sealed space were people were locked in, biblically and metaphorically for 40 days and 40 nights, rolled-up to and come to- with all that, the catalyst of that, something incredible actually emerged, which was not contrived and really impactful for all its artificialness and contravenes. You can quote me on that: the best thing about a charrette, is the charrette. (Participant I1, Private Practice Professional)

Evidently, disagreement reigns on the type of engagement that is needed. A more destabilising critique of Scotland's charrette and its claims for inclusiveness comes from Participant F and K (Private Practice professionals) as both suggest 'the charrette tries to avoid going to places' with 'complicated ethnic combinations' that might stir uncomfortable realities (Participant K, Private Practice Professional). After all, it is an invited space; therefore, those commissioning, designing and delivering assert the tone, perhaps with little self-awareness of firmly established biases (Blue et al., 2019, see Chapter Four's literature review). It was suggested charrette-type projects rest on a middle-class aesthetic; therefore, only a narrow, bourgeois worldview is extolled through discussions and outputs. Echoing the critique waged against New Urbanism and its trademark charrette, an aesthetic or 'mobile policy blueprints' are imposed rather than locally cultivated (Grant, 2005; Hunter, 2015; MacLeod, 2013, p. 2197). Participant F accuses activities of being deliberately exclusionary:

> To be even more critical, if you were to do a public participation exercise where a huge, big bunch of black kids turned up… it would scare the shit out of most people. So, you generate participatory events which ensure you don't get that. You look at times of day and in places where they never go. (Participant F, Private Practice Professional)

The deliberations in charrettes, and similar spaces, may subsequently remain relatively homogenous, and an implicit preference for what the built environment *should* look like and how it *should* be used is pre-determined. Issues of discontent may be raised. However, it was suggested, not often candidly with those suspected of causing the less desirable circumstance; and, normally framed by an objective to rid, clear or re-package as something more palatable (Participant E, Private Practice Professional). All of which, is a far cry from the early, 1960s R/UDAT projects that seemingly brought together people from either side of deep-rooted community divisions (see Chapter One for charrette history). However, Participant D is clear, charrettes are expected to be engaging with what is perceived to be the anti-social:

> If you've got a community with what's seen as a problem street, kids hanging about, that sort of thing. Speak to them. They're hanging about because they've got nothing to do, because their parents have alcohol problems or this or that. So, where's the space in the community where you can turn that negative thinking into a positive thing and what can you do to facilitate that? (Participant D, Scottish Government Representative)

Zygmunt Bauman metaphorically equated modernity to a gardening state: 'a desire to render the world orderly' (Bauman & May, 2019, p. 34), which leads to 'suppressing and excluding any individual or group that comes to symbolize disorder or ambivalence' (Marotta, 2002, p. 38). Miessen (2010, p 44) too complains social interactions have become numb, polite affairs where 'we are also suppose to be nice to each other' and indifference is all but eroded. Thus, discouraging involvement as participants pre-empt their views will likely be unfavourable. It may be too far a stretch to make a link between interviewee findings and Bauman's philosophical writings; however, a theme among several interviewees was formal spaces, such as the charrette, are invisibly framed by a search for the good society with little recognition of city-life realities where 'dirt, disorder, congestion, and even poverty' are ingrained (Grant, 2005, p 21).

The excerpts below were chosen so the reader can hear the interviewees' voices. Perhaps, Participant M's comments lend credence to the idea order is subtly intended:

> So, the assumption that underpins charrettes is that people should be gunning toward an essentially middle-class way of living, being and occupying space… So, I wonder whether there is something in the whole charrette process which is also about an imposition of a cultural narrative. There is an aesthetic to the architectural language that is used, to the models and drawings. (Participant F, Private Practice Professional)

> What you could do about events in the town square. Stuff like a programme of events to make it more like a… [the] kind of stuff where people say, fucking hipsters coming here and changing our rural economy into some kind of middle-class bloody fantasy world. (Participant U1, Private Practice Professional)

> Those people who aren't welcome there are usually the people who are part of a situation people perceive to be the problem. So, if you're not engaging with that group of people, it doesn't matter …I can get X amount of all the nice people in Darnley to come to a community meeting and moan about dog shit and all of that stuff but if I am not engaging with these people over there who are knocking down walls for a laugh, setting fire to cars and beating each other up for laugh then it doesn't really matter because they're going to keep doing that. (Participant E, Private Practice Professional)

> We're having these conversations where people are like "we want this garden to be a free open space", you know. Now on this derelict site there's people hanging out there, drinking there, they should still feel welcome when this garden is done… The people who say that are the first people when a group of local Asian youths turn up playing a bit of music and having a drink are like what the fu-uck?! (Participant E, Private Practice Professional)

> This is where I think the charrette processes that I have observed are very limited from the point of view of professionals engage in genuine diversity and conflict around our public spaces. If someone came into a workshop and said X, there would probably be from most facilitators, quite a shock and attempt to shut down those comments. People might be quite right to do that. I wonder if some local people instinctively know that kind of perspective, even though it's one that they hold, will not be welcomed in the kind of space that is created by a workshop. How much freedom to say what people really think do workshops create? (Participant A1, Scottish Charity Volunteer)

> It doesn't give you the space to have the uncomfortable discussion, but you haven't even invited people into that type of discussion. (Participant I, A+DS Representative)

> You're talking not just about the physical elements, like, would you feel safer if there wasn't so much vandalism? So, let's organise a street clear-up or you feel safer if there was better lighting or you might be having discussions such as well, what can we to divert young people from getting involved in trouble, so the social aspect of place as well. (Participant M, Scottish Government Representative)

Overall, whilst some interviewees spoke of best practice methods, almost in a criteria check-list sense, there was disagreement on what these activities achieve. Despite these nuanced

perspectives the overall commitment to social goals -such as local empowerment, capacity building and so forth- appears to be well embedded and shared. Normative principles among charrette advocates and its critics are therefore evident; but stark disagreement on the means to achieving betterment is also evident. Alongside Gaventa (2006), interviewees suggest the constructs of new, formal participatory activities still likely limit genuine inclusiveness and 'transformative potential'.

Chapter Six Conclusion

This chapter has shown the political and policy context that preceded and surrounded the advent of SSCI, The Charrette Series and subsequent mainstreaming of what has become a popular, and notably policy-approved, mechanism for citizen and stakeholder engagement. The charrette works well within its given policy context because it can seemingly meet several (often considered competing) policy objectives. A significant charrette-driver is the emphasis on community empowerment in Scotland. Its evolution into AI and later MP increasingly focussed on community-led outputs.

Unsurprisingly, broadening participation remains steadfast. Many DT professionals and clients are concerned with how to deliver meaningful involvement, which is often bundled within a discussion on procedural innovations to include as many from as far. There are quite a lot of expectations placed on the charrette and/or other design-led events as they fulfil policy obligations, identify community-led outputs, find ambassadors for deliverables, convene the right stakeholders, establish lines of communication, raise individual and/or collective capacities and solve the riddle of equitable participation. But the policy backdrop and 'inside', 'formal' nature signals the well-intentioned, benevolent rhetoric may be adopted for more instrumental means. Further, whilst some defend the contrived, artificial rendering of participatory activities, others are sceptical of claims these can result in any felt effects.

Chapter Seven: Application of CMP, AI and MP Projects

The preceding chapter introduces the CMP, AI and MP initiative. It set out its history, evolution and underpinning rationales. This chapter, alongside Appendix B describes its application to date, citing one hundred and ten charrette and/or community-led design projects supported by the Scottish Government between 2010 and 2018-19. A strong driver for Stage Two was to further develop charrette-evaluation methodology. Findings presented here are the substrate for the following chapter's *characteristics* and the charrette case-characterisation extension.

Much of this chapter relies on QGIS spatial analysis and directed content analysis of outputs, to help answer:

- Q3. How have successful CMP, AI and/or MP award recipients used their funding grants?

Independently, this chapter (and Appendix B) is an archive of CMP, AI and MP projects commissioned between 2010 to 2018-19. It becomes an important, early reference for any future evaluation by providing an audit trail, rudimentary project details and signposts for external sources. Additionally, this chapter discovers whether projects have worked in a) urban or rural communities and b) communities evidencing deprivation according to SIMD 16 (Overall) data.

7.1 Mapping CMP, AI and MP Projects

In the interest of readability, this chapter uses 'Glasgow City Council' and its sixteen projects as an example only. The remaining analysis is compiled in Appendix B. I have grouped CMP, AI and MP projects according to the local authority they place and not by the year they were commissioned. Projects place within twenty-seven (out of thirty-two) local authority boundaries across Scotland. One polycentric charrette commissioned by the independent Loch Lomond and the Trossachs National Park Authority [LLTNPA] straddles two service authorities: Argyll & Bute and Stirling. The project locations have been presented in their respective service authorities with a drawn LLTNPA boundary.

Just under half of all CMP, AI and MP projects (i.e., 51.5 out of 110) fall within five council areas: Glasgow City, Fife, City of Edinburgh, Highland and Argyll and Bute with 7.5 or more projects (see Table 25). There were no projects in Dundee City, Clackmannanshire, South Lanarkshire, Orkney Islands or Scottish Borders; despite the former three being among Scotland's top ten local authorities with the greatest Local Share of 20% most deprived datazones (i.e., ≥ 21% Local Share).

Table 26 shows local authorities ranked from lowest to highest (in terms of their Local Share of Scotland's 20% most deprived datazones) and the number of CMP, AI and/or MP projects awarded. I compiled data from SIMD 2016 (see Scottish Government, 2016c) with my own analysis, which shows -for example- Glasgow City Council has 48% Local Share of 20% most deprived datazones and sixteen projects. However, this should not be understood as the number of projects the council commissioned; rather it is the number of projects that place within that council's geographic boundary. Details on project commissioner can be found in the project annotations.

Understanding whether or not projects place within areas evidencing deprivation is important. Interview data in the previous chapter implied the CMP, AI and MP initiative may have unwittingly better served communities with fewer deprivation indicators than those showing greater need. Going forth, Scottish Government interviewees reasserted a commitment to addressing inequality by serving the most deprived communities.

At a broad level, findings indicate 31% of projects fall within Scotland's top ten local authorities with the greatest Local Share of 20% most deprived datazones (i.e., ≥ 21% and ≤ 48%, see Figure 18). The majority of projects (59%) are spread across fifteen local authorities that have a Local Share (of Scotland's 20% most deprived datazones) ≥ 6% and ≤ to 19%. The remaining 10% of projects fall in local authorities with a minimal Local Share i.e., ≤ 5% (see Figure 18). Overall, the majority of projects fall within authorities that lie outside of the top ten with the greatest Local Share (of Scotland's most deprived datazones).

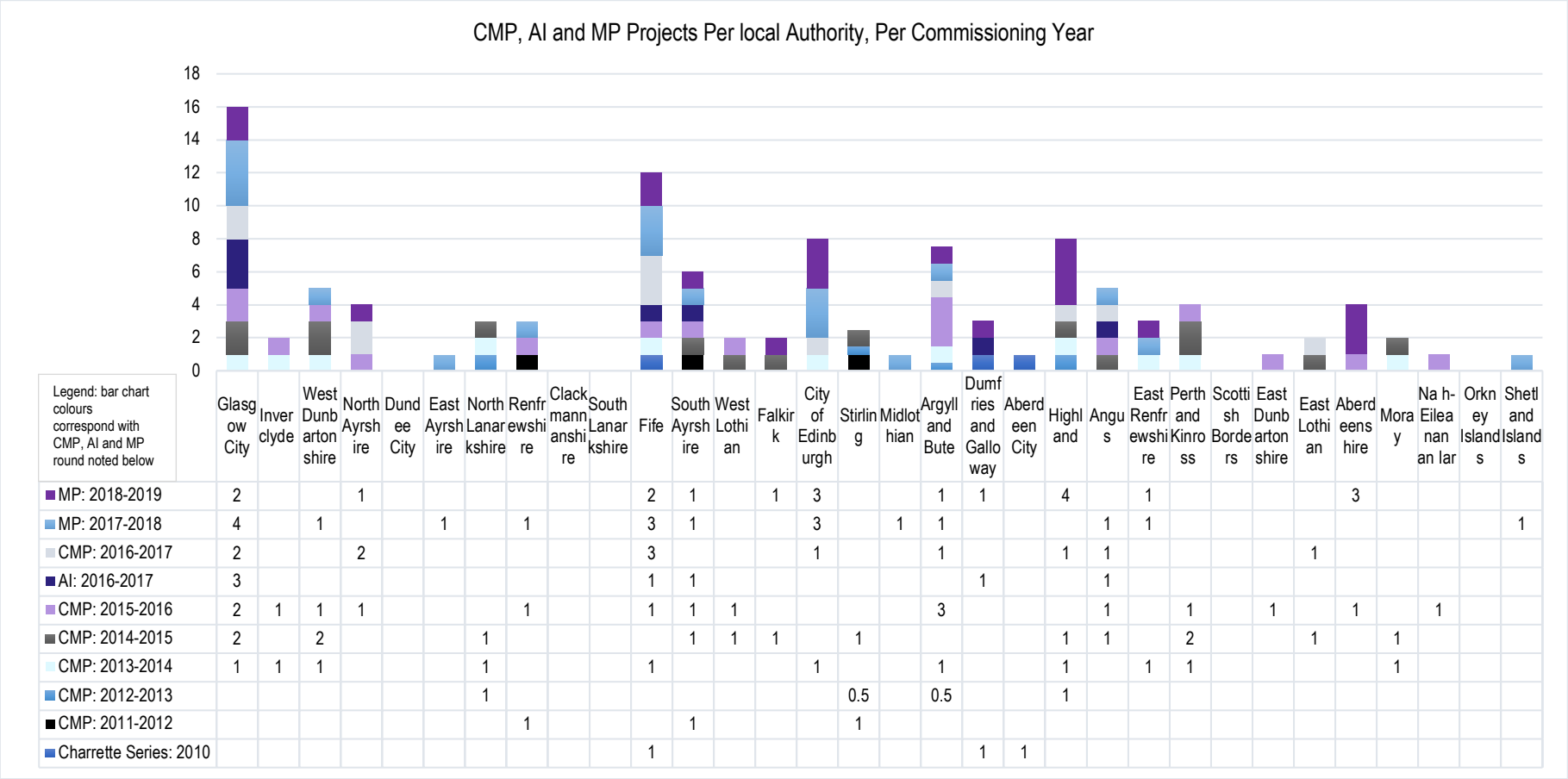


Table 25: CMP, AI and MP projects per council boundary and the year of the project

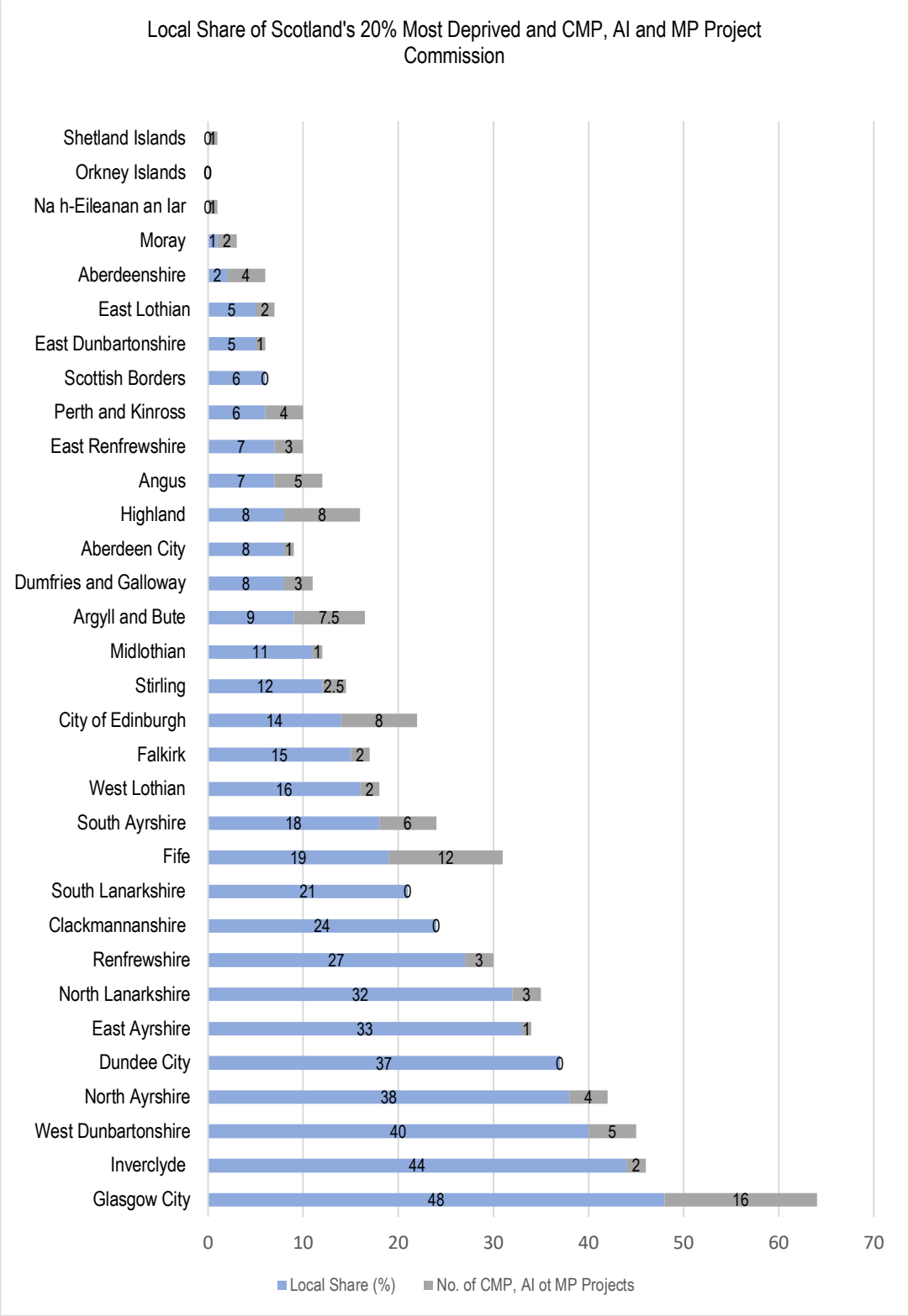


Table 26: Local Authority share of 20% most deprived datazones and share of either CMP, AI or MP projects.

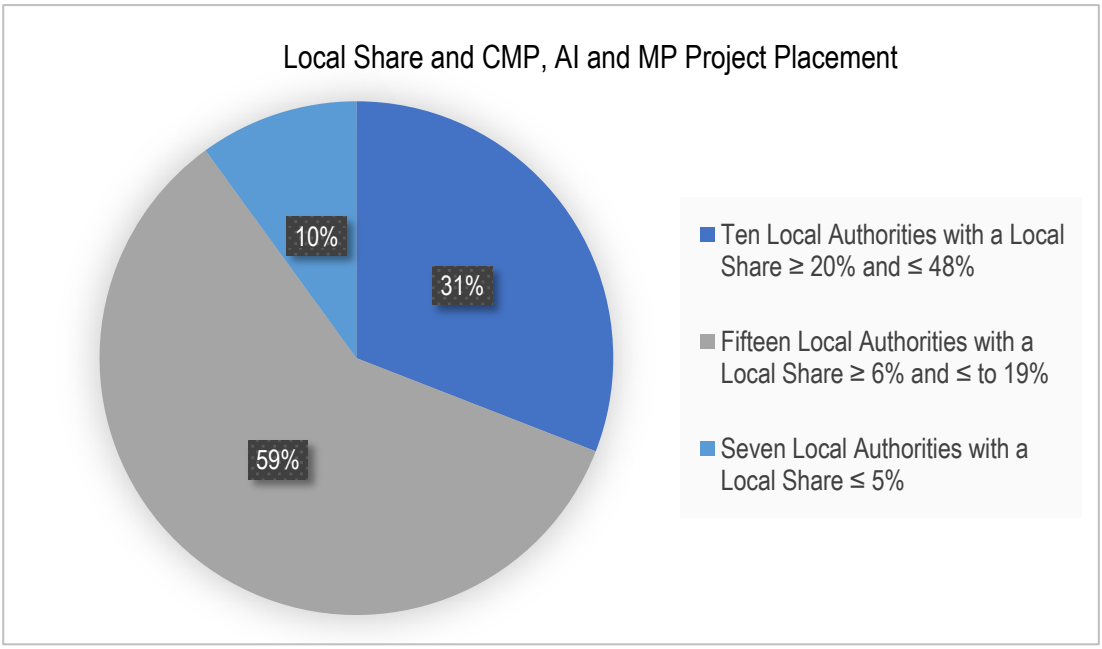


Figure 18: Project placement, local authorities 20% most deprives datazones

This discussion is broad, however. Below, and across Appendix B, a more in-depth analysis is presented, which shows whether projects commissioned (in authorities with less Local Share) place within first quintile datazone areas (i.e., ranked 1395 or below). At a glance, readers can see where projects place against a choropleth map ranking datazones generally by quintile or vigintile[32].

For example, East Dunbartonshire has a favourable ≤ 5% Local Share of Scotland's most deprived datazones. However, their one CMP project falls within an area of the authority that has poorer SIMD 16 (Overall) outcomes. Despite broad level findings showing the majority of projects work outside Scotland's authorities with the greatest Local Share (of Scotland's most deprived datazones), projects generally place in areas evidencing deprivation.

To summarise the in-depth visual analysis, 63% (i.e., 69 / 110) of projects work in areas with datazones in the first quintile (see Table 28). I derived this figure by mapping project boundaries -as described in CMP, AI or MP outputs- in QGIS 3.4. Boundaries were mapped as close as possible to output descriptions; however, if a boundary was difficult to delineate, I

[32] Scotland has been divided in 6,976 datazones: 1 is the most deprived, whilst 6,976 is the least deprived. Whilst legends accompany maps for better explanation, generally datazones have been ranked according to SIMD 16 (Overall) quintile and vigintile. The darker the shade, the poorer the SIMD 16 (Overall) ranking. On top, CMP, AI and MP project locations are mapped; thus showing, whether or not the initiative has worked in areas with poorer SIMD 16 (Overall) outcomes.

used a 1.5-kilometre centric ring to determine the general area of interest. If project boundaries included first quintile datazones the project was considered to have worked in an area evidencing deprivation. If the project boundary did not include first quintile datazones, it was considered to not have worked in an area evidencing deprivation.

Some projects work in areas evidencing greater need; for example, a higher concentration of low-ranking datazones or an area with datazones in the first decile (i.e., datazones ranked 1-697), compared to fewer low ranking datazones or those within the second decile (i.e., datazones ranked 698-1395). Fife is a good example of this nuance. Table 28 therefore provides a short explanation per local authority, given the statistics alone might provide a skewed description.

Nevertheless, and despite these nuances, this mapping exercise has been useful in revealing the number of projects working (generally) in areas with poorer SIMD 16 (Overall) outcomes, compared to those that have not. Forty-one (i.e., 37%) of projects did not have first quintile datazones within their boundary. Therefore, projects have more often than not worked in areas evidencing signs of deprivation. Although, it is not an overwhelming majority.

The same spatial analysis process also determined whether projects have typically worked in rural or urban areas. Using the Scottish Government's Six-Fold Urban Rural Classification, I found the majority of studies place in large and/or other urban areas, with a minority placing in accessible rural and/or remote rural communities. Table 27 and Figure 19 provide a breakdown.[33]

No. of Projects	64		29		22	
Total Breakdown	19 Large Urban Areas	45 Other Urban Areas	16 Accessible Small Towns	13 Remote Small Towns	6 Accessible Rural	16 Remote Rural
Urban / Rural Classification	U/R 1	U/R 2	U/R 3	U/R 4	U/R 5	U/R 6

Table 27: Project placement in urban / rural areas.

[33] It should be noted the total number of projects in this table and figure does not equal 110 because several projects were polycentric; therefore, covered several sites.

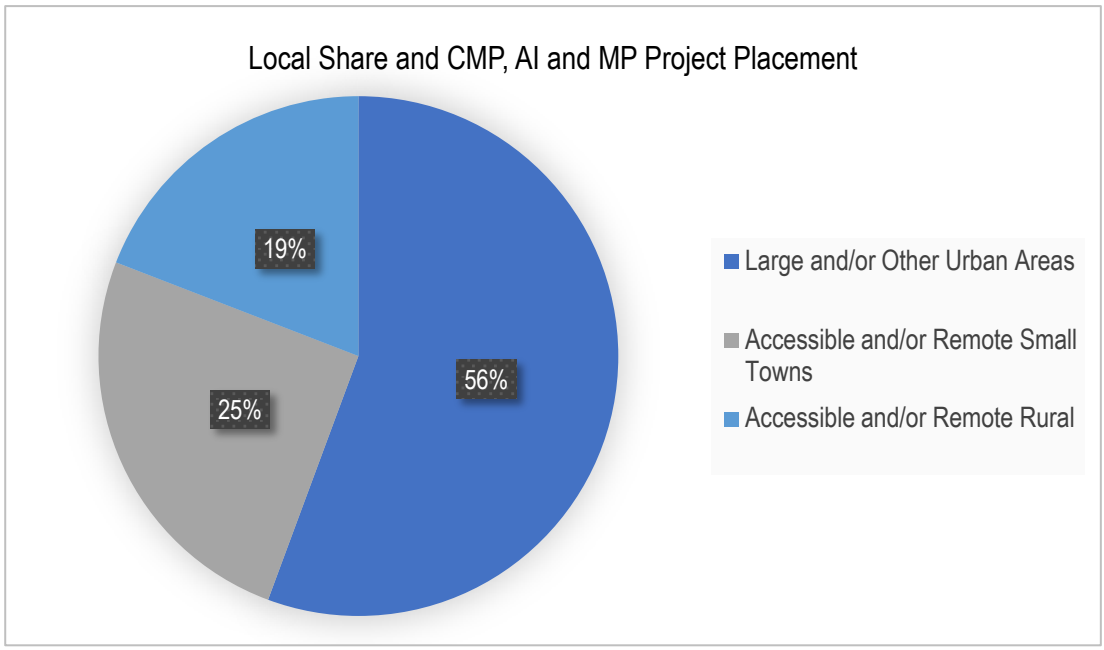


Figure 19: Project placement according to urban / rural classification.

Before readers move on to reviewing projects grouped by local authority, Table 29 describes the type of information gleaned from each project. I endeavoured to answer Stage Two's Question Three (i.e., *how have successful CMP, AI and/or MP award recipients used their funding grants?*) and gather the same amount of data per project. Therefore, eight fields were used to guide data collection. If you are interested in reading more about a particular project or local authority outside Glasgow City Council, please refer to Appendix B.

Local Authority	Projects in First Quintile Datazones	Projects with No First Quintile Datazones	Description
Glasgow City	16		All project boundaries include first quintile datazones.
Inverclyde	2		Both project boundaries include first quintile datazones.
West Dunbartonshire	3	2	Majority of projects place in first quintile datazones; authority has other areas evidencing deprivation not included in CMP, AI or MP.
North Ayrshire	3	1	Majority of projects place in first quintile datazones; authority has other areas evidencing deprivation not included in CMP, AI or MP.
East Ayrshire	1		Project boundary includes first quintile datazones; although, authority's most deprived datazones lie elsewhere.
North Lanarkshire	2	1	Majority of projects place in first quintile datazones; authority has other areas evidencing deprivation not included in CMP, AI or MP.
Renfrewshire	2	1	Majority place in first quintile datazones; Erskine is the exception. Authority has other areas evidencing deprivation not included in CMP, AI or MP.
Fife	8	4	Four projects work in Fife's worst ranked datazones; four project boundaries show *some* sign of deprivation. Authority has other areas evidencing deprivation not included in CMP, AI or MP.
South Ayrshire	4	2	All areas with first quintile datazones had CMP, AI or MP projects; Prestwick, with no first quintile datazones, had two rounds of funding.
West Lothian	2		The CPP identifies eight localities; both projects work within areas with first quintile datazones.
Falkirk	2		Both project boundaries include first quintile datazones.
City of Edinburgh	5	3	Five projects work in areas with first quintile datazones. Authority has other areas evidencing deprivation not included in CMP, AI or MP.
Stirling		3.5	First quintile datazones are found in and around Stirling city; neither of the 3.5 projects worked in these areas.
Midlothian	1		Project falls within area with first quintile datazones; authority has other areas with lower or similarly ranked datazones not included in CMP, AI and MP.
Argyll and Bute	3	4.5	Projects place within authority's worst ranking datazone areas; others have no first quintile datazones. Authority has other areas evidencing deprivation not included in CMP, AI or MP.
Dumfries & Galloway	1	2	Only AI project had first quintile datazones. Authority has other areas evidencing deprivation not included in CMP, AI or MP.

Local Authority	Projects in First Quintile Datazones	Projects with No First Quintile Datazones	Description
Aberdeen City		1	Project did not fall into any of Aberdeen City's first quintile datazones.
Highland	3	5	Most projects do not have first quintile datazones; although, authority has areas evidencing deprivation not included in CMP, AI or MP.
Angus	2	3	Only Arbroath, with two projects, had first quintile datazones. Council self-commissioned projects for other settlements with first quintile datazones (i.e. not part of CMP, AI or MP).
East Renfrewshire	3		All three projects place within areas with first quintile datazones.
Perth & Kinross	3	1	First quintile datazones found in Perth city and Blairgowrie & Rattray. A polycentric project did not consider areas with datazones ≤ 1395
East Dunbartonshire	1		Authority's worst ranked datazone falls within Kirkintilloch; nevertheless, project did fall into another area with a first quintile datazone.
East Lothian	1	1	One project placed within an area with first quintile datazones. Authority has other areas evidencing deprivation not included in CMP, AI or MP.
Aberdeenshire	1	3	First quintile datazones found in Peterhead and Fraserburgh. Excluding Peterhead, projects fell into rural areas with no first quintile datazones.
Moray		1	Moray's only first quintile datazone lies further south of the project's area of interest.
Na h-Eileanan an Iar		1	No first quintile datazones in authority.
Shetland Islands		1	No first quintile datazones in authority.
Total Number:	**69**	**41**	
Total Percentage:	**63%**	**37%**	

Table 28: Project placement in areas with first quintile datazones.

Data Field	Project-Annotation Content Description
Client Team (CT)	This field describes who is responsible for CMP, AI or MP project initiation. Where possible, the primary project proposer is listed alongside details of those with a supporting role or financial contribution. To limit redundancy, the Scottish Government is not listed in this field; however, it should be noted every CMP, AI or MP project received financial support from the Scottish Government thus making national government an implicit CT member.
Design Team (DT)	Most often the CT procured professional services to design, manage, facilitate and report on CMP, AI or MP project. A DT is commonly comprised of a lead with assistance from subconsultants. Where possible, this distinction has been made in the list of DT members.
Urban / Rural	A central project location was geo-located using QGIS 3.4 and Scotland's Urban / Rural 6-Fold classification was superimposed to understand if the CMP, AI or MP project placed within urban or rural settlement-types.
Study Area	Projects vary in size; whilst some focussed on a single architectural plan (for example, Kirriemuir 2017-18) others considered local-authority wide policies (for example, North Lanarkshire 2013-14). A description of the study area tries to define the project's geographic remit.
Focus	With reference (where possible) to CMP, AI or MP outputs, a description of the project's primary task and wider ambition is succinctly summarised. This field essentially answers, *what was the project commissioned to do?*
Planning Relation	As described earlier, the first CMP project outputs were used in either town centre regeneration or LDP preparation. With the advent of community-led initiatives, some projects appear distinctly independent from statutory planning or acting on policy recommendation[34] (for example, Portobello 2017-18). However, others still state an intended link. Therefore, 'planning relation' attempts to describe a project's relation to statutory planning processes, or its intended use elsewhere.
Post Project	Where possible, details have been included regarding the project's progression. However, information is limited, especially projects commissioned in recent years.
Format	Despite the NCI and a recognised 'NCI Charrette System' the format has often varied but with similarities in overall approach to CMP, AI or MP delivery. This field describes, in short, process details referencing methods used in consultation sessions.
References	Many outputs following CMP, AI or MP project completion have been made publicly available. Instances where official material was lacking, personal communications, local news or social media platforms have been cited. With personal communications omitted, this reference list provides an inventory of referenceable material and a good starting point for M&E.

Table 29: Describes CMP, AI or MP project-bio content.

[34] Many outputs describe their project's relevant policy context. For the purposes of this research, 'planning relation' is not used to describe the CMP, AI or MP project's local and/or regional policy context. A description can be found in many of the reports / outputs. Instead, this field intends to decipher whether or not project outputs are intended to inform or were commissioned in response to policy recommendations.

7.1.1 Glasgow City

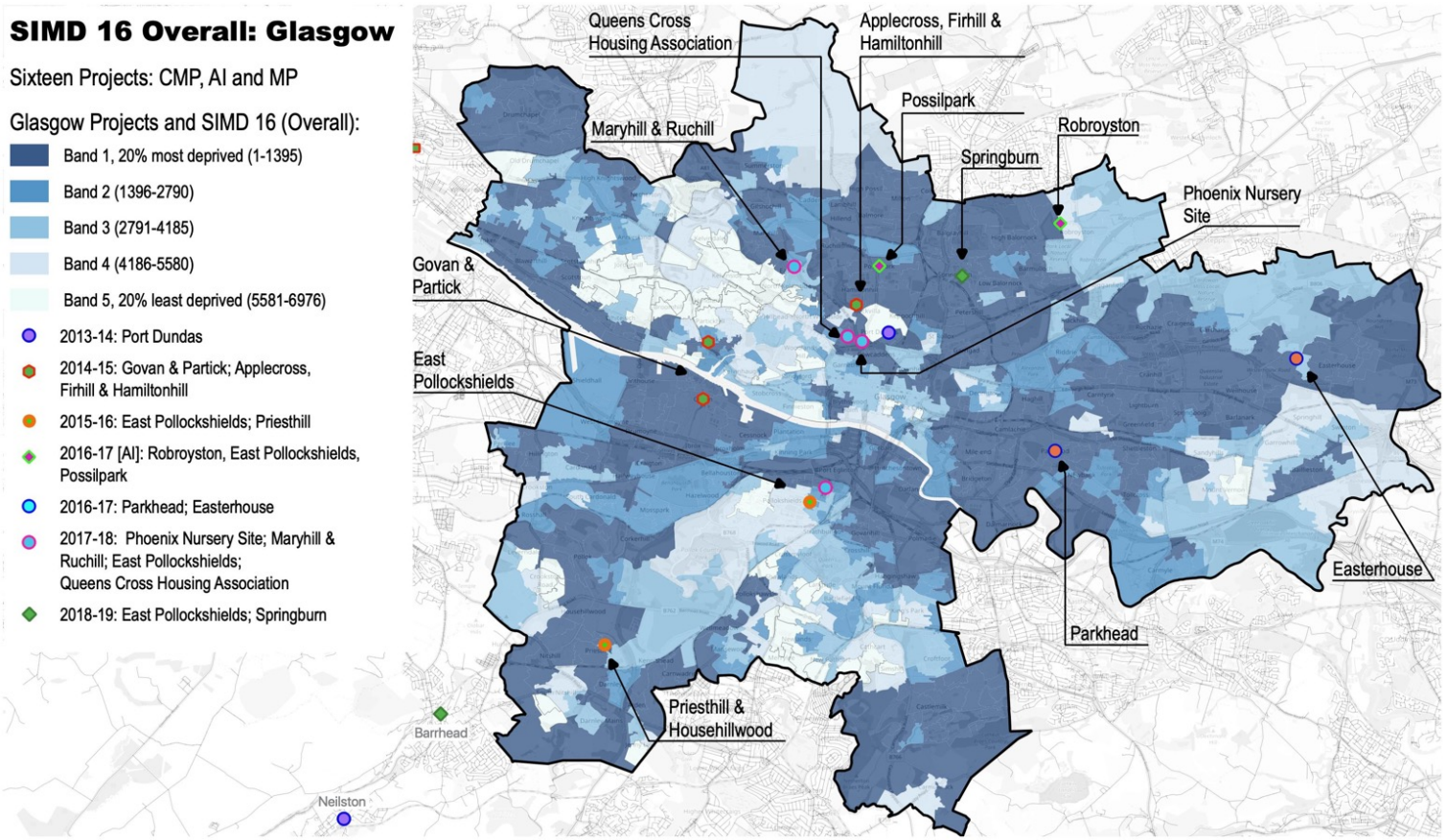
Glasgow City is predominantly a large urban area (Figure 20) and has the highest Local Share of Scotland's 20% most deprived datazones, at 48%. It has the highest concentration of CMP, AI and MP projects compared to any other local authority boundary with sixteen projects (i.e., 14.5% of all CMP, AI or MP projects); Highland, with eight projects, has the second highest concentration. Projects all work within first (most deprived) quintile areas i.e., where datazones are ranked between 1-1395 (Figures 20 and 21). Projects place in Govan, Easterhouse, Port Dundas, Parkhead and Springburn: areas which SIMD 2016 identify as having 'deep rooted deprivation' i.e. datazones that have consistently remained in the most deprived vigintile (i.e. ranked between 1-348) since SIMD 2004 (Scottish Government, 2016a).

Data indicates projects have concentrated on areas of disadvantage; whilst Glasgow City's fifth quintile areas (i.e., least deprived datazones ranked 5580-6976) such as Jordanhill, Kelvinside, Langside, Newlands and Cathcart have not been involved in the initiative.

	Urban / Rural						Signs of deprivation according to SIMD 16 (Overall)?
	1	2	3	4	5	6	
Port Dundas	✓						*Yes.* Identified by SIMD 16 as an area of deep-rooted deprivation.
Govan & Partick	✓						*Yes.* Govan, south of the River Clyde, has been identified as an area of deep-rooted deprivation. Partick's datazones are mixed with first, second, third, fourth and fifth quintiles in a 1-kilometre boundary from Partick Central railway station.
Applecross, Firhill & Hamiltonhill	✓						*Yes.* The majority of the defined study boundary is characterised by first quintile datazones. Firhill has been identified by SIMD 16 as an area with deep-rooted deprivation.
Priesthill & Househillwood	✓						*Yes.* The majority of the defined study boundary is characterised by first quintile datazones. Nitshill has been identified by SIMD 16 as an area with deep-rooted deprivation.
Robroyston					✓		*Yes.* Glasgow neighbourhoods north-west and south-west of study area are characterised by first quintile datazones; some are within the 5% most deprived bracket. Neighbourhoods east of study area, leading to East Dunbartonshire, are largely third and fourth quintile datazones.
Possilpark	✓						*Yes.* The majority of the defined study boundary is characterised by first quintile datazones. Firhill has been identified by SIMD 16 as an area with deep-rooted deprivation.
Parkhead	✓						*Yes.* The study area is characterised by first quintile datazones. Parkhead East and West have been identified by SIMD 16 as areas of deep-rooted deprivation.

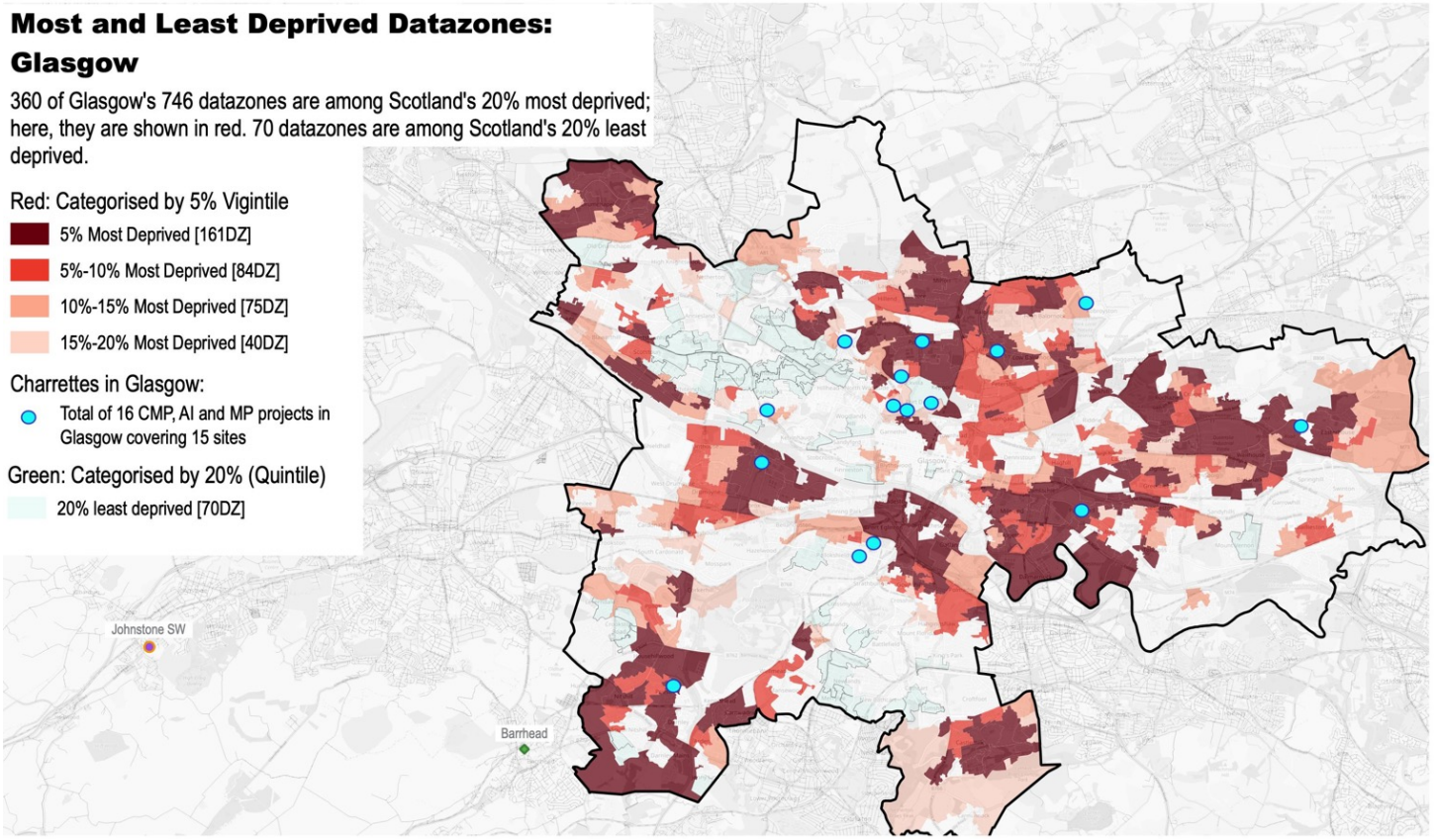
	Urban / Rural						Signs of deprivation according to SIMD 16 (Overall)?
	1	2	3	4	5	6	
Easterhouse	✓						Yes. Study area is largely characterised by first quintile datazones. Central and South Easterhouse have been identified as areas of deep-rooted deprivation by SIMD 2016.
Phoenix Nursery Site	✓						*Yes.* Close to Port Dundas, this site is within an area of first quintile datazones.
Maryhill & Ruchill	✓						*Yes.* Arterial roads considered pass through areas of first, second and third quintile datazones. Bisland Drive falls predominantly into first quintile datazones.
East Pollokshields	✓						*Yes.* Study area is mixed with datazones predominantly from first, second and third quintiles. West Pollokshields is markedly different with fourth and fifth quintile datazones.
QCHA	✓						*Yes.* Study area is defined by predominantly first and one second quintile datazone.
Springburn	✓						*Yes.* Study area falls within first quintile datazones. Springburn has been identified by SIMD 16 as an area with deep-rooted deprivation.

Table 30: Glasgow signs of deprivation according to SIMD 16



Scale 1:200000

Figure 20: Glasgow City local authority boundary



Scale 1:200000

Figure 21: Glasgow City's most and least deprived datazones

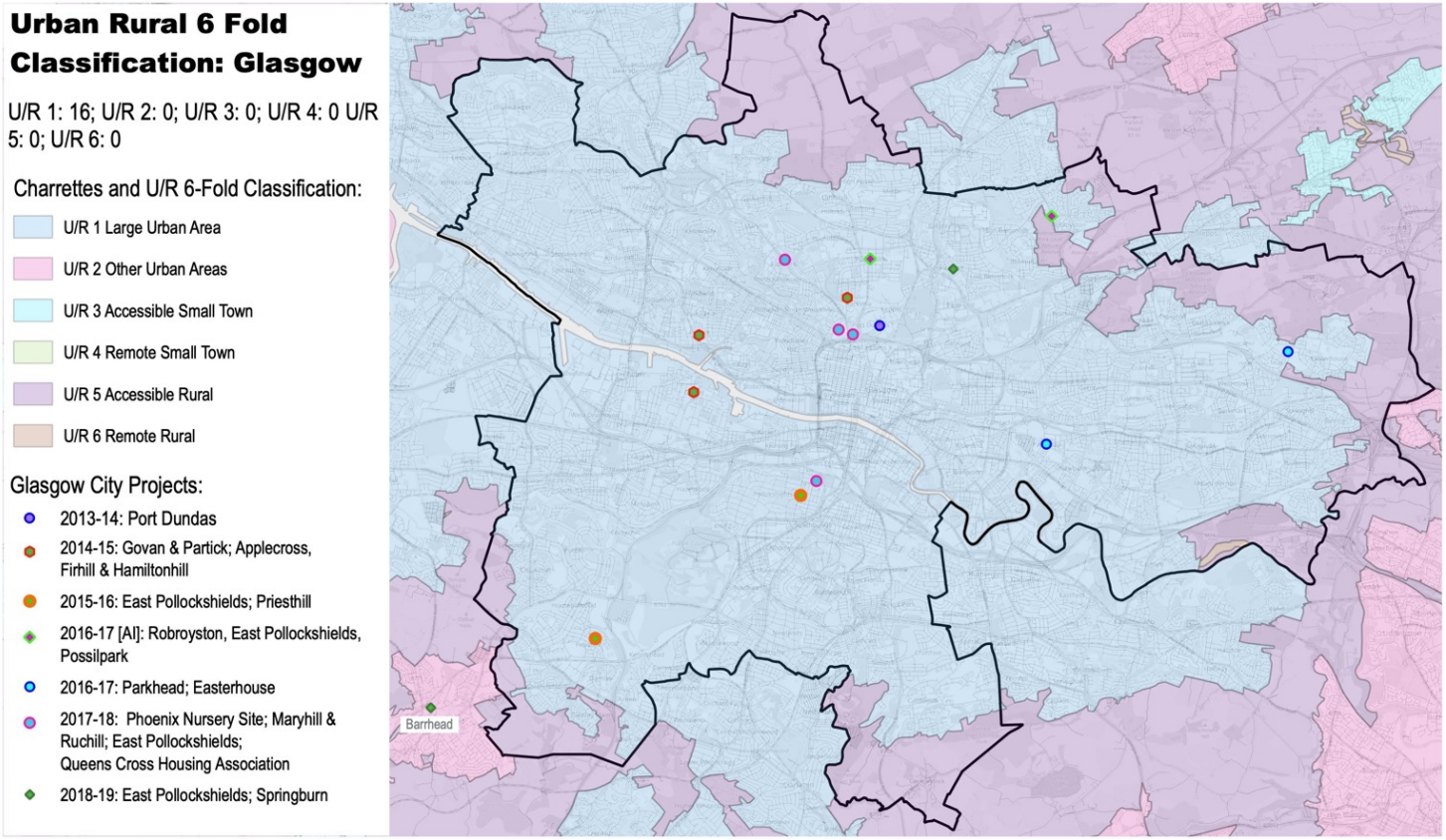


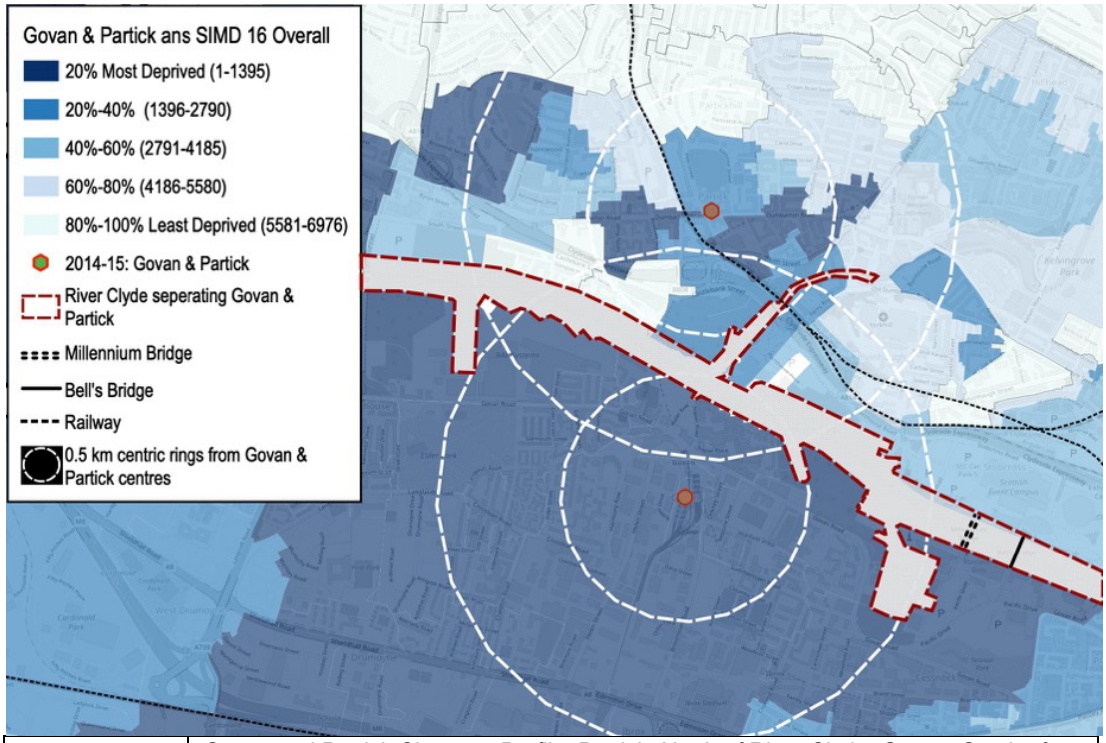
Figure 22: Glasgow categorised using Urban / Rural 6-Fold Classification.

7.1.1.1 Port Dundas, 2013-14

Description	Port Dundas area profile using SIMD 16 (Overall). Scale 1: 20000
Client Team:	Scottish Canals and Glasgow City Council.
Design Team:	Kevin Murray Associates, Peter Brett Associates, Willie Miller Urban Design, Benton Scott-Simmons, Turner Townsend
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Port Dundas; an area of North Glasgow.
Focus:	Intended output was a 'Port Dundas Development Framework' for this area of North Glasgow. Output states it is not a 'detailed masterplan'.
Planning Relation:	A Glasgow's Canals Partnership workshop in 2013 identified this study area as a regeneration priority. Outputs are intended to inform Glasgow City Council's Supplementary Guidance for the Port Dundas area, under the new City Development Plan (Kevin Murray Associates et al, 2014, p. 5)
Post Project:	Charrettes in Applecross, Firhill & Hamiltonhill (2014-15) and Port Dundas (2013-14) have led to the 'preparation of the Canal Hamiltonhill Development Framework' (Glasgow Community Planning Partnership, n.d., p. 17)
Format:	Described as a two-stage process. Stage one: three consecutive days (March 12th – 14th 2014), which included a ministerial address, presentations, a walkabout, scenario planning workshops, technical / plenary discussions and an exhibition. Stage two: April 24th, targeted sessions with presentations.
References:	(Glasgow Community Planning Partnership, n.d.; Kevin Murray Associates, Peter Brett Associates, et al., 2014)

Figure 23: Port Dundas area profile

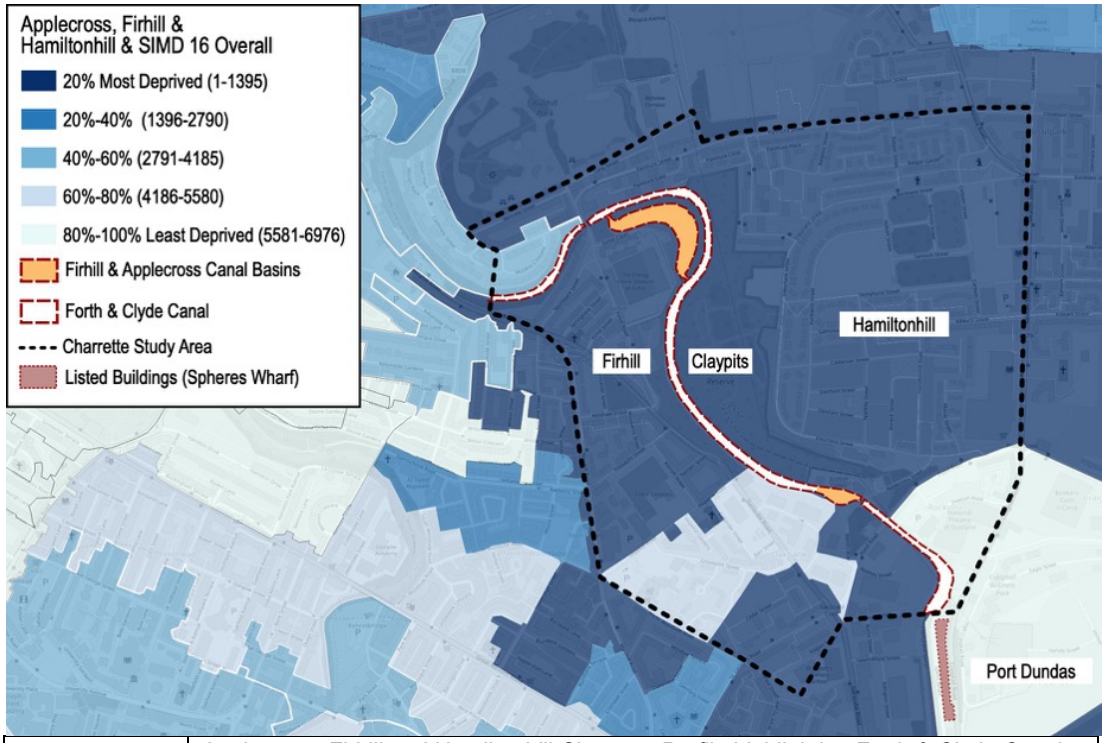
7.1.1.2 Govan & Partick, 2014-15



Description	Govan and Partick Charrette Profile. Partick, North of River Clyde; Govan, South of River Clyde. Scale 1: 50000
Client	Glasgow City Council with financial support from Glasgow Housing Association.
Design Team	Barton Wilmore (lead).
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Primary study areas included Govan and Partick; however, not in isolation of wider environs. West End, Finnieston, Ibrox and Elderpark communities were also considered. Output describes study areas as 'large and complex' (Barton Wilmore, 2015, p.12).
Focus:	Charrette is the first step 'towards the implementation a Strategic Development Framework, which will be a spatial planning policy to coordinate and guide area's regeneration' (Barton Wilmore, 2015, p. 2)
Planning Relation:	Outputs to inform the preparation of Strategic Development Framework: 'Glasgow City Council has identified the need for a Strategic Development Framework (SDF) to be developed, in support of Glasgow's City Development Plan… The Govan and Partick charrette was the first step in this process'.
Post Project:	--
Format:	Project duration, February-May 2015. Pre-charrette activities (21st February – March 10th) included website and social media campaign, on-street Gazebo days, school workshops, targeted stakeholder / themed workshops and meetings. Charrette activities (March 16th – 19th 2015) at Riverside Museum included walkabouts, presentations, themed workshops and drop-in sessions.
References:	(Barton Wilmore, 2015)

Figure 24: Govan and Partick Charrette

7.1.1.3 Applecross, Firhill & Hamiltonhill, 2014-15



Description	Applecross, Firhill and Hamiltonhill Charrette Profile highlighting Forth & Clyde Canal and relation to Port Dundas. Scale 1: 30000
Client	The Glasgow Canal Regeneration Partnership (GCRP), which is a collective including Scottish Canals (SC), Glasgow City Council (GCC) and BIGG Regeneration. GCC's Vacant and Derelict Land Fund supported this CMP project; the project's study area included land identified as 'Vacant and Derelict'.
Design Team	LUC and LDN Architects (lead); Kevin Murray Associates, Matt Baker (subconsultants). Commissioned separately: AECOM & Envirocentre to provide engineering / environmental support; second, Peter Brett Associates to provide socio-economic support. Collective Architecture were additional partners; however, worked on a separate commission and masterplan for 'residential development' in Hamiltonhill.
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Two areas of study: the above figure shows the 'development framework study area'; whilst a narrower area within this boundary had been identified as the 'canal corridor masterplan boundary'. The masterplan study area had been identified as 'Vacant and Derelict Land' (LUC et al., 2016, Fig. 1.1).
Focus:	The CMP project intended to create a shared vision for the study area. Intended outputs included a spatial development framework and masterplan for the respective study areas. Additionally, AECOM prepared a Baseline Report.
Planning Relation:	The GCRP Action Plan (2014) had identified the area between Applecross and Firhill Basin as having regeneration potential. Output suggests post-project intention is to submit 'preferred proposals' in masterplan for 'Planning Permission in Principle in 2016'. Applecross-Firhill basins is one of four areas identified in the GCRP Action Plan 2014.
Post Project:	Charrettes in Applecross, Firhill & Hamiltonhill (2014-15) and Port Dundas (2013-14) have led to the 'preparation of the Canal Hamiltonhill Development Framework'. In addition, AI project (Possilpark, 2016-17) follows-up on projects identified in this charrette (Realm, 2016)

Format:	Charrette HQ: Partick Thistle's Firhill Stadium. Consecutive four-day format: Wednesday February 4th – Saturday 7th February 2015. One satellite event in Possilpark, Friday February 5th. Pre-charrette: venue secured, event programming, social media presence, communication strategy, stakeholder contact and their promotional assistance. Charrette activities included presentations, walkabouts, scenario workshops, technical sessions, an arts outreach programme and exhibition.
References:	(Glasgow Community Planning Partnership, n.d., p. 17; LUC et al., 2016; Realm, 2016)

Figure 25: Applecross, Firhill and Hamiltonhill Charrette

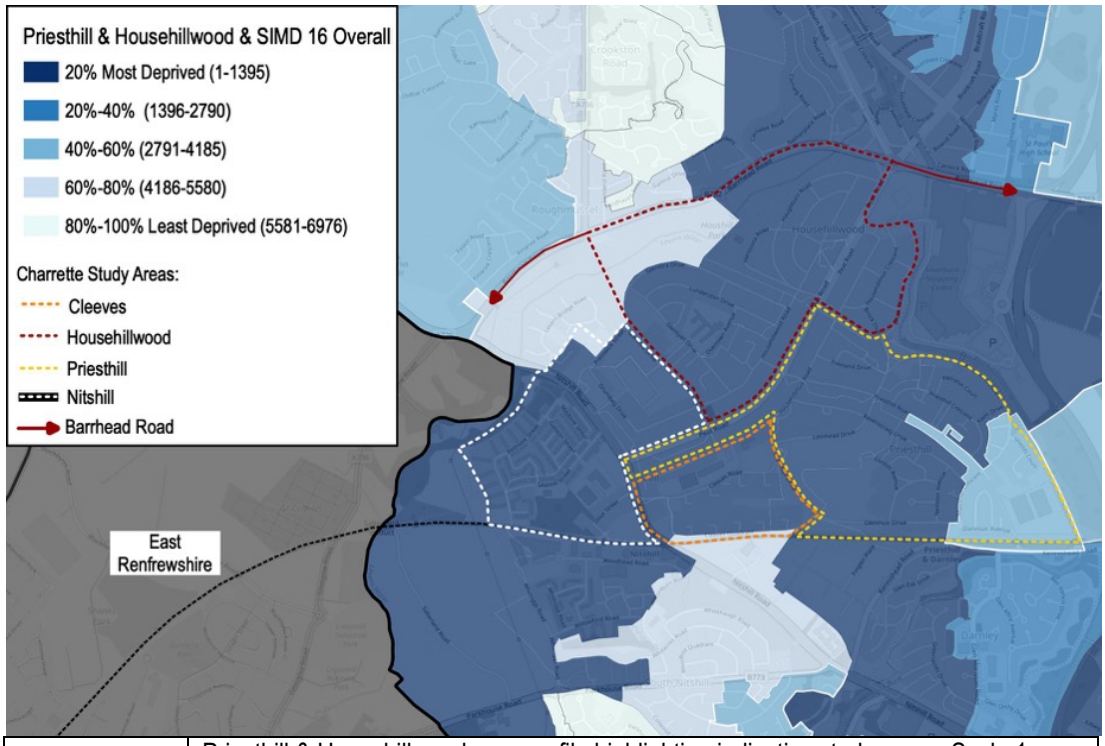
7.1.1.4 East Pollokshields, 2015-16 [CMP]; 2016-2017 [AI]

Description	East Pollokshields area profile highlighting the indicative study boundary and rail networks. Scale 1: 3300
Client	CMP: Pollokshields Community Council (PCC); AI: Pollokshields Trust i.e. newly formed community anchor organisation.
Design Team	CMP: Collective Architecture (lead); Dress for the Weather, Land Use Consultants, Ryden, Community Links and AECOM
Urban / Rural:	Large urban area, U/R 1.
Study Area:	CMP: East Pollokshields (in its entirety) including parts of Port Eglington and Strathbungo; AI: reviewed projects that had been identified in the 'Make Your Mark' charrette study area.
Focus:	CMP: addressing the stalled study (see below), the charrettes aimed to develop a shared vision and masterplan to provide guidance on future development; AI: funding was used to appoint a Community Development Manager to review charrette findings and priority projects.
Planning Relation:	Glasgow City Council's City Plan 2 identified the area in need of targeted planning action. Work stalled on this study in 2008; the CMP project, aimed to complete the East Pollokshields and Port Eglington Planning Study. Project commissioners anticipated to formalise CMP outputs through their adoption as Supplementary Planning Guidance. However, this was not realised post-charrette.

Post-Charrette:	MP funding secured to progress charrette identified project: see 'Mark Makers: A Pollokshields Trust Project'
Format:	A seven consecutive day format adopted with on-street mobile engagement and targeted meetings (21st -23rd February) preceding a series of presentations and themed workshop sessions (25th – 26th February 2016) held at charrette HQ (553 Shields Road). A publicity campaign (of flyers, social media presence and recruiting 'charrette champions') promoted participatory event. Charrette closed (20th March 2016) with a report back session and ministerial address.
References:	(Participant O, GCHT Representative, 2018; Murphy, 2018; MP Respondent 8, personal communication, 2019)

Figure 26: East Pollokshields area

7.1.1.5 Priesthill & Household Household, 2015-16

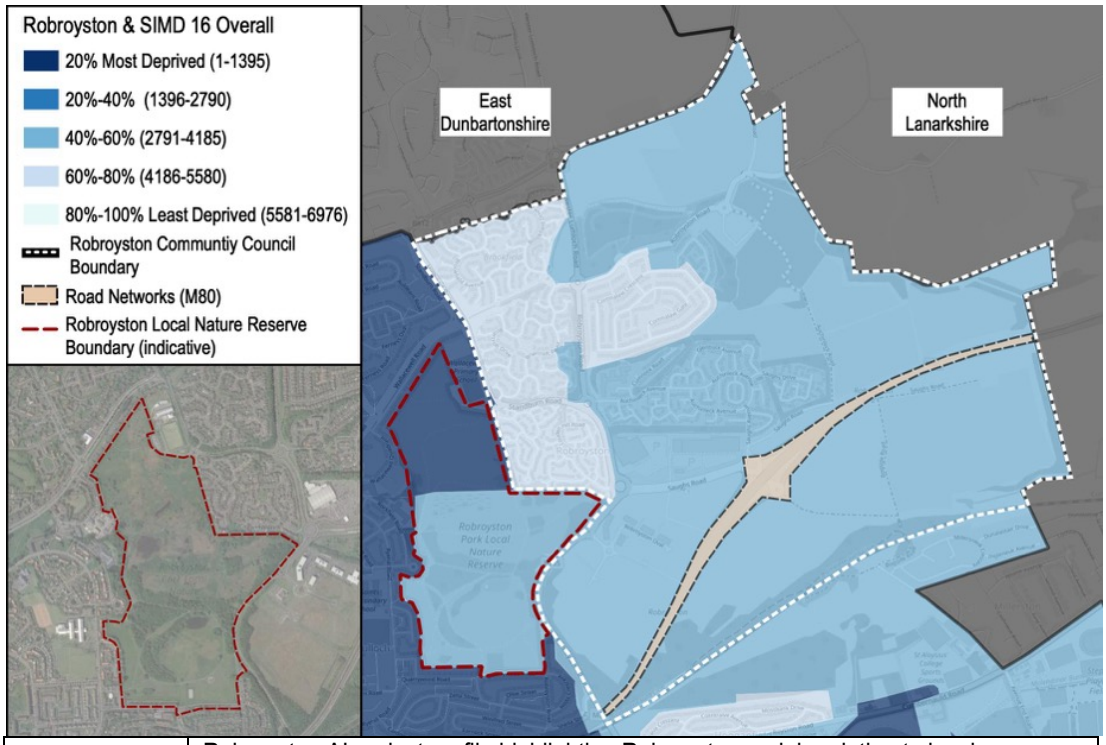


Description	Priesthill & Household area profile highlighting indicative study areas. Scale 1: 45000
Client	Priesthill & Household Neighbourhood Forum
Design Team	WAVE*particle*
Urban / Rural:	Large urban area, U/R 1
Study Area:	Priesthill, Household, Nitshill and Cleeves (see above).
Focus:	To deliver a community appraisal, which explored residents' likes, dislikes and future aspirations.
Planning Relation:	The Community Empowerment (Scotland) Act 2015 requires Community Planning Partnerships to produce a LP. This consultation contributed to Priesthill & Household LP i.e., Thriving Place
Post Project:	--
Format:	--

References:	(Participant C, Scottish Government Representative, 2017; Glasgow Community Planning Partnership, 2017 ; Khan, n.d.)

Figure 27: Priesthill & Househillwood area profile

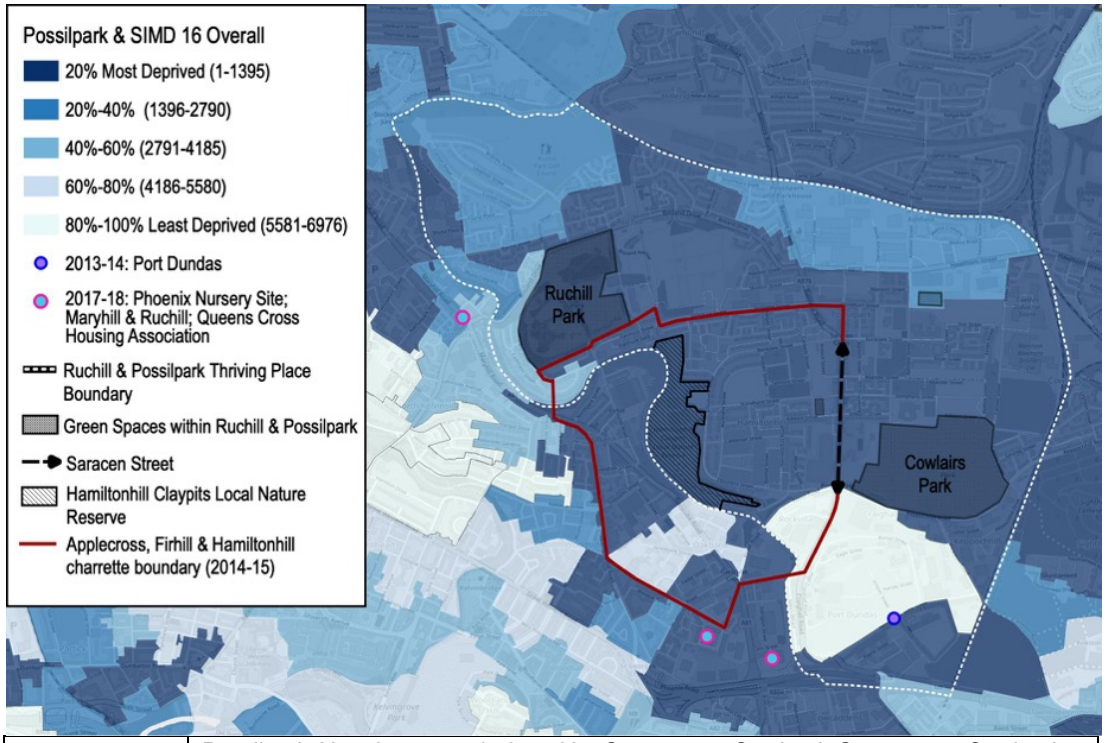
7.1.1.6 Robroyston, 2016-17 [AI]



Description	Robroyston AI project profile highlighting Robroyston park in relation to local Community Council boundary. RHS Scale 1: 47000; LHS Scale 1: 50000
Client	Barmulloch Community Development Company Ltd (BCDC)
Design Team	--
Urban / Rural:	Accessible rural, U/R 5
Study Area:	Robroyston Park Local Nature Reserve
Focus:	Scottish Government AI supported a feasibility study for Robroyston Park (Barmulloch Community Development Company Ltd., 2016-2017, p. 11)
Planning Relation:	BCDC previously secured funding and delivered several Robroyston Park projects. An Options Study, published by BCDC in 2016, identified the AI fund as a possible funding stream to pursue (Barmulloch Community Development Company Ltd., 2016, p. 66).
Post-Charrette:	--
Format:	--
References:	(Barmulloch Community Development Company Ltd., 2016, 2016-2017)

Figure 28: Robroyston AI project profile

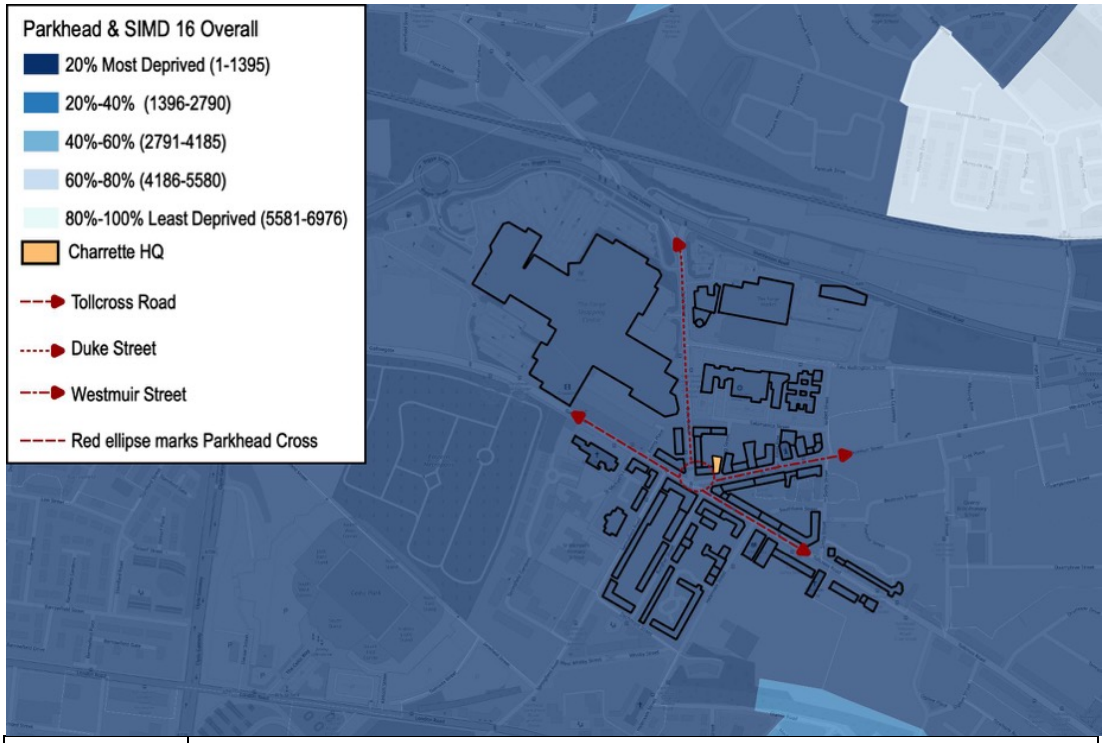
7.1.1.7 Possilpark, 2016-17 [AI]



Description	Possilpark AI project commissioned by Greenspace Scotland. Greenspace Scotland kept the project boundary from the earlier Applecross, Firhill & Hamiltonhill charrette (2014-15), which is marked in a red outline above. Scale 1: 55000
Client	Greenspace Scotland and Friends of Possilpark Greenspace (FoPG)
Design Team	Output suggests project proposers managed and facilitated AI project: a) FoPG responsible for continued project 'scoping' indicating their involvement in project's process stage, b) placemaking workshops were facilitated using 'Greenspace Scotland's community Placemaking approach'.
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Project commissioners kept the project boundary defined in the earlier Applecross, Firhill & Hamiltonhill charrette (2014-15).
Focus:	To better understand how to sustain a local arts community in the area and how to 'embed public and environmental art in the heart of local regeneration' (MP Respondent 12, personal communication, 2019).
Planning Relation:	Project stems from earlier placemaking activities, including the Applecross, Firhill and Hamiltonhill charrette (2014-2015). The report identifies its audience base stating output will be circulated as a 'working resource to be adapted and used' as required (MP Respondent 12, personal communication, 2019).
Post-Charrette:	--
Format:	Project duration, January - February 2017. Process included: desk-based research and scoping (to be continued by FoPG), community placemaking workshops (held in Hamiltonhill / Possilpark; Ruchill and Firhill), technical workshop and public feedback event.
References:	(MP Respondent 12, personal communication, 2019).

Figure 29: Possilpark AI project

7.1.1.8 Parkhead, 2016-17



Description	Parkhead area profile highlighting main study area. Scale 1: 19500
Client	Parkhead Housing Association (PHA, lead client) with Glasgow City Council (GCC) and Thriving Places support.
Design Team	Pidgin Perfect (lead); Stallan Brand Architects, Patricia Fleming Projects, Pioneer Landscape Architecture and Uncommon (subconsultants).
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Study area was primarily 'Town Centre of Parkhead, including Parkhead Cross, The Forge Market, Parkhead Hospital and The Forge Shopping Centre, as well as high street shops and some residential properties above first floor level'.
Focus:	Brief was to deliver a 'meaningful and creative programme of engagement and empowerment for a diverse range of stakeholders' (Glasgow City Council, 2017, p 26) and produce a 'clear set of actions / plan which will' contribute to the Parkhead Town Centre Action Plan.
Planning Relation:	Project aimed to 'progress a quality town centre' in line with relevant policies and guidance.
Post Project:	PHA are committed to Pick Parkhead outcomes and will 'seek its implementation over the coming years' (Parkhead Housing Association Ltd., 2018, p. 4)
Format:	Pre-charrette activities included meetings, desk-based research, site visits, on-street engagement, social media presence, local-event attendance and online survey using video, iconography and visuals to maximise participation from every demographic. Charrette activities included drop-in sessions, light lunch open discussions, themed workshops and creative / visioning activities. Consecutive format: Thursday 15th – Saturday 18th June 2017.
References:	(Parkhead Housing Association Ltd., 2018; Participant T1, Private Practice Professional, 2018)

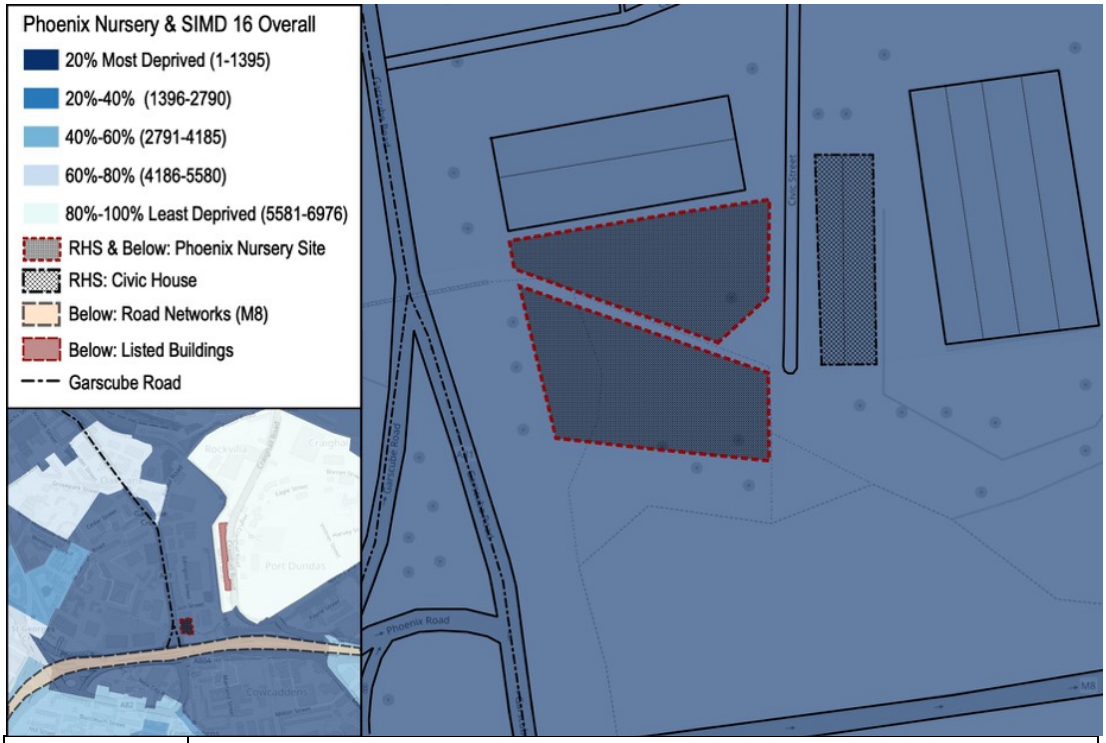
Figure 30: Parkhead area profile

7.1.1.9 Easterhouse, 2016-17

Description	Easterhouse Charrette Profile highlighting Charrette HQ. Scale 1: 3300
Client	GEAC (Glasgow East Arts Company) in partnership with Glasgow City Council (GCC). Funding and support from GCC, GEAC, Easterhouse Thriving Place and North East CPP. DT worked with a 'client steering group' with representatives from GCC, Glasgow City Property (Investments) LLP CPGI, Easterhouse Thriving Places and two community members (Glasgow City Council, 2017, p. 26)
Design Team	ERZ (lead); Nick Wright Planning, Hoskins Architects and EKOS (subconsultants).
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Easterhouse Town Centre.
Focus:	Brief was to deliver a 'meaningful and creative programme of engagement and empowerment for a diverse range of stakeholders' and produce a 'clear set of actions / plan to replace the Easterhouse Town Centre Action Plan (May 2007) and complement the Glasgow City Development Plan (adopted 29 March 2017)'.
Planning Relation:	As above outputs expected to replace the Easterhouse Town Centre Action Plan (May 2007) and contribute to the Glasgow City Development Plan (adopted 29 March 2017).
Post Project:	Charrette sought stakeholder and public input on Shandwick Centre regeneration; redevelopment work of The Lochs Centre (formally Shandwick Centre) is underway.
Format:	Pre-charrette activities started 15th May 2017 until June 21st, 2017, which marked the start of a four consecutive day charrette event. Pre-charrette included 'creative/arts-led engagement' based in the (formally named) Shandwick Shopping Centre. Charrette activities included drop-in and workshop sessions. Report back held in September 2017.
References:	(Executive Director of Regeneration and Economy, 2018; Glasgow City Council, 2017; Participant V1, Private Practice Professional, 2017)

Figure 31: Easterhouse Charrette Profile

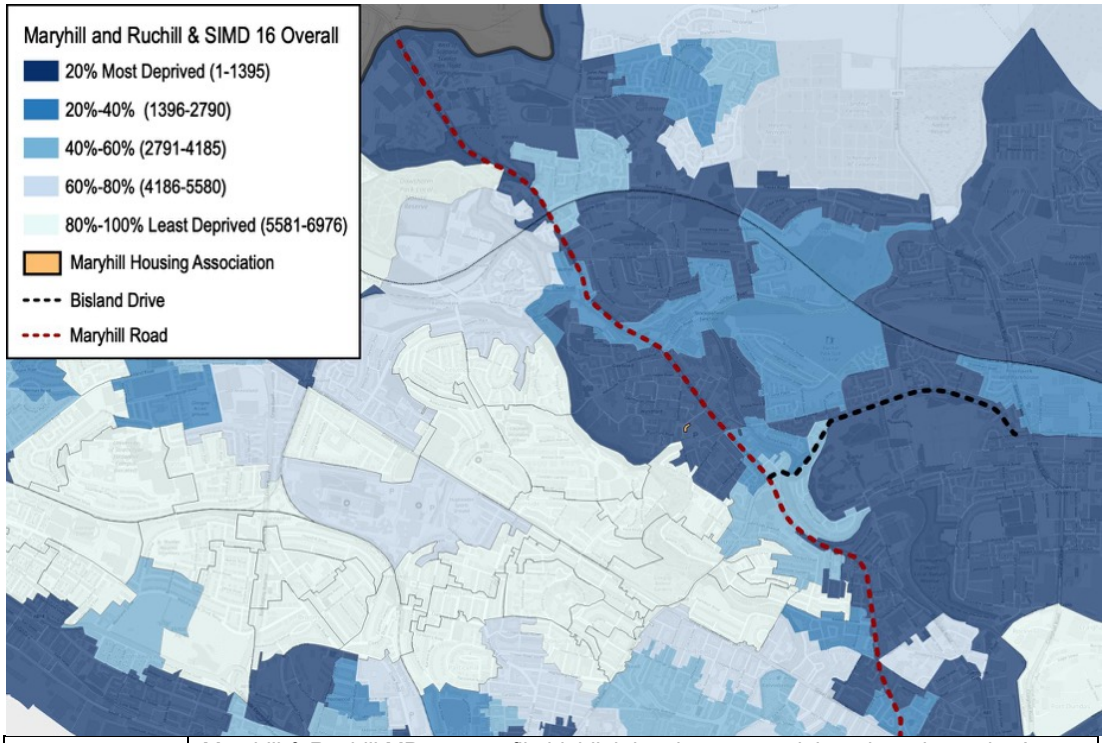
7.1.1.10 Phoenix Nursery Site, 2017-18



Description	Phoenix Nursery site in context. LHS Scale 1: 45000; RHS Scale 1: 2500
Client:	Agile City (a non-profit community interest company)
Design Team:	Baxendale (led Phoenix Nursery, one of four Test Unit projects in 2018)
Urban / Rural:	Large urban area, U/R 1.
Study Area:	A vacant and abandoned site formally used as Phoenix Park; situated close to Civic House the Phoenix Nursery Site hosted Baxendale's Test Unit project.
Focus:	MP grant was used to support one of four projects part of Agile City's wider 'Test Unit' summer school and event programme. These week-long educational experiences occupy public sites / buildings to test ideas through 'collaborative experimentation'.
Planning Relation:	--
Post Project:	--
Format:	A live project with summer school participants: a week-long format that started with *observations* building to *reactions* then *material gathering* and finally *implementing* a site intervention.
References:	(Agile City, n.d., n.d., ; Architecture + Design Scotland, n.d.)

Figure 32: Phoenix Nursery site

7.1.1.11 Maryhill & Ruchill, 2017-18



Description	Maryhill & Ruchill MP area profile highlighting the two arterial roads at the project's centre. Scale 1: 70000
Client:	Maryhill Housing Association (MHA)
Design Team:	Grant Murray Architects
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Study area focussed on two main arterial roads that run through Maryhill Housing Association's area of operation i.e. Maryhill Road and Bilsland Drive.
Focus:	Objective was to identify sites / areas of neglect and produce ideas for possible improvement projects.
Planning Relation:	Possibility outputs would be fed-back to LPs, if priorities fit. However, the necessary project partners (e.g., Tesco, Scottish Canals) have been contacted to progress project ideas.
Post Project:	Output suggests one project has been implemented i.e., Project 10/24 Ruchill Project Hazlitt Garden by Action for Children in September 2018. Output notes not all projects will come to fruition and many depend on resolving land-issue agreements; however, MHA will work in partnership with relevant organisations to secure funding and progress some project proposals.
Format:	Consultation activities: a walkabout, project ideas promoted through Facebook; two placemaking events (9th & 15th March 2018 in different locations); comment boards installed in Maryhill Housing Association reception and Ruchill Community Centre, May – June 2018; project proposals emailed to senior staff and Maryhill Board; and two presentations to Maryhill / Kelvin Glasgow City Council Area Committee and Canal Glasgow City Council Area Committee April 2018.
References:	(MP Respondent 10, personal communication, 2019).

Figure 33: Maryhill & Ruchill MP area profile

7.1.1.12 East Pollockshields, 2017-18 [MP] & 2018-19 [MP]

Description	East Pollokshields MP project profile. Mark Makers is a project that was identified in the 'Make Your Mark' 2015-16 charrette. MP funding awards have been used to sustain project development. RHS Scale 1: 6500; LHS Scale 1: 30000
Client:	Pollokshields Trust (i.e. newly formed community anchor organisation). Project received a stalled space award from Glasgow City Council (Mark Makers & Retool Architecture, 2017-2018, p. 11)
Design Team:	Mark Makers team from Pollokshields Trust (lead); collaborators and volunteers.
Urban / Rural:	Large urban area, U/R 1
Study Area:	Former Kingston Bowling Club site.
Focus:	Mark Makers project aims to deliver on the project idea identified in Make Your Mark charrette and create a 'community designed, owned and operated Common' (Ibid., 2018, p. 11).
Planning Relation:	Glasgow's City Plan 2 identified need for Make your Mark (CMP) study and commissioners anticipated output adoption in the form of Supplementary Planning Guidance; however, this was not realised. Subsequent Mark Makers project with AI and MP funding is distinctly independent from any statutory planning processes.
Post-Charrette:	Pollokshields Trust depends on project funding for development. Both rounds of MP have been used to progress the Kingston Bowling Club project.
Format:	Spring 2018 (February-April) delivered a series of consultation exercises over different days, in different locations to develop site brief. Activities included targeted school engagement, open gate days (drop-in, participate in site clearing), official open day with ministers in attendance, four community workshop / meetings, going-to engagement i.e. attending other groups' meetings.
References:	(Mark Makers & Retool Architecture, 2017-2018; MP Respondent 8, personal communication, 2019)

Figure 34: East Pollokshields MP project profile.

7.1.1.13 Queens Cross Housing Association, 2017-18

Description	QCHA MP project profile highlighting Woodside boundary area and areas within Woodside owned or managed by QCHA. Scale 1: 15000.
Client	Queens Cross Housing Association (QCHA)
Design Team	Collective Architecture (lead); City Design Co-operative Ltd, G3 Consulting Engineers, Martin Aitken Associates Ltd. Collective Architecture were the original DT for the earlier 2012 Options Appraisal Study for the Woodside Area commissioned by QCHA.
Urban / Rural:	Large urban area, U/R 1.
Study Area:	MP project revisited a 2012 Options Appraisal Study of the Woodside area (see boundary defined above).
Focus:	Revisit earlier proposals (2012) and produce a more expansive study with revised short, medium and long-term improvement projects that reside within areas owned / managed by QCHA.
Planning Relation:	Glasgow City Council successfully secured an £8 million grant from Sustrans to improve connectivity in the Woodside area; project known as Connecting Woodside. This prompted QCHA to apply for MP funding to revisit their earlier 2012 study.
Post-Charrette:	--
Format:	Project duration January 2018 – September 2018 with a series of engagement exercises on different days in different locations. Activities included targeted meetings, site visits, 'community consultation' at local library, and 'workshop / presentation with Chinese community'.
References:	(MP Respondent 13, personal communication, 2019).

Figure 35: QCHA MP project profile

7.1.1.14 Springburn, 2018-19

Description	Springburn MP (charrette) Project Profile highlighting Charrette HQ, arterial road & rail networks and indicative focus areas. Scale 1: 21000
Client	Springburn Community Council with support from Springburn's Winter Gardens Trust and event funding from ng homes and Glasgow City Council.
Design Team	Kevin Murray Associates; client-team personnel delivering pre-charrette engagement.
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Springburn town centre and wider environs
Focus:	To create a long-term vision for Springburn and identify short, medium and long-term improvement projects.
Planning Relation:	--
Post-Charrette:	--
Format:	Springburn Community Hub used a vacant unit in Springburn Shopping Centre. Community Hub available for public drop-in from February 14th, 2019. Workshops events scheduled 15th & 16th March 2019. Other community-related activities hosted in Community Hub during pre-charrette e.g., local MSPs community consultations.
References:	(MP Respondent 9, personal communication, 2019).

Figure 36: Springburn MP (charrette) Project

Chapter Seven Conclusion

Chapter Seven is deliberately brief and provides an excerpt only of the analysis conducted.

The output from this analysis shows CMP, AI and MP projects have placed more often than

not in areas evidencing need and more often in urban than rural areas. These become important ‘context’ characteristics in Chapter Eight as they play a role in distinguishing areas.

Chapter Eight: Characterising CMP, AI and MP Project Application

As Chapter Six notes, policies observed from afar rarely unpack neatly; instead, they 'mutate and morph during their journeys' (Peck & Theodore, 2010, p 170). Chapter Eight shows this evolution, or 'mutation', of the charrette since its introduction. In doing so, I identify 'social conditions which pre-exist and endure through programs', which Pawson and Tilley (1997, p. 70) suggest is 'one of the great omissions of evaluation research'.

Stage Two's holistic, in-breadth, extensive evaluation of the charrette's journey -spread across Chapters Six to Eight- culminated in the development of a case characterisation tool. A tool which is set to describe these often-omitted conditions and suggest possible inhibiting or enabling factors to be considered as part of Stage Three's in-depth analysis of charrette cases. The case characterisation presented here and applied in Stage Three, responds to recommendations for further testing of descriptor tools that endeavor to gain a deeper understanding of what works where, how, and under what conditions (Conley & Moote, 2003; Hassenforder, Smajgl, et al., 2015; Jones et al., 2009).

8.1 Process of Characterising CMP, AI and MP Projects

Building on Chapter Seven, I began to interrogate the CMP, AI and MP archive to answer Stage Two's fourth research question:

Q4. How similar or dissimilar are charrette applications across Scotland?

Answering this question led to the case characterisation tool presented here. Conley and Moote (2003) argue cases must share characteristics before comparison is plausible. Likewise, Bellamy et al. (2001) suggest a precursory stage lies in characterising context and project:

> The nature of the issue or problem underlying the natural resource management policy initiative being evaluated (e.g. policy, program, activity, method/tool), and the context in which the issue or problem developed need to be explicitly characterised. (Bellamy et al., 2001, p.412)

Others have posited PE characterisations or taxonomies as a means to broadly describe the familial ties some projects share; or rather, do not share. For example, Cestero (1999)

provides a 'field guide' to illustrate and identify types of convened collaboratives that question the PE's purpose, initiation, participants, process, scale, outcomes, authority, agency role and leadership. If studies are expected to speak to one another, it is worthwhile echoing many of the characteristics defined a priori. With a conscious effort to bridge context relevancy with 'standards of comparison' (Conley & Moote, 2003p. 371), I used five key sources to derive twenty-five characteristics across three groups (see Table 31 and Figure 37).

Context	Process	Objectives, Outputs and Outcomes
Issue Type	Engagement Mechanisms	Project Objectives
• Describe the built environment scenario • What issue or topic is being addressed?	• Describe typical participatory mechanisms • What methods are used to engage citizens and stakeholders?	• Describe cited objectives and/or project aims • What outcomes does the charrette and/or other CMP, AI or MP projects anticipate?
Scale	Resources	Primary Task
• Describe the study boundary • Is the project boundary within an urban or rural area?	• Describe financial costs associated with CMP, AI or MP projects • How much does a typical charrette and/or other CMP, AI or MP project cost?	• Describe the primary issue • What does the charrette anticipate producing (e.g., a plan), informing (e.g., a decision) or revising (e.g., a proposal)
Governance Levels	Format	
• Describe target governance levels • Does the project focus on action or policy?	• Describe formats, duration and/or schedule of a charrette and/or other CMP, AI or MP projects • How are projects typically structured and organised?	
Problem Complexity	Target Audience	
• Describe urgency or issue sensitivity • Does the project attract local or wider interests?	• Describe access • Who is typically involved in charrette and/or CMP, AI or MP projects?	
Intervention History	Commissioning Agency	
• Describe CMP, AI or MP project history • Has there been previous intervention attempts part of this project?	• Describe organisation of commissioning agency • Who commissions charrette projects?	
	Facilitating Agency	
	• Describe the facilitating and/or charrette DT and their relationship to project site. • Who designs, manages and facilitates charrette projects?	

Table 31: Conceptual Framework guiding characterisation of CMP, AI and MP Projects

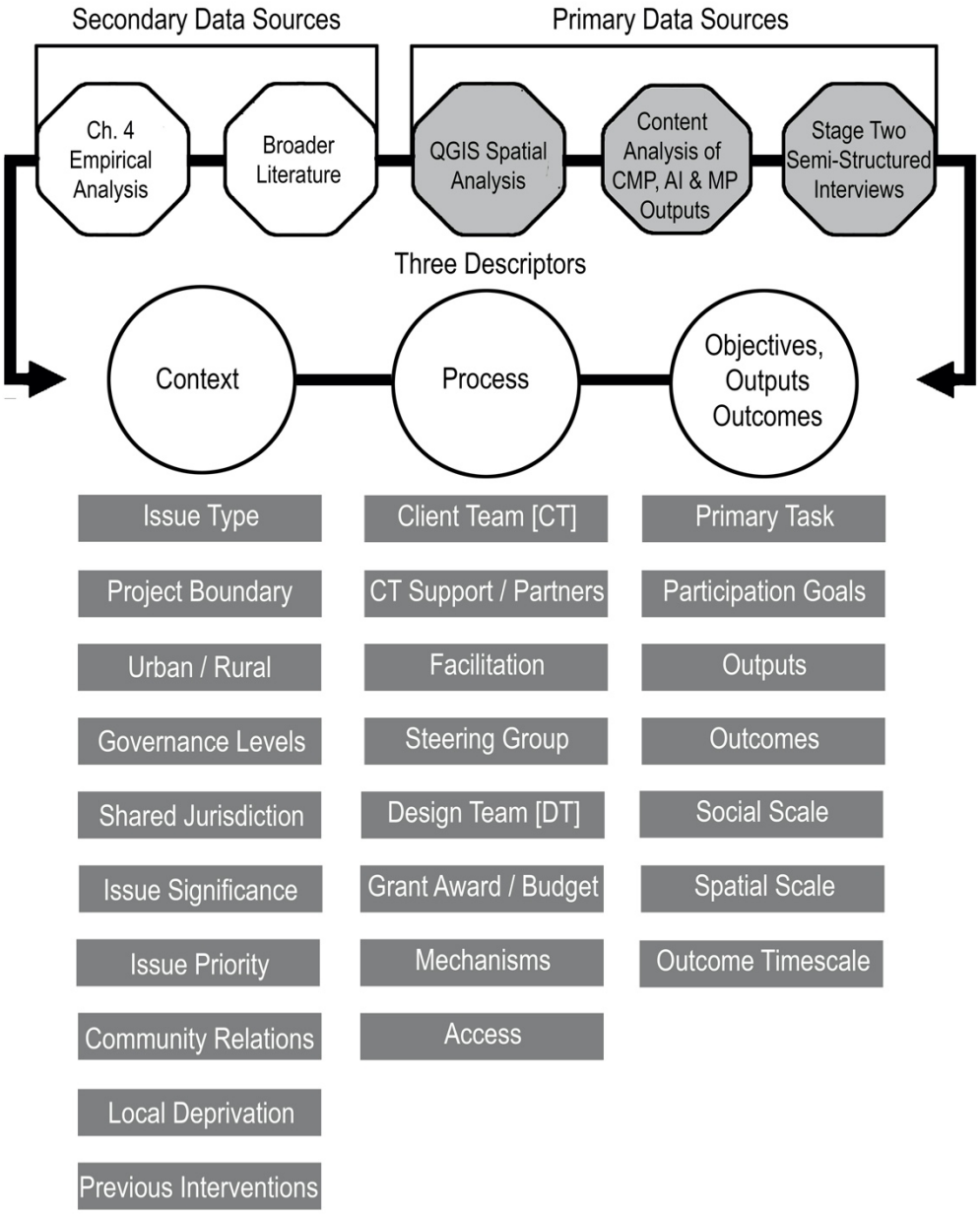


Figure 37: Data sources used to derive Context, Process and Objectives, Outputs and Outcomes characteristics

8.2 Context Descriptors

8.2.1 Issue Type

Beierle and Cayford (2002) propose three context categories. One of which is type of issue. Hassenforder, Smajgl, et al. (2015, p. 86) similarly propose 'target system elements' to better understand 'the system elements which the process aims to target'. Chapter Four identified different scenarios in which PEs take place, for example, environment, transport, land use

planning and so forth. Projects in the early Charrette Series could place under land use planning given urban settlement or extension plans were developed.

Whilst some subsequent projects remained similarly development-oriented (e.g., Perth West 2014-15), an evolution is evident (Table 32). Projects have been commissioned for the purposes of community planning or local place planning, given the latter's formal introduction in planning reform (Scottish Parliament, 2019). DTs note a shift, claiming community planning projects have 'a very different complexion' (Participant U1, Private Practice Professional):

> If a council's community planning section is commissioning the charrette it's almost guaranteed to be far more community-based than if planners commissioned it. In which case it's going to be pretty much top-down. I'm being very simplistic, but it will be more physical based. (Participant V1, Private Practice Professional)

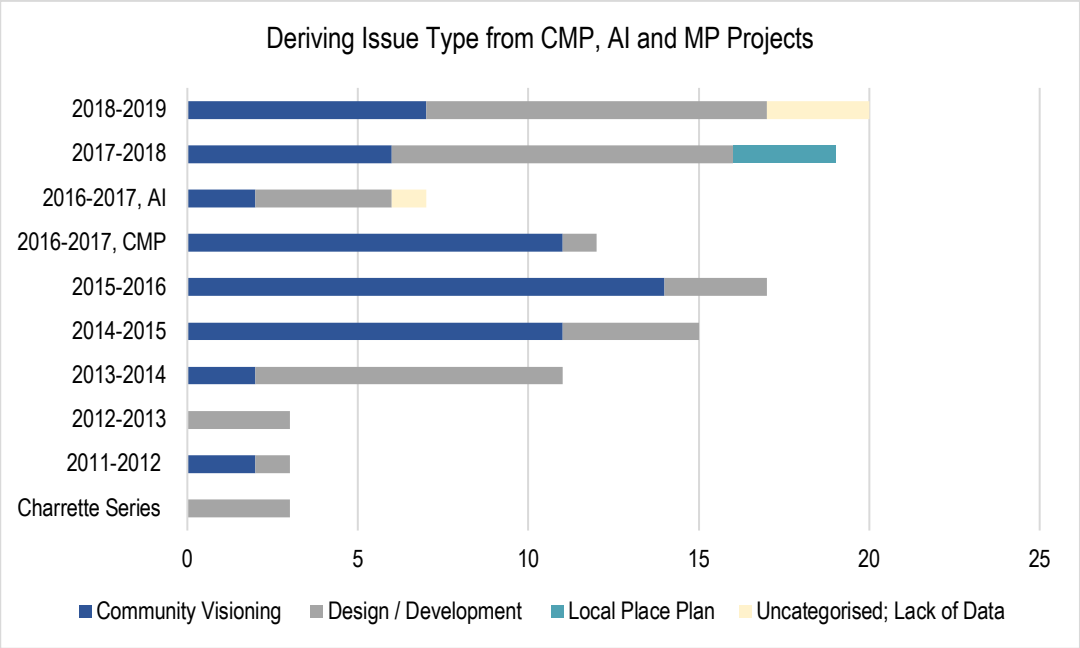


Table 32: CMP, AI and MP Project Characterised by Issue Type

Broadly framed exercises in community visioning, prior to the advent of LPPs, bear much resemblance to pilot LPP descriptions in 2018-19 MP projects (Table 33). Outputs show there is a concerted effort to work more strategically and holistically, and there has long been an expectation of dialogue across these distinct, but interdependent, processes (Kevin Murray Associates & Dundee, 2017; Peel & Lloyd, 2007a). At times, community planning and local place planning have been wrongly conflated (Kevin Murray Associates & Dundee, 2017). Notably, an approach to whole placemaking is apparent as non-physical and physical intervention ideas are recorded (Scottish Government, 2013).

Despite little formal distinction in outputs, I propose three categories to understand the context in which a PE has been commissioned. Furthermore, The Planning (Scotland) Act 2019 suggests a record should be maintained, and a review of LPPs should start seven years after their introduction (Scottish Government, 2019c, see Section 14, 86). Hence, *design or development projects*, *community visioning projects* and *LPP projects* seem a fitting characterisation.

	Design / Development	Community Visioning	Local Place Planning
Description:	Focussed primarily on spatial issues within the context of land use planning. Keywords: development, proposals, design	Broader focus than spatial, development related issues. Proposed actions inform or further community-wide priorities. Keywords: community, vision, priority projects	Similar to 'Community Visioning', pilots align spatial and community planning processes in a cohesive community-led framework. Keywords: Neighbourhood Planning, Local Place Plan
Example 1	In this context the Masterplan considers land use, character and form of development over the next ten years and beyond, taking into account the emerging development plan and the aspirations of local residents, businesses and key stakeholders [Johnstone South West, 2011-12]	The partners should use this document and the existing Perth Left Bank Community Plan as tools to… Influence Council land use planning policy, service delivery (Community Planning) and capital and revenue budgets [Bridgend, 2013-14]	Making Places is the first chapter of a new community generated Local Place Plan for Leith. For the plan to be the best, and most relevant it can be, we need input from everyone across the area [Leith, 2016-17]
Example 2	Charrette was focused on land owned by Scottish Canals that had been identified in the West Dunbartonshire LDP as a site for a mix of uses including housing, commercial and leisure The strategy for the site is to create an exemplar of an integrated green infrastructure approach to development [Bowling Basin, 2013-14]	It is recommended that the strategic elements of the proposals are incorporated in the LDP. It is likely that this work can accelerate with the future emphasis on Locality Planning and on LPP which could begin to make a community driven greener environment a reality for Ayr North [Ayr North, 2017-18].	The Re-Create Scalloway initiative has culminated in the production of an Action Plan and the Spatial Vision contained in this report. While the vision will be used to inform SIC's next LDP, it was primarily a collaborative and inclusive process which has empowered the community to start work towards putting together Shetland's first Local Place Plan [Scalloway, Spatial Vision, 2018-19]
Example 3	The key aim of the Charrette is to work with the community and stakeholders to complete the East Pollokshields and Port Eglinton Planning Study as a masterplan document that, as Supplementary Planning Guidance to the new City Development Plan, can help guide the next two decades of development in this multicultural area parts of which are in the bottom 5% of the Scottish Index of Multiple Deprivation [East Pollokshields, 2015-16]	The aim of the charrette was "to develop a spatial strategy that is integrated with community planning ..." [Dunblane, 2014-15]	We are pleased to present this Local Place Plan which sets out the local community's vision for over the next ten years. The plan has been led by the local community and produced in partnership with Renfrewshire Council and Renfrewshire Community Planning Partners. This reflects a new approach which jointly considers land use planning, community planning and community action, supporting local people to become more involved in shaping their places [Foxbar, 2017-18]

Table 33: Examples and definition of Issue Types in CMP, AI and/or MP projects

8.2.2 Scale

Working from Beierle and Cayford (2002), Silver et al. (2010), Beierle and Konisky (2001) and Margerum (2011), I use 'scale' to describe the extent to which a population is affected and where efforts are primarily directed. Parallels are found in the former and latter authors' definitions of 'policy', which describe working at a national legislative level concerned with standards and guidelines affecting whole populations. No CMP, AI or MP projects fell directly into this category. Although, North Lanarkshire (2013-14) concentrated on policy affecting its entire council geography.

Beierle and Konisky (2001, p. 591) use geographic complexity to distinguish projects in a 'large metropolis' from endeavours in a 'small city or rural area'. Beierle and Cayford (2002) use 'site specific' as an alternative descriptor to define PEs whose project impacts are more narrowly bound. It is plausible that PEs working at the policy level are typically managing issues of higher significance, with multiple (potentially competing) interests and overlapping jurisdictions as well as larger geographies and populations.

However, as Margerum (2011) recognises -and Chapter Four's analysis of participation- examples and content analysis of outputs show- subtleties exist. For example, a project may be concerned with a large rural geography but affect a small, declining population (see Applecross, 2018-19). Compared to smaller, inner-city projects that are densely populated and characterised by a multiplicity of social, cultural norms (see QCHA, 2017-18; East Pollokshields, 2015-16).

In response, I felt 'site-specific' was a useful moniker, however, still too broad. If coupled with metropolis, city and rural descriptions a better portrayal of area type is possible. Classifications to identify and contrast patterns among different settlement-types exist (Scott et al., 2007); popular classifications include those developed by Organisation for Economic Cooperation and Development [OECD] that was later adapted by Eurostat in their urban-rural typology (Pateman, 2011). However, these are not without their critics; others call for greater recognition of the territories-in-between that fall into neither of the contrasting -urban rural- classifications (see Wandl et al., 2014 for a full review).

An ideal tool for such comparison would be a transnational urban-rural classification (Pateman, 2011). Whilst Eurostat's typology could be adopted for the comparative purposes

of my case characterisation tool, project locations working at the smaller scale (for example, a geography smaller than a local authority), might struggle to be accurately reflected (Ibid, 2011). Therefore, I propose using the Scottish Government's Six-Fold Urban Rural Classification, which was used in Chapter Seven (Table 34).

To describe the project's geographic scale, remit or boundary, an inductive approach to content analysis of CMP, AI and MP outputs showed variation among projects that could be described as 'site-specific'. Tables 35 and 36 describe and demonstrate the eight sub-descriptors generated from this analysis. It should be noted, this is a general categorisation as boundaries are made more explicit in outputs. For example, whilst Easterhouse (2017-18, p. 9) is described as a town centre charrette, the town centre was not easily discernible given the boundary was open to local interpretation. Other projects appeared to have an easier time determining the town centre's geography by adopting boundaries drawn in local policy (for example, Erskine, 2015-16, p. 5).

Further, some projects could fall into more than one category; for example, projects considering canals and waterways were often concerned with adjacent sites for development or regeneration (e.g., Muirtown and South Kessock, 2013-14). Where applicable, Appendix C Section C.1.2 and Table 36 reflect more than one classification.

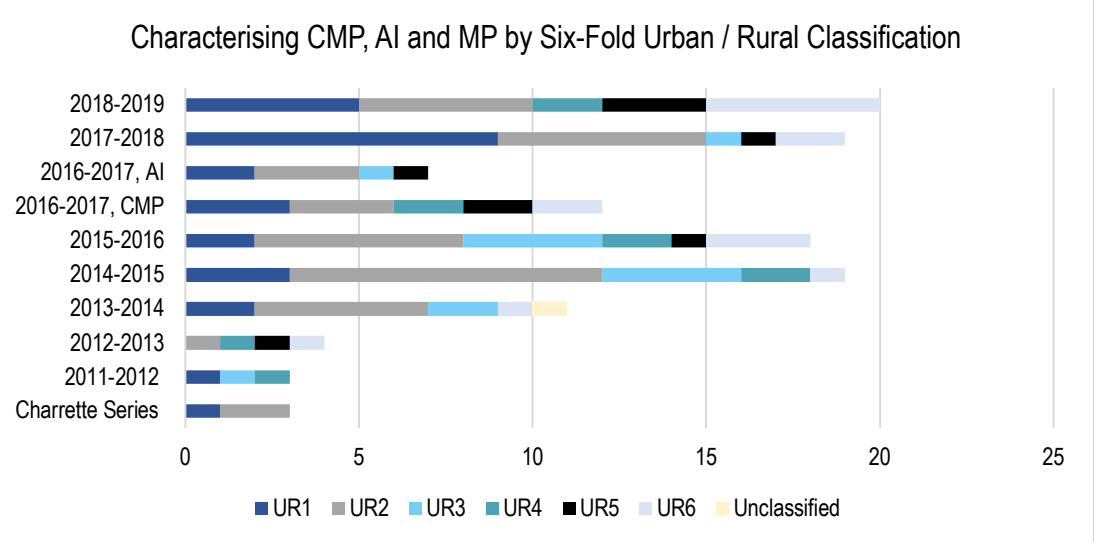


Table 34: CMP, AI and MP Projects Characterised by Urban / Rural Geography.

Site Specific Sub-Descriptors	Definition	Example
Council / Locality Wide	Projects considering large geographical areas defined by, for example, political, social or economic boundaries. CMP, AI and MP projects cited locality boundaries within the context of community planning; parliamentary constituency boundaries; national park boundaries; and community council boundaries	LLTNPA, 2012-13; North Lanarkshire, 2013-14; Garnock Valley, 2014-15; Applecross, 2018-19
Island Community	Scotland's main island groupings include Inner and Outer Hebrides, Orkney, Shetland and Isles of Bute. CMP and MP projects have taken place in Rothesay and Millport, Isle of Cumbrea (Isles of Bute), Tiree (Inner Hebrides) and Scalloway (Shetland).	Rothesay, 2015-16; Tiree, 2015-16; Castlebay, Barra 2015-16; Cumbrea & Millport, 2016-17; Scalloway, 2017-18.
Canal / Waterway	Several projects were commissioned by or involved Scottish Canals, thus including land and/or waterways in their ownership. With the exception of Crinan Canal Corridor (2015-16), many projects with Scottish Canals input cast a wider net; therefore, could also fall under one of the other seven sub-variables.	Bowling Basin, 2013-14 considered a Scottish Canal owned site that had been identified as suitable for mixed use development.
Community Asset	Community Asset is being used to describe projects working with physical assets within a community, for example, buildings and greenspaces. Many, but not all, AI and MP awards have supported community-led projects concerning assets (see Prestwick, 2016-17; Robroyston, 2016-17; East Pollokshields, 2017-18, 2018-19; Murrayburn & Haillesland, 2018-19; Astley Ainslie, 2018-19).	Council initiated *Community Asset* projects: Carlibar Park, 2017-18; Dunterlie Pitches and Park, 2018-19
Suburb, district, area of	Many CMP and MP projects described their study boundary as an 'area of…'. For example, Foxbar (2017-18, p. 14) is a 'neighbourhood on the south-western edge of Paisley' and East Pollokshields (2015-16, p. 8) considered 'one of Scotland's most multicultural neighbourhoods' in Glasgow South.	See Table 36 as twenty-three projects have been categorised as 'Suburb, district, area of'
Town / Village Centres	Chapter Six found CMP awards were formally grouped into Town Centre and Local Development Planning streams from 2011-12 to 2014-15. Since many projects have similarly worked on town centre regeneration.	See Table 36 as the majority of projects (forty-eight) have been categorised as 'Town / Village Centres'
Site Development / Regeneration	Site Development / Regeneration describes projects considering sites for new or redevelopment. Further classification is possible given planning applications in Scotland are grouped into *local, major* or *national* depending on size and complexity (Scottish Government, 2009a).	Perth West, 2014-15 may be considered *major* whilst Blairmore Village Green, 2013-14 considered a single site in the heart of a rural village.
Polycentric	Whilst the majority of projects had a particular focus or study area, others did not have a single centre. Instead, several areas or communities, spread across a larger geography, were included in the same CMP project.	See Appendix B as five CMP (only) projects had no single centre.

Table 35: Eight sub-variables to describe a project's scale / area type

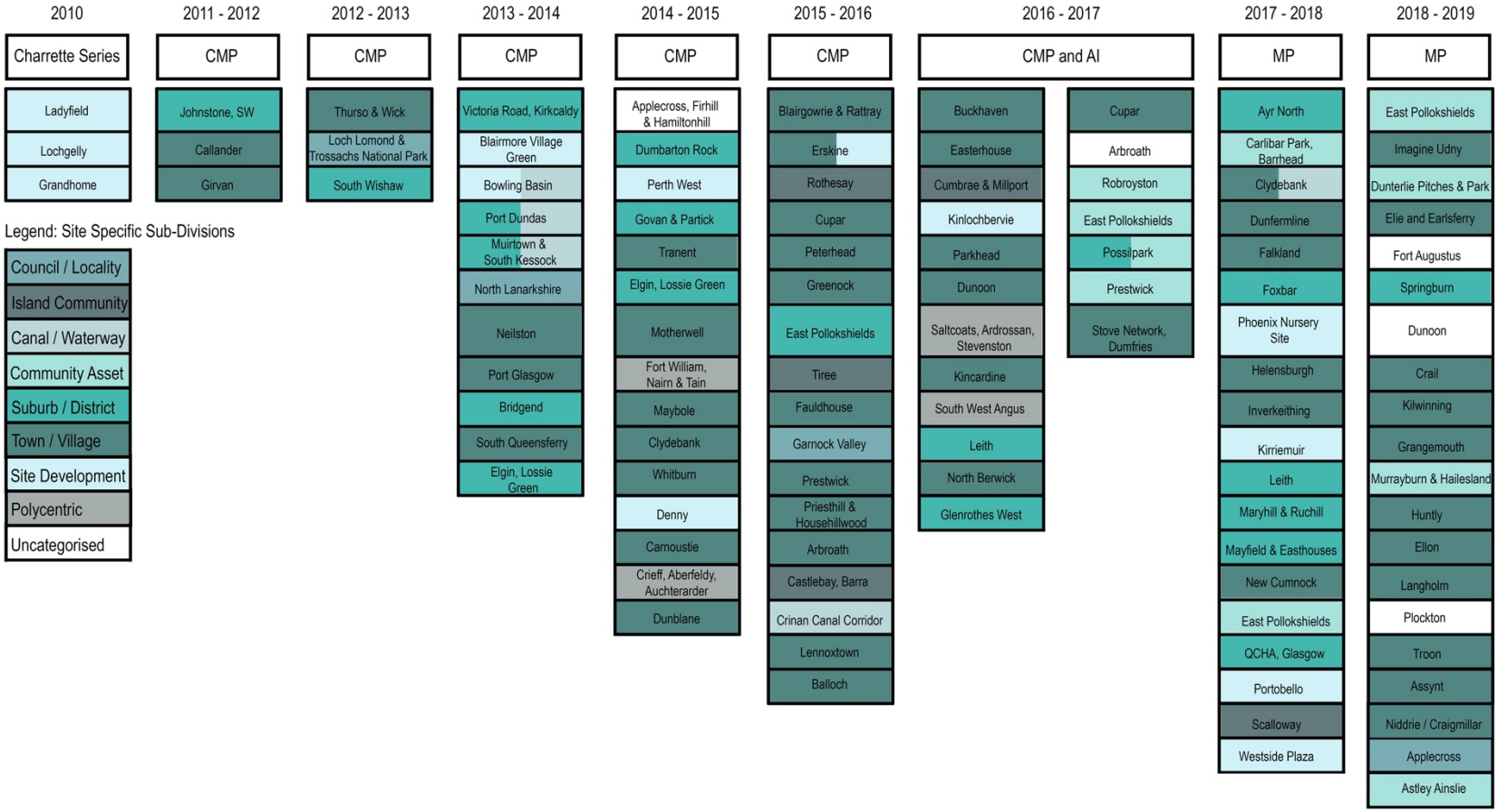


Table 36: Characterising ‘scale; area type’ of CMP, AI and MP projects

8.2.3 Governance Levels

According to Polletta (2016, p 243) 'it makes sense to distinguish among participatory projects generally, and those convened part of a local, state, or national policy-making process specifically'. Table 37 provides a summary of 'levels of government' cited in broader literature (Beierle & Cayford, 2002, p. 39). Levels typically range from local to international and whilst grassroot activism was once thought restricted to domestic sites and local-only networks, a global civil society has emerged. Actors and agencies are able to build international networks and alliances that are capable of garnering sufficient influential power at a global policy-level (Batliwala, 2002; Dufour, 2016; Piper & von Lieres, 2016; Watson, 2014).

	(Margerum, 2011)	(Gaventa, 2004, 2006)	(Hassenforder, Smajgl, et al., 2015)	(Beierle & Cayford, 2002)	
				Scale	*Level*
Proposed classifications describing level of interest	Action	Local	Micro	Site-Specific	Local
	Organisational	National	Meso		State
	Policy	Global	Macro	Policy	Federal

Table 37: Participation at Different Governance Levels

Content analysis of CMP, AI and MP outputs show most efforts target community or local level decision-making only; for example, North Lanarkshire, 2013-14 considered local business policy and local planning guidance was considered in East Pollokshields, 2015-16. As Margerum (2011) describes, several projects were *action* oriented. Action Porty's MP, for example, convened in 2018-19 with a single purpose: stop the sale of a local site to a private developer. Similarly, community groups in Broadway Prestwick (2016-17) and Astley Ainslie (2018-19) have spearhead a campaign to retain local assets.

Whilst many projects were tightly bound spatially (see 'Scale'), the majority discuss working horizontally as well as vertically in post-charrette delivery, as per Scottish policy pushing for collaborative delivery (Scottish Government, 2019b). Second, the local focus does not ignore regional or nationally relevant issues, which some -in line with Baker et al. (2010)- suggested challenge local audiences:

> The action proposals in this report are presented for a series of linked 'audiences': the project partners [names omitted] the institutional players (Glasgow Canal

> Regeneration Partnership, Housing Associations and other key players in local regeneration) national arts and cultural bodies located in the Cultural Quarter (National Theatre of Scotland, Scottish Opera, Royal Conservatoire of Scotland etc.) local artists and arts organisations other community organisations. (MP Respondent 12, personal communication, 2019)

> The final outputs of this project are intended to inform policy change, strategic decision making, and the forthcoming Local Development Plan ensuring a strong connection between grassroots and high-level decision making. (Icecream Architecture & Willie Miller Urban Design, 2019, p 2)

> One of the things that strikes me as most important, and this could come into charrettes, is in briefing communities to say: this is not just about you saying what we want. It's about you thinking what you can contribute because there is *what we want* and there is *what Aberdeen, Scotland needs* and we have to do our bit towards that as well as what we want. (Participant K, Private Practice Professional)

> You've got the facilitators on one side and locals and you might have SNH, forestry commission, transport Scotland etc. There are going to be difficulties; Thornley and Vernon wanted a decent rail service between them as well as East Haddock. Transport Scotland has a very firm view about the practicalities. (Participant H, former Scottish Government Representative)

In response, I propose five categories to describe the primary decision-making arena the endeavour intends to target (see Table 38). Recognising Gaventa's three levels (i.e. local, national and global) could be expanded depending on a country's 'administrative structures' (Guijt, 2005, p. 68) and the local nature of CMP, AI and MP projects, I use 'community' and 'local' for the lower tiers. The former describes tightly bound issues requiring little influence from statutory or government agencies, whilst 'local' describes issues involving local level policy and/or decision-making e.g., land use development plans and/or statutory community planning outputs. The additional three tiers -regional, national and global- draw from governance levels discussed elsewhere (Gaventa, 2004, 2006; Hassenforder, Smajgl, et al., 2015; Silver et al., 2010).

Further, it is worth noting PEs that cut across these *levels* implying 'jurisdictional overlap' (Margerum, 2011, p.63) or as Beierle and Konisky (2001, p. 591) describe, 'shared jurisdiction'. Essentially, the issue or site falls under the remit of more than one authoritative agency, which is relevant to the CMP, AI and MP projects:

> Big issue at Adgate was flooding. Big issue there with Scottish Water. You've got the local authority responsible for some things and the national park for other things, including planning… What happened was, we had this argument in public between the three different [stakeholders] so of course people come away confused. (Participant H, former Scottish Government Representative)

		Participatory endeavour aims to influence which level?					
		Community	Local	Regional	National	Global	
	Five Governance Levels	Influence local community-based plans, frameworks & decisions adopted by community agencies	Influence official policies, plans, frameworks & decisions adopted by Local Government	Influence inter-council policies, plans, frameworks, decisions e.g., Strategic Development Framework	Influence policy, legislation, national guidelines e.g., Scottish Planning Policy reform	Influence international policies; engage with global campaigns, treaties, alliances and international organisations	
	Example Placement:	Callander Possilpark	East Pollokshields	--	--	--	
		What agencies and/or policies are relevant per level?					Jurisdiction Description[35]
		Community	Local	Regional	National	Global	
Three CMP Examples	East Pollokshields	Pollokshields Community Council (i.e., CMP commissioner)	Local Government: Glasgow City Council (i.e., Planning and Building department).	Glasgow and the Clyde Valley Strategic Development Plan (SDP)	Central Government (project match funding provider)	--	Two tier planning structure: City Plan 2 (i.e., LDP) and Glasgow and the Clyde Valley Strategic Development Plan affecting *suburb, district, area of*
	Callander	The Callander Partnership (i.e., CMP commissioner; *community* and *local* level stakeholders constitute partnership)	Stirling Council (i.e., service authority); Loch Lomond & The Trossachs National Park Authority (i.e., planning authority)	--	Central Government (project match funding provider); The National Parks (Scotland) Act 2000	--	*Town, Village Centre* managed by separate service and planning authorities

[35] It should be noted Strategic Development Plans have been replaced by Regional Spatial Strategies, which will affect all planning authorities from 2021 onwards. Therefore, notes under 'Jurisdiction Description' will likely change in the wake of the 2019 planning system update.

--	Community	Local	Regional	National	Global	Jurisdiction Description
Possilpark	Friends of Possilpark Greenspace (i.e., AI commissioner); Canal Hamiltonhill Development Framework 2016; local artists; existing arts-led projects & partnerships; arts & community organisations	Housing Associations; Local Government; Glasgow Canal Regeneration Partnership (i.e., a multi-agency collaborative)	Glasgow and the Clyde Valley Strategic Development Plan (SDP)	Central Government (project match funding provider); National stakeholders identified National Theatre of Scotland, Scottish Opera, Royal Conservatoire of Scotland	--	Geography falls under two-tier planning structure (i.e., LDP and SDP).

Table 38: Discerning Levels of Government influencing a project

8.2.4 Problem Complexity

Alongside institutional complexity sits problem complexity, which concerns issue significance and urgency. Regarding the former, as PE issues reach wider audiences and/or higher-ranking agencies, decision-making responsibility may reside further up the institutional ladder (Beierle & Cayford, 2002; Margerum, 2011). If national or international agencies are involved the PE may be dealing with issues of 'iconic value' (Margerum, 2011, p. 61), greater economic importance, legal constraint (Ibid, 2011) or a perceivably delicate and sensitive local population (Polletta, 2016) than those managed by local-level agencies. Therefore, alongside identifying *governance levels*, broader literature recommends understanding which institutions are interested, or statutorily obligated.

This is relevant in the context of CMP, AI and MP projects. For example, Crinan Canal's CMP project in 2015-16 underscored its Scheduled Monument status and potential for regional economic gain. The output proposed 'local, regional and even national opportunities' existed within the maritime and tourism industry, which could be better 'exploited for economic benefit in the Mid Argyll area' (Oliver Chapman Architects et al., 2016b, see Introduction).

Second, there may be a perceived sense of urgency or impending crisis; for example, Petts (2001) distinguished between four case studies noting two were at a more pertinent stage in strategy development. Social or political mobilisation may raise an issue's public profile (see Brown & Chin, 2013), or the subject may be polemic or potentially litigious:

> If you want to close a rural school it'll take you five years and you'll probably finish-up in court. Because you'll have an articulate, vocal community who don't want that school to close because it's important to them and it is important. (Participant P1, Local Government Representative)

One interviewee identified a *typology of problems* to help answer, 'what provokes action in a place'? Echoing Jane Jacobs' *cataclysmic money* (Jacobs, 1961), Participant I spoke of responding to a resource injection; or a perceived crisis; or to prevent a crisis from forming (Participant I, A+DS Representative). Action Porty (2018-19) could arguably fall into the second category given:

> Time is not on our side as the city council's Finance and Resources Committee will consider whether to approve Cala as the preferred bidder for purchase and development of the site on 27 March. We aim to get the community's proposals to

> the committee well before then in the hope that they will see merit in these and therefore delay any such decision. (Action Porty, 2018)

Easterhouse, 2016-17's CMP project similarly demonstrated a greater sense of urgency with an 'overriding message that 'something must happen' on the core issues' (Executive Director of Regeneration and Economy, 2018, p 5). In response I propose using three descriptors under Issue Significance and Issue Urgency to describe overall Problem Complexity (Table 39):

- Issue Significance
  - Major
  - Significant
  - Noteworthy
- Issue Urgency
  - High Priority
  - Pending
  - Low Priority

Much like Rosener (1978, p. 459) underscoring a need for 'agreement on program goals and objectives', defining a PE's problem is a 'central task' as misinterpretations could be a source for contention (Tippett & How, 2020, p 110). For example, different factions of the East Pollokshields CT in 2015-2016, appeared to regard the problem differently. The community counterpart endeavoured to satisfy an outstanding need for a planning study, which had been identified in local policy. Their motivation: thwart unwanted and/or shape future local development.

However, the local authority's subsequent reluctance to formally adopt the charrette output in local policy, caused disappointment; arguably casting doubt on how far community-led outputs can travel in local policy and *what* community-led outputs may be *allowed* to influence (see Murphy, 2018). However, a Scottish Government perspective suggests the outstanding planning study's low priority had been made explicit:

> Officers admitted at that meeting that even though they made this promise at a public inquiry into the City Plan 2 back in 2007-8, they would not be in a position (and we had this meeting in 2014) to produce this planning study for at least another ten years, which would mean 2024. From 2007-2024 that's just total nonsense. We said, this is not realistic. If that's the case, if we were able to find the funding ourselves could we lead it as a community-led thing? We got their agreement for that and that was the basis for going ahead with the charrette and everyone knew about that. (Participant O, GCHT Representative)

> It was a community-led charrette and what the community wanted to develop was some sort of Supplementary Guidance. That was because the local authority had said they would be producing Supplementary Guidance for Pollokshields at some point. But they were very clear with the community and said, 'look this is not a priority for us, we've got other things of a more immediate need' so the community just said 'well, can we do it?' And I think the council were slightly nervous about that because 'well, we normally do this'… we then said to the community group we understand this might lead to Supplementary Guidance one day. But what else is it going to do?... they told us 'there's a group here interested in this sort of thing'… So, it's about creating a suite of community-led projects to come out of the charrette. (Participant D, Scottish Government Representative)

Whilst one party expected outputs to be formally adopted in 'local' policy, the other felt no such promise was given and the emphasis was always on shorter-term community-led projects i.e., a discrepancy on the governance levels targeted (see 8.2.3). As with any 'invited space', those hosting are able to determine the parameters. In this instance, a top-down commitment -shown in Chapter Six- to 'collaborative arrangements' in the form of community-led projects took precedence. Whilst this characterisation may not be able to mediate these power inequalities, it may nevertheless be used as a tool agree project 'significance' and 'urgency' in advance; thus (possibly) avoiding the confusion and frustration evidenced here.

		Major	Significant	Noteworthy
Issue Sensitivity	Description:	Project includes an area with universal value. Therefore, sites may be afforded protection and/or subject to management constraints due to their heritage, culture, historic and/or natural value. Project may attract high-level agency interest and/or subject to constraints.	Project includes an area with national value. Therefore, sites may be afforded protection and/or subject to management constraints due to their heritage, culture, historic and/or natural value. Project may require consent for works and/or repairs.	Project includes an area with local importance. For example, a Local Nature Reserve or Regional Park, and Conservation Areas. Local authority is typically responsible for designation. Although, areas with non-statutory designation may still be afforded protection and/or subject to management expectations.
	Designation Examples:	World Heritage Sites, Natura Sites [Special Protection Areas, Special Areas of Conservation], Ramsar Sites.	National Scenic Areas, National Parks, Marine Protected Areas, National Nature Reserves, Sites of Special Scientific Areas.	Country Parks, Local Landscape Areas, Local Nature Reserves, Regional Parks, Local Nature Conservation Sites.
	Example: Dunfermline 2017-18	--	National Inventory of Gardens and Designed Landscapes includes Pittencrieff Park; six Scheduled Ancient Monuments; and Historic Environment Scotland recognises 100 plus listed buildings.	Local Authority has designated area within central Dunfermline as a Conservation Area.
		High Priority	Pending	Low Priority
Issue Urgency	Description:	Project responds to an immediate threat or resource injection; issue may be emotive, litigious or divisive; and/or attract broad-level attention.	Project recognises future action is needed on specific issues; issue may mobilise individuals, agencies; attract local attention.	Project is likely exploratory, in earlier stages of development and unlikely to address any cause requiring immediate resolution.
	Examples:	Action Porty (2018-19) referenced the site's proposed date of sale; therefore, limited time imposing an immediate call to action.	Astley Ainslie Community Trust convened to prepare for the future sale of Astley Ainslie Hospital. Aim: retain public ownership (Astley Ainslie Community Trust, 2019a, 2019b). Easterhouse, 2016-17 output underscored 'that 'something must happen' on the core issues'.	Examples include many of the 'Community Visioning' projects expected to produce indicative, future proposals, strategies, frameworks and so forth.

Table 39: Characterising Issue Complexity

8.2.5 Community Relations

Another context characteristic refers to *pre-existing relationships*. Within a discussion on social resources, authors suggest more favourable environments would be those with little conflict between participants and wider public; greater trust between participants, agency and wider public; relative homogeneity on issues and priorities; limited power imbalance among participants; and a mobilised citizenry with dense social networks across stakeholder, community and governance groups (Beierle & Konisky, 2000; Margerum, 2011; Webler & Tuler, 2002). Chapter Five also found social conditions inhibiting joint action and Participant B (a Private Practice Professional) thought shining a light on local politics was always worthwhile.

However, Beierle and Cayford (2002, p. 39, 40-41) found pre-existing mistrust and conflict played a relatively insignificant role on overall process success; although, mistrust and conflict were found to play a greater role in less intensive participatory processes. Similarly, Matthews (2013) suggests it may be futile pursuing consensus 'in the tense conflicting of moments of initial engagement' but it may be nurtured over time. The Scottish Government indicated good relations were a necessary precursor to receiving a CMP, AI and MP award as they did not want to 'get in the middle of a fight' or for the 'charrette to be used as a weapon' (Participant C, Scottish Government Representative). Therefore, applicants had to demonstrate local authority consent:

> We're not saying to communities you need to have a planning authority supporting you or giving you money. But at the very minimum they need to say we don't have a problem with this, and we are interested in the outcomes. Because we don't want to fund projects where the community may actually want to develop a document to hit the planning authority over the head… That's not partnership working. (Participant D, Scottish Government Representative)

As with broader literature, I found CMP, AI and MP projects drawing from a different stock of social resources. Whilst several projects were thought to benefit from an active, engaged citizenry with a willingness or history of collaboration, others did not. For example, whilst 'East Pollokshields is fortunate to have a number of highly active and important local organisations and groups operating in the area' (Pollokshields Community Council & Architecture, 2016, p 34), Participant T1 reported:

> An un-engaged population and a lack of trust in organisational support, including Police Scotland; Issues around crime, safety and substance abuse. (Participant T1, Private Practice Professional)

Interviewees also warned 'there'll be groups that are a little bit inward looking', which presents a 'challenge to get some fresh people involved' (Participant B, Private Practice Professional), and 'equally be aware of fascism in communities, they can be difficult' (Participant D1, Scottish Charity Representative). Furthermore, tensions can emanate from on-the-ground challenges associated with implementing a pro-participation, national rhetoric as local authorities demonstrate hesitancy (first seen above under Problem Complexity), for example:

> There was quite a strong community group, who saw the opportunity of a charrette to progress their objective… The council were quite sceptical about that group's ability to get funding, so they didn't want us to give them a site in the plan but to diminish it… council are paying for it and didn't want us to give such credence to that community group. But then you'll get the other way around where Minsmore is community-led and don't trust the council. (Participant V1, Private Practice Professional)

> Our councillors just want to squash us really. We talked about the charrette- here's a quote for you. When we first went to community council and we talked about the charrette, councillors really just wanted to scare us and go 'you can't handle these kinds of assets, we've built the space-place for you and that was a disaster'. (Participant N, Community Group Volunteer)

I suggest adopting a categorisation from existing descriptors to describe pre-existing relations (see Beierle and Cayford (2002); Hassenforder, Smajgl, et al. (2015)). However, I struggled to identify indicators used by Hassenforder, Smajgl, et al. (2015) in assigning one of their four available categories[36]. Therefore, Table 40 infers three themes (i.e., 'citizenry; local networks', 'conflict; polarising priorities', and 'trust levels; local attitudes') to guide project characterisation as having either *poor*, *moderate* or *good* pre-existing relationships among participants and/or the wider community. Proposed indicators from broader literature have been used to construct and define these categories. Margerum (2011) recognises collecting data on human and social capital as well as cultural heterogeneity can be challenging. In-depth methodologies such as stakeholder network analysis [SNA] (see Mpanje et al. (2018)) are cited alongside gleaning evidence from secondary data (for example, document review, census statistics) or other primary data sources (for example, interviews, surveys and so forth).

[36] Four categories: No pre-existing relationships; high degree of mistrust / conflict; moderate trust and conflict; good pre-existing relationships and trust (Hassenforder, Smajgl, et al., 2015, p. 92)

I must reiterate the purpose of this characterisation is to generally describe and draw comparisons among the underlying contextual PE conditions, rather than building a framework to analyse dimensions of social capital. A fuller description on data collection for descriptors can be found in Chapter Three and Nine.

	Community Relations Characteristics		
	Citizenry; Local Networks	Conflict; Polarising Priorities	Trust Levels; Local Attitudes
Proposed indicators from literature:	*Density of formed interested groups, Quality of social networks, Diversity of interest groups (Webler & Tuler, 2002); High level of social capital; Participants have strong social networks (Margerum, 2011).*	*Conflict among participants (Beierle & Cayford, 2002); Greater cultural / belief homogeneity (Margerum, 2011); Compatible economic and environmental goals (Beierle & Konisky, 2001); Existing state of polarisation (Webler & Tuler, 2002).*	*Mistrust of government (Beierle & Cayford, 2002); Litigiousness of climate, Legacy of trust / mistrust, Support from community leadership, Support from citizenry (Webler & Tuler, 2002); Participants positively regard commissioner (Beierle & Konisky, 2000).*
Good Pre-existing Relations	Many, diverse organisations and/or community institutions; active citizenry evidenced through political participation, volunteering, group membership.	Little conflict, priorities compatible or common ground. Margerum (2011) proposes action-oriented endeavours may be more likely to agree on deliverables than organisational or policy projects.	Lead agencies, institutions are locally reputable; institutions have horizontal and vertical links; trust among organisations and willingness to cooperate for mutual gain.
Moderate Pre-existing Relations	Evidence of bridging social capital as well as insular practices. + / -	Evidence of disagreement, unaligned priorities; however, cooperation may be possible. + / -	Lukewarm attitudes. + / -
No and/or Poor Pre-existing Relations	Lack of established networks, organisations; limited group membership; disengaged public; and/or plethora of insular, uncooperative networks.	Polarised community; deep-rooted conflict; long-standing disputes; litigation and/or formal dispute resolution procedures.	High levels of mistrust; insular, uncooperative groups; nepotism, self-interests pursued; and harmful, anti-social behaviours among network.

	Community Relations Examples		
	Citizenry; Local Networks	Conflict; Polarising Priorities	Trust Levels; Local Attitudes
CMP, AI and/or MP Examples:	[+] Cupar, 2015-16: 'One of Cupar's finest assets is its people. The town's active community is representative of a range of ages, interests and activities.' (CMC Associates Ltd., 2017, p 5) [+]The community of Neilston through Neilston Development Trust is well advanced in their empowerment knowledge having successfully acquired the "Bank" premises under the Land Reform (Scotland) Act 2003 (Tim Sneddon et al., 2014 , p 15) [-] CMP in Glasgow, 2016-17: '…participants were involved with communities that surround religious spaces. Most of these church communities do not live in Parkhead'; '…These communities tend to leave Parkhead once their engagement with the church is over rather than staying…' (Participant T1, Private Practice Professional)	See Brand and Gaffikin (2007); Mouat et al. (2013); Schmidt-Thomé and Mäntysalo (2014) for examples of major conflict.	[+] Auchterarder, 2014-15: 'Auchterarder clearly has an extremely active and energised community who are focussed on and committed to improving the town and effective co-ordination between P&KC and the community groups…' (7N Architects, Nick Wright Planning, et al., 2015b, p 3) [-] Peterhead, 2014-15: '…a rise in anti-social behaviour'; 'One of the key aspects to this process was to overcome the inertia resulting from previous consultations' (Pidgin Perfect et al., 2015 , p 1) [-] Successful MP project application, 2017-18: 'Presently the local community is fragile, there is not a great deal of social cohesion. Many community groups work in silo and there are many local people who are not involved in any local activities. Trust has broken down and aspirations are lower, with a perceived lack of opportunity due to a range of social and economic pressures' (MP Respondent 15, personal communication, 2019).
References:	(Alcorta et al., 2020; Mitchell & Bossert, 2007; Putzel, 1997; Scrivens & Smith, 2013)		

Table 40: Characterising Pre-Existing Community Relations

8.2.6 Community Deprivation

Characterising project locations in terms of their SIMD 16 Overall ranking is helpful, given the commitment to tackling inequality (see Chapter Six). Using SIMD 16 Overall and 2011 Datazones, I determined whether a project placed in an area of need by identifying datazones, within the study boundary, ranked 1395 or below. Here, I suggest using project boundaries (and/or a 1.5 km radius from the project's centre) and SIMD vigintiles for a refined characterisation (Table 41).

				Scotland's 20% Most Deprived Datazones	
Vigintile 5%	SIMD Rank	Decile 10%	SIMD Rank	Quintile 20%	SIMD Rank
1 2 3 4	1 – 348 349 – 697 698 - 1046 1047 – 1395	1	1-697	1	1 - 1395
		2	698-1395		
Proposed characterization					

Table 41: Quintiles, Deciles and Vigintiles

Appendix C Section C.1.3 and Table 42 demonstrate the proposed characterisation in action as CMP, AI and MP project locations are represented by their lowest ranking datazones. With reference to Appendix C Section C.1.3 projects rendered dark blue may be markedly different in terms of local deprivation, compared to those rendered light grey. In-depth analysis of community deprivation can also be found in Chapter Seven and Appendix B. Table 42 shows projects, per funding round, with datazones in 5%, 5%-10%, 10%-15% and 15-20% vigintile brackets. Projects in areas with no first quintile datazones are shown in pale yellow.

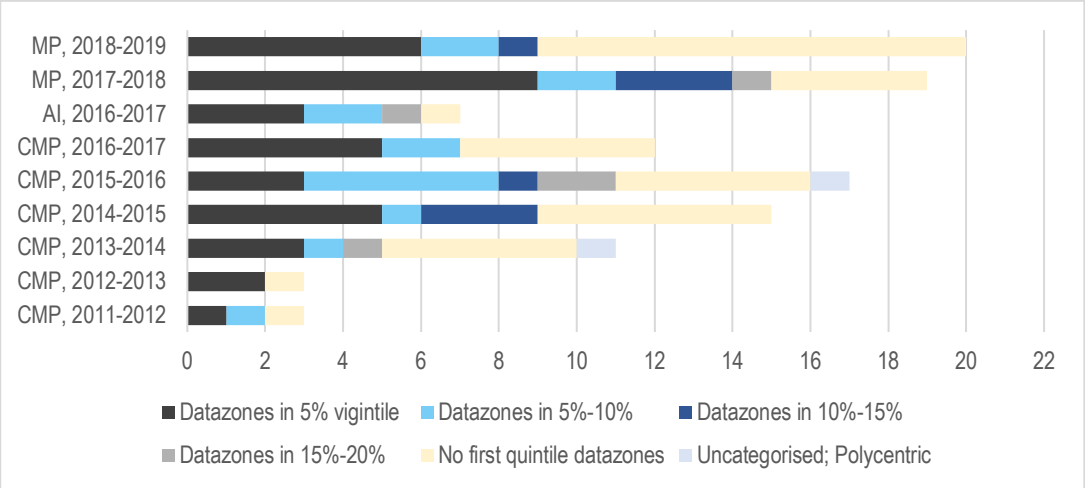


Table 42: CMP, AI and MP Projects Characterised by Vigintiles.

8.2.7 Previous Intervention

In Chapter Five, Professor Healey underscores projects are all subject to their own histories. In the same chapter, consultation fatigue is noted as a negative consequence of fulfilling participatory rhetoric and initiating uncoordinated projects. One Private Practice Professional suggested it is best to 'begin with the assumption people have been consulted to death. Everywhere you go in the country, just assume they've been consulted to death, it's safer' (Participant I1, Private Practice Professional).

Outputs reported CMP, AI or MP funding followed 'recent', 'extensive' or 'major' consultations providing momentum for the initiative (see New Cumnock, 2017-18; Denny, 2014-15; Tranent, 2014-15; Mayfield and Easthouses, 2017-18; Wester Hailes, 2017-18); other projects benefited from recent regeneration activity or investment (see Rothesay, 2015-16; Three Towns, 2016-17; Cupar, 2015-16; Dunoon, 2016-17; Dunfermline, 2017-18; Helensburgh, 2017-18); others further developed work started in earlier CMP, AI or MP grants (see Elgin, 2013-14, 2014-15; Clydebank, 2014-15,2017-18; East Pollokshields, 2015-16, 2016-17; Possilpark, 2016-17); a couple were deliverables-focussed rather than early, exploratory projects (see Glenrothes, 2016-17; Neilston, 2013-14); several cited earlier reports or wider initiatives providing context for CMP, AI and MP projects (see South Queensferry, 2013-14: Queens Cross Housing Association, 2017-18); and several used their award in connection with a wider, longer-term initiative (see Huntly, 2018-19; Dunfermline, 2017-17; Astley Ainslie, 2018-19)[37].

Therefore, describing previous intervention is an attempt to place CMP, AI and MP funding in relation to past or parallel initiatives, thus describing the general level of activity surrounding a project. I adopt the *many, few or none* categories used by Hassenforder, Smajgl, et al. (2015) to describe the number of attempts made on the issue or more generally within the project boundary.

[37] MP Mayfield and Easthouses (2017-18) and AI Possilpark (2016-2017) project outputs were personal communications and may not be publicly available.

Context Descriptor Summary

Scale

Issue Type	
Design / Development	
Community Visioning	
Local Place Plan	

Project Boundary	
Council / Locality Wide	
Island Community	
Canal / Waterway	
Community Asset	
Suburb, District, Area of	
Town / Village Centres	
Site Development / Regeneration	
Polycentric	

Urban / Rural Location	
Large Urban Area	
Other Urban Areas	
Accessible Small Towns	
Remote Small Town	
Accessible Rural	
Remote Rural	

Governance Levels	
Community	
Local	
National	
Global	

Shared Jurisdiction	
Greater Jurisdictional Complexity	
Lesser Jurisdictional Complexity	

Problem Complexity

Issue Significance	
Major	
Significant	
Noteworthy	

Issue Priority	
High Priority	
Pending	
Low Priority	

Community Relations	
Good Pre-existing Relations	
Moderate Pre-existing Relations	
No and/or Poor Pre-existing Relations	

Community Deprivation	Single	Multiple
2011 Datazone(s) ranked 348 or below		
2011 Datazone(s) ranked 349-697		
2011 Datazone(s) ranked 698-1046		
2011 Datazone(s) ranked 1047-1395		

Previous Intervention	
Many	
Few	
None	

Table 43: Summary of Context Descriptors

8.3 Process Descriptors

8.3.1 Commissioning Agency

Participation evaluation studies always ask, *who* instigated the PE? Beierle and Konisky (2000) distinguish between bottom-up and top-down processes by characterising projects either as *government* or *participant* led. Chapter Six traced this case's evolution finding community-led projects were increasingly encouraged from 2015-16 onwards. Content analysis of project outputs supports this anecdotal trend (Table 44).

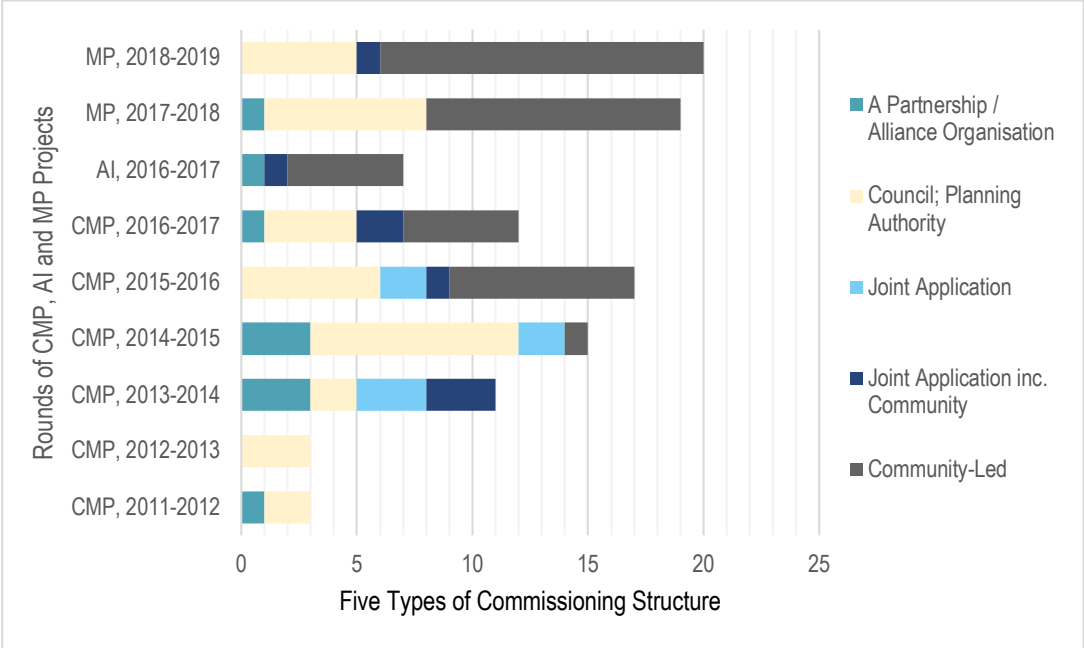


Table 44: Commissioning Structures of CMP, AI and MP

However, CTs are a little more nuanced than a binary government or community-led distinction. Given applicants were often expected to a) provide or source match-funding, and b) outputs used terms like *support from*, *on behalf of*, and *with funding from*. Peripheral agencies were often involved as broader CT members, for example:

> The funding for the delivery of the Charrette has been secured from a partnership of Scottish Government, SURF and Mount Stuart on behalf of the Alliance for Action. (Icecream Architecture et al., 2016 , p 4)

> The charrette initiative was led by Cupar Development Trust and other local stakeholders with support from PAS and funding from the Scottish Government, Fife Council and Awards for All. (PAS, 2016a, see Executive Summary)

Further, whilst projects initiated by a local authority would be considered *government* under Beierle and Konisky (2000), several declared they were *locally driven* endeavours part of the council's more inclusive, innovative and joined-up approach to local planning. This parallels the shift in *Issue Type* (under Context Descriptors above) toward Community Visioning and Local Place Planning, for example:

> In late 2015, *Angus Council* selected Arbroath as the focus for a major *locally driven* design charrette to actively involve local people, businesses and agencies in planning the future of the town centre. (Austin-Smith: Lord et al., 2016, p 7; emphasis added)

> During 2019, *North Ayrshire Council will be working with the local community* to decide a new set of priorities for Kilwinning's Future — which will then feed into how the Council and Kilwinning Locality Partnership deliver services, invest and plan or the future, and support community-led action. *This is a new way of working. Rather than the Council makes the decisions, it wants to help Kilwinning decide for itself.* ("Kilwinning's Future ", n.d. ; emphasis added)

Interviewee data sometimes contravened findings from output content analysis. For example, whilst the project applicant is listed as *council*, the idea and momentum may lay elsewhere as Participant N explained. In his/her case, the council-led charrette would not have happened without key community activists:

> Prockpen has been a successful charrette because members of the public have been- Andi and I were the catalyst for it. Prockpen would never had had one if Andi and I did not have that meeting about the [local hall]. It just wouldn't have happened, and Sacha agrees. We're the catalyst for making it happen. (Participant N, Community Group Volunteer)

Mindful of an overriding emphasis toward joined-up, collaborative planning processes (Scottish Government, 2019b), a binary 'government' or 'participant' led distinction conveys little about the real drivers behind projects. In response, I propose five options in Table 44 to better reflect the broader commissioning structure and suggest identifying other actors with a supporting role (seeTable 45), which is similar to the list of sectors used by Hassenforder, Smajgl, et al. (2015).

Five Client Team Structure		*Client Team receives support from:*	
	A Partnership; Alliance		Private Sector
	A single organisation that has convened two or more member agencies in a partnership arrangement. For example, the Dunfermline Heritage Partnership, formed in 2015, is a 'collaborative group of organisations working in built heritage locally' (Design Dunfermline, 2017-18, p. 3). The In It Together Community Partnership (involved in Mayfield & Easthouses, 2017-18) has a similar arrangement with several local member agencies (Newsroom, 2016).		Perth West (2014-15, p. 2) was commissioned by the local authority with 'support from Scottish Government and landowners [John Dewar Lamberkin Trust (JDLT) and Muir Homes] …'. Denny (2014-15, p. 16) claims the lead DT helped instigate the charrette: 'The proposal to bring the Charrette process to Denny was created by Icecream Architecture…'.
	Council or Planning Authority		Community; Civil Society
	A council department or planning authority constitute the lead applicant. I distinguish between council and planning authority given LLTNPA has planning jurisdiction with the national park; not, the local service authority.		Glasgow City Council commissioned Partick and Govan (2014-15) with 'funding support from the Scottish Government and GHA…' i.e., Glasgow Housing Association, a not-for-profit, registered charity.
	Joint Applicant		Public Sector
	Two or more agencies collaborate to co-host the charrette and/or community-led design initiative. Unlike 'A Partnership; Alliance' the agencies have not formed a formal partnership; rather, they are collaborating for the purposes of the project. For example, Whitburn (2013-14) and Tranent (2014-15) were jointly commissioned by their local authority and the respective CPP; the service and planning authorities collaborated for Balloch (2015-16); Scottish Canals have collaborated with local authorities in Muirtown & South Kessock (2013-14) and Bowling (2013-14).		Dunoon (2016-17, p. 7, see Concise Report) was commissioned by Scotland's Urban regeneration Forum (SURF) with support from a community steering group and Argyll and Bute Council. West Dunbartonshire Council instigated the Dumbarton Rock (2014-15, p. 5) charrette with support from a non-departmental public body, Historic Scotland.
	Joint Application with Community		
	Two or more agencies collaborate to co-host the charrette and/or community-led design initiative; one or more is considered to be either from community, third, charitable or voluntary sector. Given the emphasis on community-led (see Chapter Six) it is worth highlighting commissioning agencies that include non-profit, voluntary, community-based organisations. For example, East Renfrewshire Council, a Community Team and Neilston Development Trust collaborated to facilitate the Neilston (2013-14).		
	Community; Civil Society		
	The applicant team is principally comprised of agencies from the community, third, charitable or voluntary sector. Thus, the charrette may be seen as more *bottom-up* and is not commissioned by civic institutions with a statutory responsibility for community engagement / representation. This includes projects driven by locality or area partnerships that require community representation. Projects led by the AACT (Astley Ainslie Community Trust), The Crail Preservation Society or Scotland's Regeneration Forum (SURF) would fall under 'Community; Civil Society'.		

Table 45: Five Commissioning Structures and Examples of Silent Partners and/or External Support

8.3.2 Design Team Agency

Understanding who manages and delivers the PE is another important aspect of process design (Bishop, 2015). Although the CMP, AI and MP procurement process has changed slightly (see Chapter Six), content analysis of CMP, AI and MP outputs show many projects still appoint an external DT. Often comprised of a lead agency with sub-consultancy support, which is typical of NCI Charrette Handbook recommendations (see Lennertz & Lutzenhiser, 2017). A number of projects have also used a local steering or working group as an intermediary, which has included representatives from the CT or local volunteers: a strategy also recommended in The Charrette Handbook (Ibid, 2017):

> Charrette activity was guided throughout by a local Steering Group comprising representatives from West Lothian Council, NHS Lothian, West Lothian Councillors and the Fauldhouse Community Development Trust. (PAS, 2016b, p 1)
>
> Steering group: Renfrewshire Council, Foxbar and Brediland Community Council, Paisley Housing Association. (Nick Wright Planning & 7N Architects, 2018, p 4)
>
> The consultant will therefore be expected to design the engagement event to maximise participation. There is a group of local volunteers who have offered practical support to the project. (Participant T1, Private Practice Professional)
>
> The public engagement was led by GL Hearn and Iglu Studio, Shetland Islands Council Planning and Community Planning and Development Service, and members of the Scalloway community through the establishment of a Working Group. (GL Hearn & Iglu Studio, 2019, p 4)
>
> Posters were created by the team and then distributed by the Scout Service and delivery team in key locations around the town centre and outlying areas. (Dunfermline Heritage Partnership et al., 2018, p 9)
>
> Publicity for the workshops had been undertaken locally by members of the [name omitted] Group distributing posters and fliers, hand delivered letters to all neighbouring houses, and specific invitations to key stakeholders and groups. (MP Respondent 15, personal communication, 2019).

A handful of projects appeared to use some form of internal facilitation whereby those local to the project area (for example, CT members, local experts or volunteers) were involved in delivering engagement. Peterhead's externally appointed DT, Pidgin Perfect, worked alongside the project proposer, MODO (Pidgin Perfect et al., 2015); Action Porty appointed an independent facilitator to oversee three DTs comprised of local volunteer architects and/or landscape architects (MP Respondent 7, personal communication, 2019); and volunteers were listed as session facilitators for Westside Plaza's community and/or stakeholder

engagement (HarrisonStevens et al., 2018). With reference to external facilitation, I found six agency-types among forty-eight agencies that appeared in more than one CMP, AI and MP output, see Table 46.

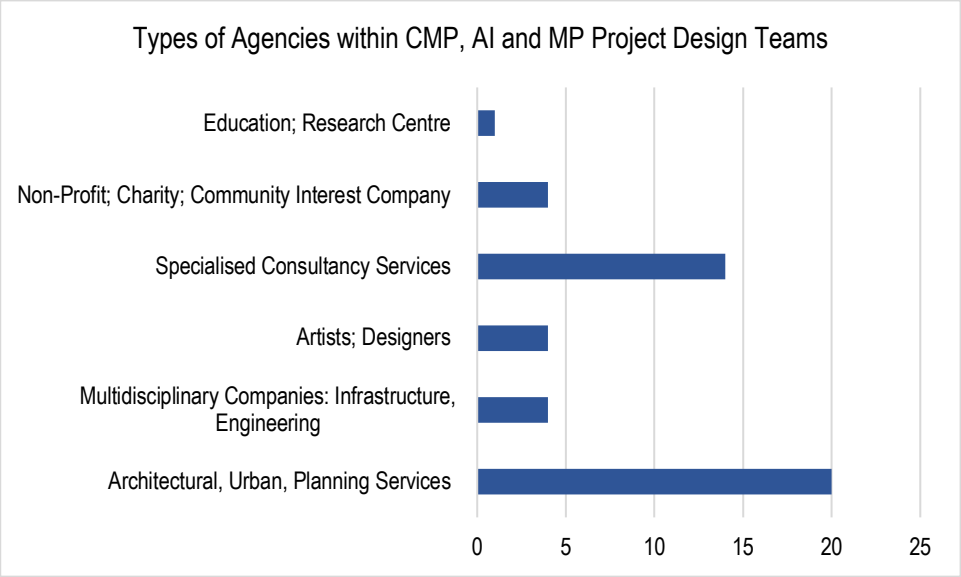


Table 46: Types of Firms Comprising DTs in CMP, AI and MP

'Architectural, Urban Planning Services' is the most often appointed agency-type, which has likely been a leftover from the Charrette Series:

> It was either architects or planners that were leads. Initially everyone was looking at what Duany had done. Because that's all we could say. We had to write a project specification and tell rough values, maximum values, duration and so you had these basic DTs. (Participant H, former Scottish Government Representative)

Community and stakeholder engagement has not been regularly outsourced, despite a burgeoning industry of specialists (Bishop, 2015). Although creative experts and trained facilitators (such as Wave Particle and Nick Wright Planning) have been frequently recruited into DTs (see Tables 47 and 48[38]). Conversely, one MP project took a different approach as agencies from the 'Specialised Consultancy Service' and 'Architectural, Urban Planning Services' categories were separately appointed to deliver either a consultation report or project deliverables (MP Respondent 15, personal communication, 2019). Some cast doubt on

[38] Table 48 identifies the number of connections and number of projects per DT agency. This data sometimes contradicted interview data that would imply much higher rates of involvement than presented here. The reason for this is my analysis is limited to the case and does not consider a DT's work outside of the case.

the professional cohort typically operating on Scotland's charrette scene, suggesting there is a lack of competence and risk associated with an overreliance on 'Artists; Designers':

> A lot of the time what's happening is people are buying in artists and students and so on because they are getting more person hours but they might not have the experience to translate that into a plan. And they may not have the experience to deal with difficult people. (Participant J, Private Practice Professional)

> There're not many people of Austin Smith Lord's calibre doing charrettes. So, these folks are going to get the jobs and ask if they can spin it out a bit. (Participant D1, Scottish Charity Representative)

> If we got an application come in saying we've engaged Austin Smith Lord, we've engaged Kevin Murray to do the charrette we would think that's a safe charrette where there are others who we would think 'umm, OK' but it's not for us to say. (Participant C, Scottish Government Representative)

Participant B suggested there are collaborations among 'experience with less experience', whilst Participant U1 observes many have developed a quid pro quo agreement i.e., 'you put me in a job, and I put them in a job kind of stuff'. Others implied shared learning amongst DTs is potentially inhibited by the competitive tendering process:

> Nearly all of those people are having to compete against one another. So why would I pass my lessons on to someone else when I need them to improve my own competitive position. So there probably should be an annual charrette review dialogue in the summer… some [DTs] just do one so they can say we've done a charrette. Their knowledge and learning get lost from the system so whereas each year we put back. (Participant J, Private Practice Professional)

Therefore, whilst some individuals and/or agencies are 'copy-left' (Participant I1, Private Practice Professional) or open source (Here+Now, n.d.), others are more guarded. Interviewees B and J (both Private Practice Professionals) suggested a social map uncovering the suspected working relations could be useful. Table 47 shows connections amongst the forty-eight identified agencies. Thus, describing instances agencies have worked as part of the same DT[39]. Those that have worked as either a 'Subconsultant' or 'Subconsultant and Lead' generally have a better level of connectedness. Coupled with project involvement rate, I found

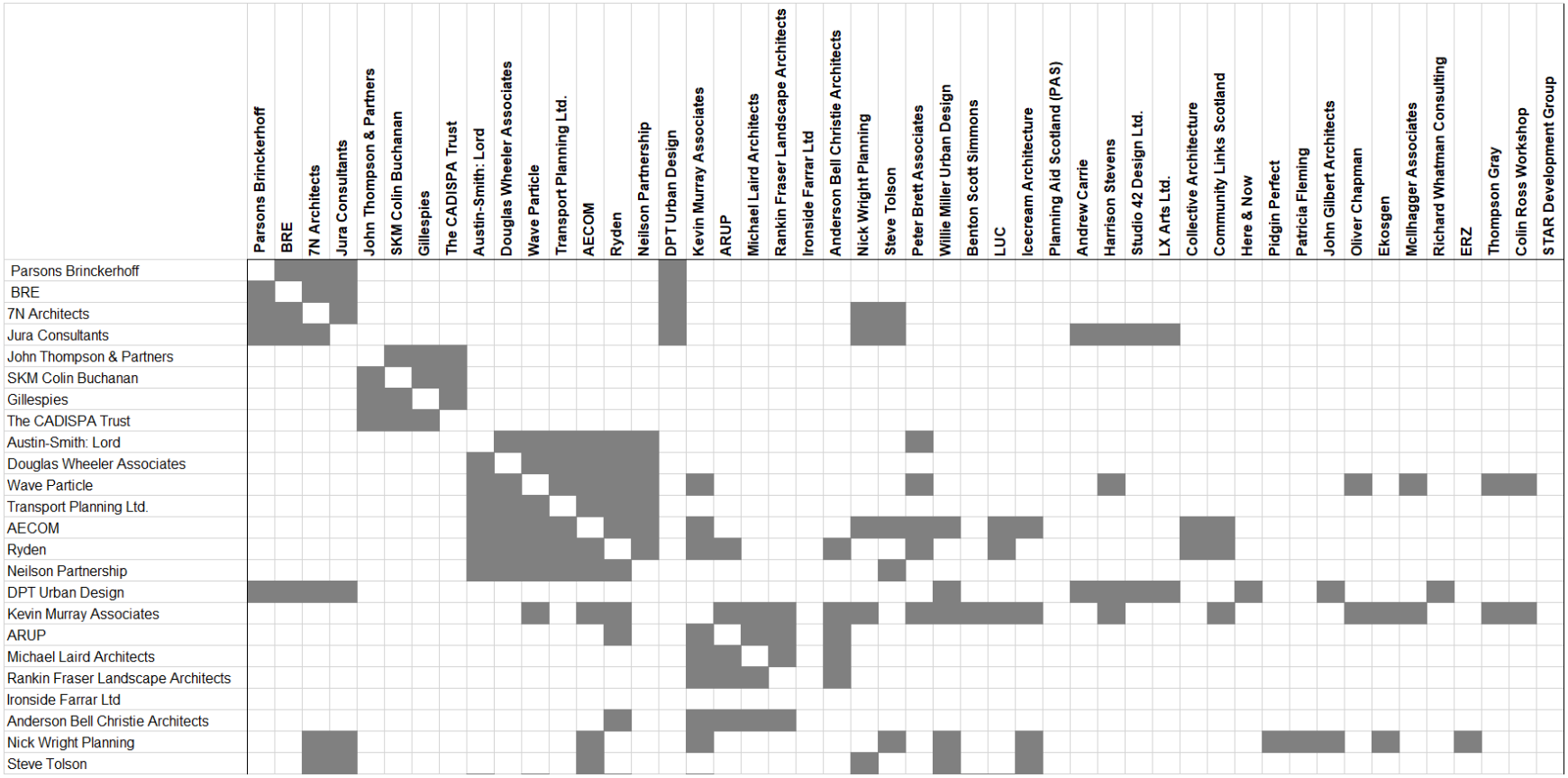
[39] Table 47 relies on publicly reported connections (i.e., those referenced in CMP, AI and MP outputs) and interview data. Other connections may exist; for example, PAS are known to work with volunteers, which may include students or professionals ("PAS," n.d.). Further, the analysis does not include firms cited only once given their limited involvement in the 'case'. Readers may refer to Appendix C Section C.1.4 for a comprehensive list of 122 agencies cited in project outputs.

five core[40] agencies: Wave Particle, Ryden, Kevin Murray Associates, Nick Wright Planning and Willie Miller Urban Design. Tables 47 and 48 will likely serve 'Community; Civil Society' led PEs as one Scottish Government interviewee recognised the challenges this group face:

> We don't procure the teams we give the applicants funding and they do their own. Sometimes that's one of the problems with the community groups is they don't have procurement processes in places. So, they would ask us for some advice 'oh, can you give me a list' and 'we can't really, no, we can't tell you who to'. (Participant C, Scottish Government Representative)

In conclusion of DT analysis, I propose distinguishing between: Internal, External or Combination DTs; whether a steering group is convened; and the type of agencies procured in a leading and/or supporting role.

[40] *Core* is defined here as firms with ten or more connections and a project involvement rate of ten or more. Anecdotally other firms -such as Austin-Smith: Lord- have been regularly referenced as one of the leading 'Architectural, Urban Design and Planning Services' working on charrette and/or community-led design initiatives. Therefore, readers should refer to Table 48 for a comprehensive overview of firms' associations and involvement rates, and be mindful analysis is restricted to the case only. Therefore, activities outside the case are not considered.


Parsons Brinckerhoff
BRE
7N Architects
Jura Consultants
John Thompson & Partners
SKM Colin Buchanan
Gillespies
The CADISPA Trust
Austin-Smith: Lord
Douglas Wheeler Associates
Wave Particle
Transport Planning Ltd.
AECOM
Ryden
Neilson Partnership
DPT Urban Design
Kevin Murray Associates
ARUP
Michael Laird Architects
Rankin Fraser Landscape Architects
Ironside Farrar Ltd
Anderson Bell Christie Architects
Nick Wright Planning
Steve Tolson
Peter Brett Associates
Willie Miller Urban Design
Benton Scott Simmons
LUC
Icecream Architecture
Planning Aid Scotland (PAS)
Andrew Carrie
Harrison Stevens
Studio 42 Design Ltd.
LX Arts Ltd.
Collective Architecture
Community Links Scotland
Here & Now
Pidgin Perfect
Patricia Fleming
John Gilbert Architects
Oliver Chapman
Ekosgen
McIlhagger Associates
Richard Whatman Consulting
ERZ
Thompson Gray
Colin Ross Workshop
STAR Development Group

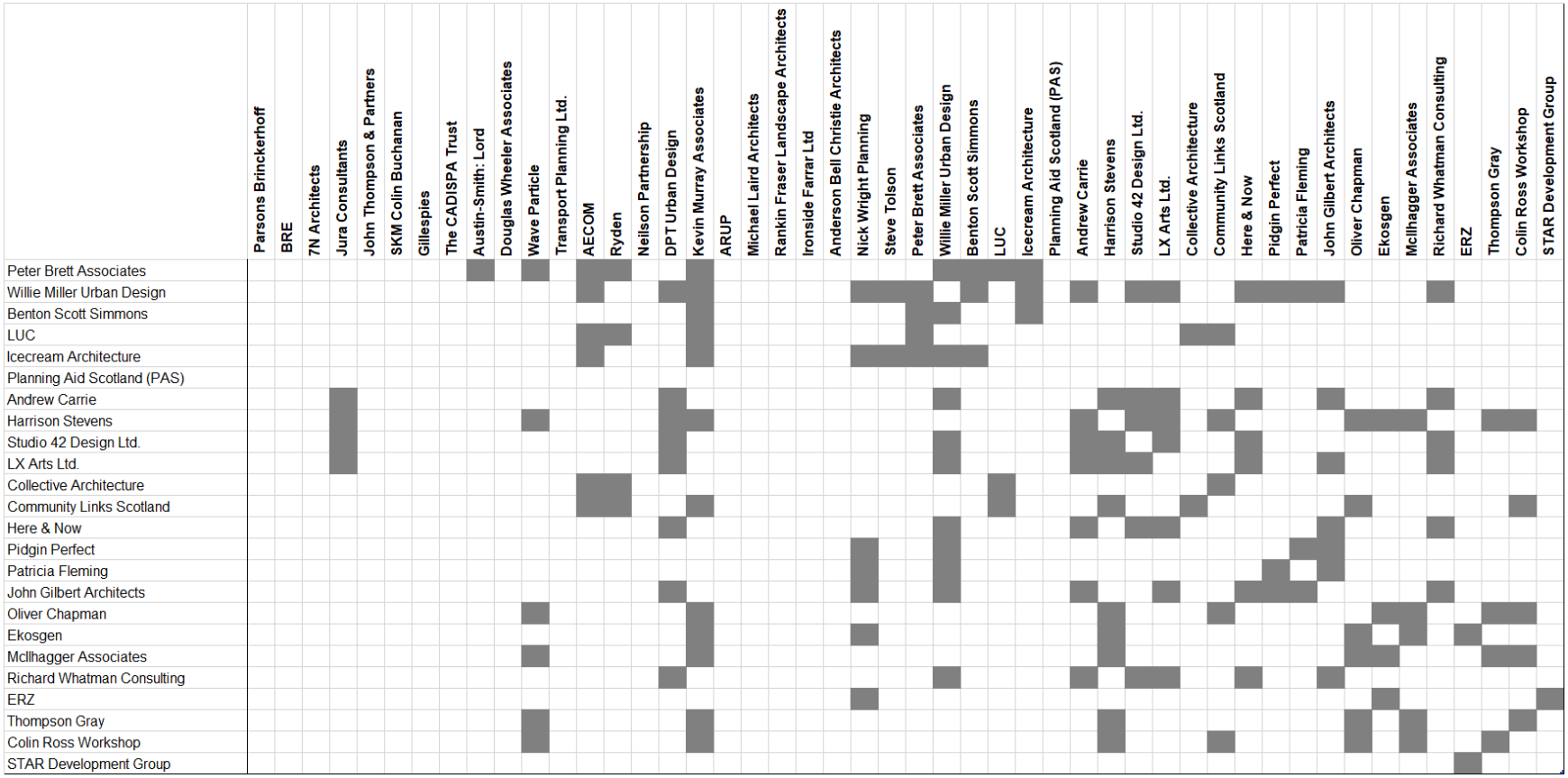


Table 47: Firms repeatedly involved in CMP, AI and MP projects.*Steve Tolson was not formally part of the Neilston CMP DT (2013-14, p. 5) but listed as part of the Project Team

	Role in Project			Type of Firm						Experience	
				Private Sector				Other			
	Subconsultant	Subconsultant + Lead	Lead	Architectural, Urban, Planning Services	Multidisciplinary Companies: Infrastructure, Engineering	Artists; Designers	Specialised Consultancy Services	Non-Profit; Charity; Community Interest Company	Education; Research Centre	No. of Connections	No. of Projects
Parsons Brinckerhoff		x			x					4	2
BRE	x								x	4	2
7N Architects		x		x						6	8
Jura Consultants	x			x						10	4
John Thompson & Partners			x	x						3	2
SKM Colin Buchanan	x						x			3	2
Gillespies	x			x						3	2
The CADISPA Trust	x							x		3	2
Austin-Smith: Lord			x	x						7	11
Douglas Wheeler Associates	x						x			6	9
WaveParticle		x				x				13	11
Transport Planning Ltd.	x						x			6	10
AECOM		x			x					15	7
Ryden	x						x			13	12
Neilson Partnership	x						x			6	3
DPT Urban Design		x		x						12	4
Kevin Murray Associates		x		x						20	15
ARUP	x				x					5	2
Michael Laird Architects	x			x						4	2
Rankin Fraser Landscape Architects	x			x						4	2
Ironside Farrar Ltd			x		x					0	4
Anderson Bell + Christie Architects		x		x						5	2
Nick Wright Planning		x		x			x			12	16
Steve Tolson	x									9	4
Willie Miller Urban Design		x		x						16	15

	Role in Project			Type of Firm						Experience	
				Private				Other			
	Subconsultant	Subconsultant + Lead	Lead	Architectural, Urban, Planning Services	Multidisciplinary Companies: Infrastructure, Engineering	Artists; Designers	Specialised Consultancy Services	Non-Profit; Charity; Community Interest Company	Education; Research Centre	No. of Connections	No. of Projects
Benton Scott Simmons	x			x						4	2
LUC		x					x			6	2
Icecream Architecture		x				x				7	10
Planning Aid Scotland			x					x		0	8
Andrew Carrie	x						x			9	3
Harrison Stevens		x		x						13	6
Studio 42 Design Ltd.	x			x						8	2
LX Arts Ltd.	x						x			9	2
Collective Architecture			x	x						4	2
Community Links Scotland		x						x		8	3
Here+Now	x							x		7	3
Pidgin Perfect			x			x				4	6
Patricia Fleming	x					x				4	2
John Gilbert Architects		x		x						9	4
Oliver Chapman		x		x						8	5
Ekosgen	x						x			6	2
McIlhagger Associates	x						x			7	3
Richard Whatman Consulting	x						x			7	2
ERZ			x	x						3	2
Thompson Gray	x						x			6	2
Colin Ross Workshop	x			x						7	3
STAR Development Group		x					x			1	2

Table 48: Project roles, firm type and experience in CMP, AI and MP projects described

8.3.3 Grant Awards

The Charrette Series were 'all singing all dancing' affairs and a more affordable solution was needed to expand the initiative (Participant H, former Scottish Government Representative). Therefore, how much does a *good* charrette cost? Participant J suggests north of £30,000 is needed to 'get a really good piece of work done'. This approximate budget covers the charrette event -not the pre- and post-phases- and is already a fraction of earliest charrettes in Scotland:

> When [Person X] met me in 2010/11 to talk about how do we take this forward and mainstream this? I said you need to get minimum, around £30,000 for a charrette. I didn't mean £30,000 [for] a 6-month project, I meant £30,000 is for all the planning and delivery for a charrette… It probably needs £40-50k for most charrettes, if not more. The early ones in 2010 it was £100-120k, they were much bigger events. So, there is another question in this which is: is the charrette the right thing? (Participant J, Private Practice Professional)

Contrary to this view, Participant E remained critical of the charrette's (already reduced) cost. Suggesting what communities typically 'need or want is the same thing', an alternative PE approach could 'probably figure it out in an afternoon for £100 of my time' (Participant E, Private Practice Professional). Both interviewees cast doubt on the mechanism, although different views on the financial resources required for good work remain. In broader literature, Rowe et al. (2004, p. 516) suggest evaluation is necessary 'to ensure the proper use of public or institutional money'. Coupling interviewee comments with the financial penalties failed PEs can accrue (for example see Mouat et al., 2013)), costs associated with CMP, AI and MP projects became a relevant, comparable trait.

With reference to personal communications and publicly available information (Scottish Government, 2018e), I obtained grant award details for 106 projects[41]. Table 50 shows total grant awards per CMP, AI and MP round. To better understand the variation among awards, I used standard deviation to derive eight cost categories (see Table 49 and 51). The average Scottish Government grant for CMP, AI and/or MP projects was £17,112. Grants ranged from

[41] Cost analysis presented here is based on CMP, AI and MP rounds only, not those in 2010. Plus, analysis excludes the Local Development Plan charrette in Motherwell, 2014-15. Further, the analysis rests on Scottish Government award donations only, which does not represent the full cost for many projects because the majority were match funded.

£3,000 to £60,761; the former for a 2018-19 MP project and the latter for a 2012-13 polycentric CMP project fully funded by the Scottish Government.

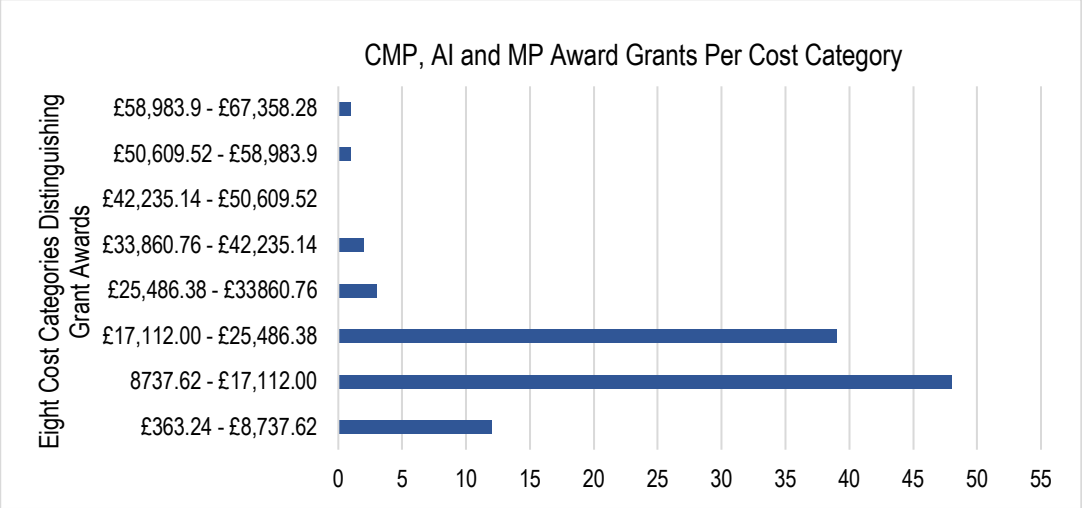


Table 49: AI and MP Projects Categorised by Eight Cost Groupings

The majority of projects i.e., 82%, fall within one standard deviation below or above the average (see Table 49 and 51). Among match-funded projects, Leith and Queens Cross Housing Association (both MP endeavours in 2017/18) could be considered high outliers falling into bands two and three standard deviations above the average. From this analysis, I propose five bands to describe cost categories. Readers can refer to Appendix C Section C.1.5 to see the applied categorisation and identify either a) average projects (in terms of award size) and b) high or low outliers.

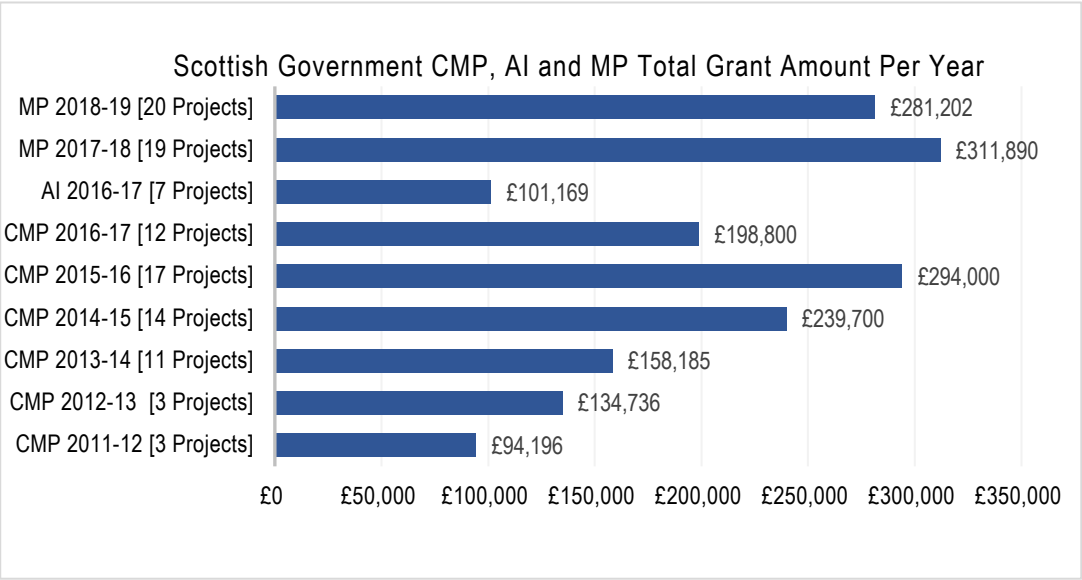


Table 50: Scottish Government Awards Per CMP, AI and MP Round

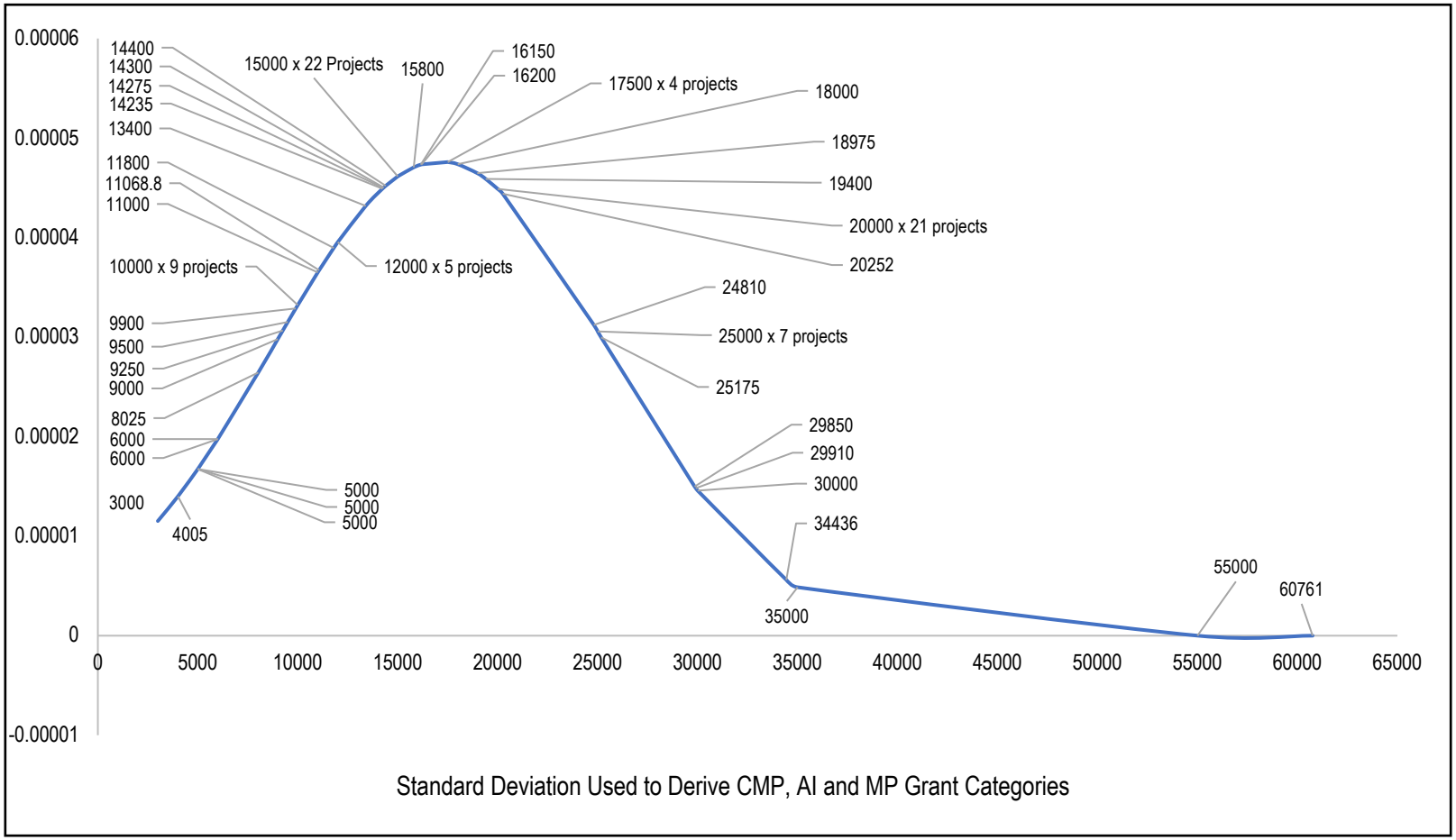


Table 51: Spread of CMP, AI and MP Award Donations

8.3.4 Mechanisms

The charrette *is* a mechanism for engaging community members and stakeholders in PEs. It sits alongside countless others; Rowe and Frewer (2005) provide an alphabetised list citing over one hundred different techniques, tools or 'composite processes' (also see Baker et al., 2007). The charrette may be an example of the latter given it combines single tools in an intensive, traditionally consecutive, design-led project.

The application of some tools are 'tightly regulated' to ensure authentic delivery (see Street et al., 2014, p 1 discuss Citizens' Juries). The Charrette Series, delivered by DPZ in 2010, was built on the NCI Charrette System, which is not synonymous with visioning exercises or single-day workshops (Walters, 2007). Integral to this system are nine key strategies including working collaboratively and within the project site, compressed working sessions, three iterative feedback loops and a consecutive, multi-day format (Lennertz & Lutzenhiser, 2017). Walters (2007) argues this approach is advantageous and more effective than other (commendable) participatory techniques.

As discussed in Chapter Six, there has been a deliberate shift from the 2010 exemplars with a conscious effort to cultivate homegrown processes. For example, PAS has worked since 2013 on their trademarked Charrette*plus*® model ("PAS," n.d.), whilst private practice professionals proffer format improvements that partially strip the charrette of its key attributes. Among interviewees and charrette outputs there is little agreement on 'whether the programme of 3,4,5 days is better than a number of days spread over time' or if a 'one-day blast three times over three or four months might be better' (Participant J, Private Practice Professional). Therefore, PE delivery was inevitably varied, for example:

> This proposed project acknowledged the experience of SAC[42] in taking part in charrette type engagements. The challenge is to achieve a significant level of sustained engagement. To do this SAC expected that engagement has to develop over a more extended period than a traditional charrette and this was a valuable learning point from both the Maybole and Prestwick Town Centre Charrettes. (Willie Miller Urban Design et al., 2018, p 1)
>
> Across the four days of the charrette there was a sequence of sessions that took participants progressively from exploring the issues of the area as it is today before creating and testing ideas, building to a development framework and masterplan

[42] The quote is referring to South Ayrshire Council i.e., SAC

> that the team presented on the final day. This intensive process allows for many people to participate in the creation of a piece of work that could normally take 3 – 6 months, ensuring that stakeholders and the community have had the opportunity to participate directly in the process. (Oliver Chapman Architects et al., 2016a)

Although format flexibility has always been welcome, PEs should not become engagement exercises only. But remain iterative, evolving, design-led projects. However, others reflected on Scotland's 'charrette' evolution suggesting processes 'unpack' the same way regardless of context, with many struggling to move beyond data gathering in the absence of specificity:

> We are much more flexible on that now. But what we don't want to do is fund something that is not a charrette and it actually becomes something more like a traditional consultation event where you've got five workshops over the next five months, that is something different. (Participant D, Scottish Government Representative)

> I am massively caricaturing this but the ones I've seen follow the same format and it kind of doesn't matter what town you're in, it unpacks in the same way. (Participant I, A+DS Representative)

> We are morphing it into something new in Scotland. I suppose the origins of it, the cart on the way to present your work, is all about design and an image and creating something. But, you know, a lot of the post-it based information gathering, which then gets 'we'll take that back and we'll take it away' and then it gets put into a report, it's a different thing altogether. (Participant G, SNH Representative)

Regardless of whether Scotland's evolved PEs are performing well or not, the charrette moniker is arguably inappropriate for many projects. Given the frequent public rebranding[43] and the term falling out of favour (see Chapter Six), this is unlikely to be controversial suggestion[44]. The term should be better protected to help understand what has been delivered. Therefore, use charrette if the process and its tenets are consciously selected and applied because they lend well to the situation. Rowe and Frewer (2005) suggest terms for mechanisms are unhelpfully interchanged. Continued use of charrette as a catch-all signature simply clouds the water as it becomes devoid of meaning in the Scottish context.

---

[43] Many CMP, AI and MP projects eliminated the word 'charrette' in an attempt to rebrand projects with a public-friendly name; some, selected by members of the community. For example, 'the charrette process was named 'Golden Glenrothes' by the pupils of Glenwood High School' (PAS, 2017d, p 3).

[44] Participant U (a Local Government Representative) felt there is a need to keep 'charrette' in use: 'I think at this time of Brexit we need to fight back, introduce new words, we'll continue to borrow English words. I don't think we should stop using the word. Local people quite liked the word. Otherwise, people here, how will they get access to new vocabulary and concepts? It's a popular term' (personal communication, 2017).

That leaves endeavours to be described more vaguely as community-led design events comprised of different formats and mechanisms. For example, Fauldhouse led a two-month pre-charrette phase (PAS, 2016b), Easterhouse had a 'five-week period of advance engagement' prior to workshops (ERZ Limiteed, 2018, p. 8) and Falkland and Newton held pre-charrette activities one week prior to a '3+1' formatted event (Austin-Smith: Lord et al., 2018b, p 18). Others opted for *non-consecutive* formats with multiple events over several months: Ayr North listed sixteen engagements from March to September (Willie Miller Urban Design et al., 2018) and Helensburgh initiated ten from May to August (Icecream Architecture & Willie Miller Urban Design, 2019).

Content analysis of project outputs show format could be crudely deconstructed into three phases (Table 52), which is not dissimilar to others' breakdown (see AlWaer & Cooper, 2020).

Phase	Elements
Stage One: Project Preparation	• Event Preparation Refining project brief, objective setting; DT formation; conducting stakeholder identification and analysis; conducting base data research; charrette / main event scheduling and logistics. • Pre-event Engagement DT, CT, Working / Steering Group agree process with identified key stakeholders; main event and/or project promotion; initial outreach and engagement; informational and scoping events.
Stage Two: Formal Engagement	• Main Event Event launch, engagement activities, establishing a vision; developing concepts, alternatives through engagement and review sessions; working toward preferred options; culminating in final event public meeting. • Post Event; Feedback Output refinement; final public presentation; production of final output; and output(s) dissemination
Stage Three: Post-Charrette	• Implementation Advance work on short, medium and long terms projects agreed; implement M&E of deliverables.

Table 52: Basic outline of typical, consecutive charrette-type event

Chapter Four introduced existing typologies: mechanisms have been characterised according to their objectives, construct similarities and innovativeness (Baker et al., 2007; Baker et al., 2010; Petts & Leach, 2001; Rosener, 1975). With reference to broader literature, seven mechanism categories organised by three levels of participation are proposed here: promote and inform; gather and consult; interact and participate. Similar to research tactics (see Chapter Three), mechanisms can be used for different purposes i.e., used at different 'levels'. For example, 'Informal; In-Situ' mechanisms are often used pre-charrette *to promote and*

inform as well as later in the main event to *interact and participate*. Therefore, mechanisms are not strictly ringfenced but categorised based on their general purpose and traits (see Table 53 and Figure 38)[45].

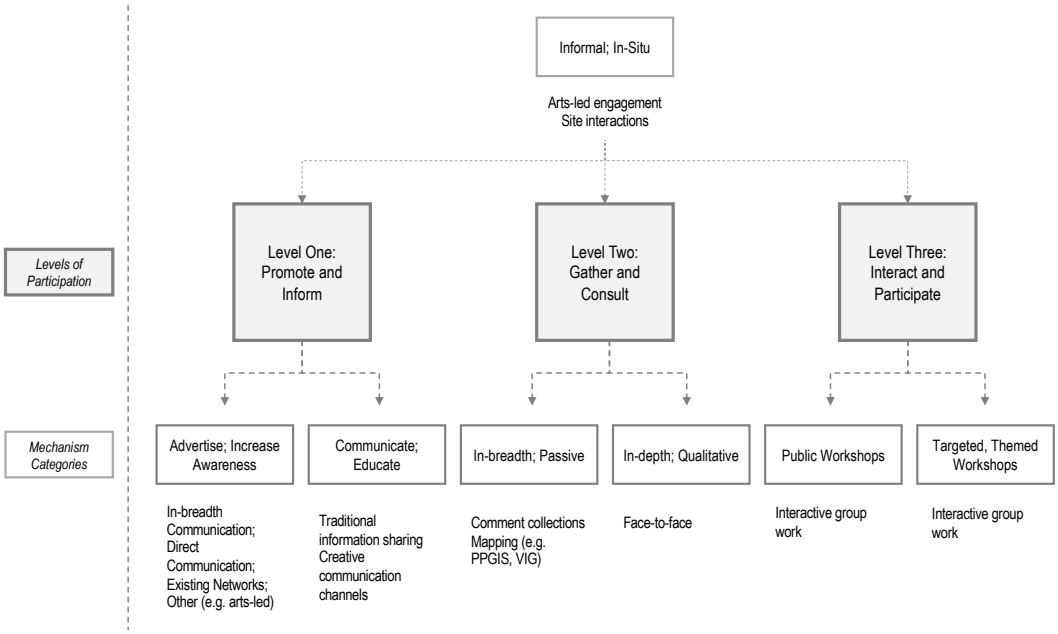


Figure 38: Seven mechanism categories organised by three levels of participation

[45] Table 53 includes some citations; however, readers can refer to Chapter Seven and Appendix B project annotations for a fuller description of projects' format and mechanisms. This record is the source from which characterisation was derived.

Description

1. **Advertise; Increase Awareness:** The objective is to create project awareness and generate interest in upcoming participatory activities. Typically described as the 'pre-charrette' phase, communication flows from the Client, Design and/or Steering Teams to community and stakeholders.

Examples:

- In-breadth Communication: media strategies, new and/or temporary websites, social media platforms, unmanned exhibitions / pop-up displays, leaflets (posted and distributed at busy commuter stations), free pin badges, banners and posters, door-to-door campaigns, advertising at local events.
- Direct Communication: stakeholder database, hand delivered letters, personal emails.
- Existing Networks: stakeholders, agencies and contacts asked to spread the word.
- Other: street performances, photography exhibition (Peterhead, 2014-15: Westside Plaza, 2017-18).

2. **Communicate; Educate:** The objective builds on project promotion to information dissemination and sharing, which may have an educational element for all parties -including Client, Design and Steering Group Teams. Traditional mechanisms such as publishing base data research or site visits may be used alongside more innovative tools; for example, a pop-up recording studio 'where local people were able to help/learn to create samples/loops/effects' was used in Easterhouse's MP early, pre-event engagement phase (ERZ Limiteed, 2018, p 9).

Examples:

- Traditional Information Sharing: Keynote speakers, expert presentations (i.e., locals and/or professionals), targeted meetings, introductory (public) meetings, manned exhibitions, site visits / walkabout tours (i.e., expert or community-led) and design-studio drop-in sessions.
- Creative Communication Channels: interactive live build demonstrations, pop-up educational activities, short films (for example, local interviewees or documenting a "day in the life of", see Denny, 2014-15; Johnstone SW 2011-12; Govan & Partick, 2014-15; Dunfermline, 2017-18), large scale interactive model of project site (see East Pollokshields, 2015-16).

3. **In-breadth; Passives:** The purpose of these tools is to gather in-breadth data through passive, indirect means. Information may be fed back via one-way communication channels in relation to an issue, question or proposal, which may be considered and potentially used to shape outcomes and/or generate new data. These methods accommodate participants unable to attend in person or those that prefer not to participate in interactive sessions. Additionally, behavioural observations that require no direct interaction could be used to record data (see Lennoxtown, 2015-16; Blairgowrie & Rattray, 2015-16).

- Comment Collections: Installing temporary comment sheets / post-boxes in project area, questionnaires (online & paper formats), manned or unmanned exhibitions with comment boards, voting / polls, ideas bank (for example, record of all submitted comments, see Helensburgh, 2017-18).
- Mapping: Internet based public participation geographic information system (PPGIS) to elicit volunteered geographic information (VGI) from local residents (see Kilwinning, 2018-19), land mapping stickers / balloon exercises (see Rothesay, 2015-16).

4. **In-depth; Qualitative:** Unlike indirect feedback that can generate quantifiable data, the purpose of in-depth mechanisms is to gather more personal, qualitative responses that are collated through a range of interview-style techniques. For example, these could be pre-arranged interviews as conducted in North Lanarkshire (2013-14), on the spot interviews with (for example) business owners conducted in Rothesay (2015-16), 'ad-hoc chats' cited in Helensburgh (2017-18) or informal conversations as passers-by drop-in to temporary design studios (MP Respondent 3, personal communication, 2019).

Examples:

- Face-to-Face: Group discussions, forums or focus groups, planned, meetings, one-to-one interviews, ad-hoc conversations; drop-in design studio discussions (several projects occupied vacant shops in project site's centre).
- Other: telephone interviews

Level One

Level One

Level Two

Level Two

5.	**Public Workshops:** Deliberative, interactive group activities is an often cited tool used at various project stages. Communication flows between community and stakeholders with exercises to share insights, knowledge and perspectives, for example, through Pecha-Kucha style sessions and storytelling evenings (see, Dunfermline, 2017-18-; Crinan Canal, 2015-16; Dunoon, 2016-17: Kincardine, 2016-17). The purpose may be to explore issues helping to structure subsequent project stages. During the main event interactive activities may gather feedback on proposals, create participant dialogue and work toward option refinement. Leading to project close, workshops may be used prioritise and finalise projects before output publication. These activities, sessions grouped under the 'workshop' banner are typically pre-planned and rely on active citizens and stakeholders.	Level Three
Examples:	• Interactive, Group Work: Future Visioning, Place Standard tool, structured discussions (e.g., brainstorming), scenario planning, hands-on design sessions, feedback and interim reviews.	
6.	**Targeted, Themed Workshops:** Specialist knowledge may be sought through targeted, themed sessions; for example, with a particular demographic, sector or area of expertise. Themed workshop sessions (in the main event) are often based on issues discovered through Level One and/or Level Two engagement. For example, Langholm (MP, 2018-19) specifically targeted a younger demographic; Bowling (2013-14) required technical sessions to better understand site development feasibility; and Dunfermline (2017-18, p. 12) used their advance engagement 'to inform the structure and approach for the workshops' in the main event.	Level Three
Examples:	• Interactive, Group Work: Topic-based sessions; invited stakeholders, targeted meetings.	
7.	**Informal, In-situ**: The purpose of this category is to underscore mechanisms that work across all three levels by *going-to* project sites and/or the target audience (Baker et al, 2010). *Going-to* mechanisms are not dependent on motivated participants attending formal activities (such as public and/or targeted, themed workshops). Instead, activities are opportune, take advantage of existing communicative spaces (i.e., meetings, local events), generally less formal and work within everyday arenas (for example local supermarkets, established coffee morning groups). Many CMP, AI and MP projects initiate a period of artist-led pre-event engagement, which make use of 'Informal; In-situ' mechanisms. Others use interactive, in-situ approaches for their entire process (Phoenix Nursery, 2017-18).	Level One; two; Three
Examples:	• Arts-Led Engagement: community fun-days / Gala Days, BBQs, community meals, serendipitous, on-street engagement with discussion materials (e.g. large vinyl map, charrette cart), free drawn and/or photographic portraits, photography exhibitions, 'a pop-up interactive drama' in Easterhouse (2016-17), community group visits. • Site interactions: act of making, live build workshops.	

Table 53: Definition of Mechanism Categories

8.3.5 Access

The final process descriptor distinguishes between public and private projects. The majority of CMP, AI and MP projects were open-to-all with a conscious (egalitarian) commitment to engage widely. However, North Lanarkshire (2013-14, p. 1) was a 'charrette with a difference' as it involved the local business sector only. Second, Elgin (2013-14, p. 8) commissioned a mini-charrette before commissioning a subsequent, full public charrette the following year (Elgin, 2014-15). More recently, Langholm's (2018-19) public charrette focussed particularly on the younger demographic.

In response, I propose distinguishing between *public, private* and *focussed* charrettes to describe the target audience.

Process Descriptor Summary

Client Team

Client Team Structure	
A partnership / alliance organisation	
Council / Planning Authority	
Joint Application	
Joint Application with Community	
Community; Civil Society	

Client Team Received Support from:	
Public Sector	
Private Sector	
Third Sector	

Design Team

Facilitation	
Internal	
External	
Combination	

Steering / Working Group	
Yes	
No	

Firm Type	Leading	Supporting
Architectural, Urban and Planning Services		
Multidisciplinary Companies (e.g., infrastructure, engineering)		
Artists / Designers		
Specialised Consultancy Service		
Non-profit, Charity; Community Interest Company		
Education; Research Institute		

Grant Awards	
-2SD, Below Average (£363.00 - £8737)	
-1SD, Below Average (£8737 - £17,112)	
+1SD Above Average (£17,112 - £25,486)	
+2SD, Above Average (£25,486 - £33,860)	
+ 3SD, Above Average (£33,860 - £42,235)	

Access	
Public	
Private	
Focussed	

Mechanisms	Promote / Inform	Gather & Consult	Interact & Participate
Advertise; Increase Awareness			
Communicate; Educate			
In-breadth; Passive			
In-depth; Qualitative			
Public Workshops			
Targeted, Themed Workshops			
Informal; In-Situ			

Table 54: Summary of Process Descriptors

8.4 Objectives, Outputs and Outcomes

This final section describes what charrettes and/or community-led design events sought to achieve and what is subsequently generated. Intentions and results are interlinked (Figure 39); for example, if *reducing opposition* is a goal of public and stakeholder participation, the subsequent hoped-for outcome is *reduced opposition*. Similarly, if the initiative is tasked with producing a *site masterplan* the subsequent output is likely to be a new site masterplan. The remaining discussion is structured by Figure 39's four themes.

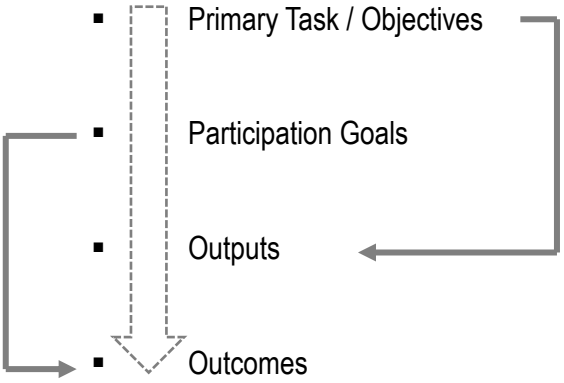


Figure 39: Objectives, Goals, Outputs and Outcomes Interlinked

8.4.1 Primary Task / Objective(s)

Cestero (1999) asks, what is the focus of the group's work? I suggest three general categories under Issue Type (Design or Development, Community Visioning and Local Place Planning) but more specifically attempt to describe task-types here. However, a lack of shared definitions in CMP, AI and MP outputs made distinguishing charrette objectives difficult.

For example, Dunblane's objective was to produce a community action plan -supported by a spatial strategy- and a shared realistic vision (PAS, 2015b); whilst Ayr North endeavoured to 'establish a longer-term 'vision' or action plan' (Willie Miller Urban Design et al., 2018, p 1); Hamiltonhill, Applecross and Firhill's vision was developed into a spatial development framework (LUC et al., 2016); Buckhaven produced a spatial masterplan and separate action plan (PAS, 2017a, 2017b); Dumbarton Rock's objective included an action plan that took the form of a development framework and masterplan output (Anderson Bell Christie et al., 2015);

and so too did Crinan Canal's vision become a development framework and masterplan (Oliver Chapman Architects et al., 2016a).

Observing a change in scale, some outputs were explicit in distinguishing masterplan from other objectives, such as a development framework (see Kevin Murray Associates, Anderson Bell Christie Architects, et al., 2014 ; LUC et al., 2016). Leith (2016-17) more specifically rejected the masterplan output given a history of failure:

> The Charrette was promoted… as the basis for evolving a Development Framework (rather than detailed masterplan). (Kevin Murray Associates, Peter Brett Associates, et al., 2014 , p 1)
>
> We recognise that Leith has been victim to a series of failed masterplans. It is not our intention to create another one. Instead this Blueprint forms the result of our findings. (Leith Creative, 2017b)

However, other reports -characterised here as Community Visioning under Issue Type- used terms interchangeably or as a catch-all describing several objectives under one banner as part of a 'whole place planning' approach; for example, a vision, an action plan and a development framework are rolled into a *masterplan framework* (Austin-Smith: Lord et al., 2016; Austin-Smith: Lord, WAVEparticle, et al., 2015). The action plan details non-physical projects whilst the development framework focusses on 'physical regeneration':

> The report summarises survey and analysis of Whitburn, outlines the Vision agreed at the Charrette and sets out an Action Plan and Development Framework of mutually supportive priority projects. In the spirit of 'whole place planning' the Action Plan sets out nonphysical initiatives supported by, and supportive of, a Development Framework of physical interventions. (Austin-Smith: Lord et al., 2016, p 2)

Whilst DTs show consistency across several outputs using *their* terms, much overlap and inconsistency across the 'case' made definitive characteristics difficult to assign to often cited terms. A lack of clarity surrounding definitions is not restricted to this case; *master planning* is an evolving, heterogeneous concept (Giddings & Hopwood, 2006; Madanipour et al., 2018). Nevertheless, I discerned seven general task types typical of charrettes and/or community-led design initiatives (see Appendix C Section C.1.6). However, given the fuzziness described, findings were cross-referenced with broader literature.

As aforementioned, Margerum (2011) distinguishes between action, organisational and policy-oriented projects to discern *levels* targeted (see Governance Levels). The typology could be adapted to describe PEs working to produce indicative guidance or frameworks -

organisational- and those focussed more narrowly on deliverables -*actions* and *operations*. Out with Margerum's typology, the examples of participation-evaluation in Chapter Four also show PEs convened to explore or inform decision-making (see Aitken, 2010; Cunningham & Tiefenbacher, 2008; Hassenforder, Smajgl, et al., 2015, p.86 'objectives') or to generate new research, data or recommendations, which later actions or organisational strategies can draw. Table 55 -alongside Appendix C Section C.1.6- show literature references married to content analysis of CMP, AI and MP outputs.

Primary Task(s) and/or Objective(s)	CMP, AI and MP Content Analysis: Objective Groupings	References
Inform, explore decision-making options		(Aitken, 2010; Cunningham & Tiefenbacher, 2008)
[organisational] Inform, generate a revised or new strategy, framework or policy	*[2] Shared Vision; [3] Local Strategy; [4] Development Framework; [5] Masterplan.*	(Baker et al., 2007; Bickerstaff et al., 2002; Blackstock & Richards, 2007; Brown & Chin, 2013; Finnigan et al., 2003; Harrison et al., 2004; Kahila-Tani et al., 2016; Lamers et al., 2010; Marzuki et al., 2012)
[action] Refine proposal, agree deliverables, secure agreement; implementation strategy	*[6] Potential Action; [7] Deliverability Work.*	(Bedford et al., 2002; Gelders et al., 2010; Mouat et al., 2013; Omidvar et al., 2011; Roma & Jeffrey, 2010)
Generate, contribute to new research, data and/or recommendations.	*[1] Community appraisal*	(Blackstock et al., 2007; Kelly et al., 2007)

Table 55: Primary Task / Objective Descriptor derived from content analysis of project outputs and broader literature references

8.4.2 Participation Goals

Goals or the anticipated outcomes are distinguished from outputs. Innes and Booher (1999b, p 415) deconstruct the two: 'A process may have a task such as preparing a plan for a water resource, which leaves largely undefined what outcome is intended'. Examples from CMP outputs further illustrate the point:

> The ethos of the Charrette process is to empower and engage the local people and the communities, in which they reside, in the future planning of their town and the local area with the aim of setting a masterplan framework for the town's future development, growth and regeneration. (Austin-Smith: Lord, WAVEparticle, et al., 2015 , p 6)
>
> The overaching [sic] objective of the Think Dunoon Charrette was to prepare a vision for Dunoon town centre to ensure that the town performs better and is more

> attractive for local people and visitors, including day-trippers. (Austin-Smith:Lord et al., 2017, p 7)
>
> Choose Peterhead was a fun process that aimed to create and deliver a community vision and action plan for Peterhead Town Centre. Moving forward, Choose Peterhead will re-establish the town centre as a destination for social and leisure activities and the recognised hub of community activity in the town. (Pidgin Perfect et al., 2015 , p 5)
>
> The fundamental aim of the charrette process was to prepare a realistic, feasible and integrated strategy and action plan, establishing the priorities for investment in improving the physical appearance, facilities, services and access to and around Falkland and Newton of Falkland, with the full support of local residents, businesses and key stakeholders. (Austin-Smith: Lord et al., 2018a, p 4)

A project's task and subsequent output (e.g., a masterplan framework, vision, or strategy) are separate from empowerment outcomes, community influence, local buy-in or improved physical attractiveness. The latter describes what the process and output intend to enable. Therefore, investigating rationales 'is asking the question 'Why do Participation?'' (Wesselink et al., 2011, p 2690). I have discussed at length the different motivations for a PE[46]. In short, rationales range from a commitment to honouring citizens' rights, to output betterment and assisting project implementation (see Table 56 for a literature summary).

(Blackstock et al., 2007; Fiorino, 1990; Jones et al., 2009; Stirling, 2006; Stirling, 2008; Wesselink et al., 2011)	*End in itself; democratic; deliberative; citizens' rights; empowerment* ⟷		*Means to an end; problem progress; outcomes; self-serving*
	Normative	Substantive	Instrumental
(Mathur et al., 2008)	*Ethical* — *Dialogue Oriented*		*Management*
(Kelly et al., 2007; Martin & Sherington, 1997)	*Development Driven*		*Research Driven*
(Hopkins, 2010a)	*Democratic or Ethical*		*Pragmatic*
(Rydin & Pennington, 2000)	*Democratic Right*		*Policy Delivery*
(Tuler & Webler, 2010)	*Egalitarian Deliberation*	*Agency-Centred; Informed Democratic*	Science Centred

Table 56: Summary of rationales for public and stakeholder participation cited in broader literature

Identifying reasons for initiating broader involvement is often challenging, however. General commitments to include citizen and stakeholder testimony can be easily identified, but less

[46] Chapters Four and Six discuss rationales with reference to broader literature and, more specifically in the latter, the CMP, AI and MP case. Chapter Five presents findings from analysing empirical participation evaluation studies and shares the preliminary evaluation framework, which identified three broad participation goal groups. This was subsequently revised following the expert review, see Appendix C Section 12.3.8.

regularly expressed is an explicit description outlining its utility (Bickerstaff & Walker, 2001). Expectations of public and stakeholder participation are numerous and not 'mutually exclusive' (Laurian & Shaw, 2009, p.296); hence several pursuits can be posited at once. Laden lists can result in a lack of clarity and specificity, or even incompatibility (Bailey, 2010; Bellamy et al., 2001; O'Faircheallaigh, 2010). O'Faircheallaigh (2010) recognises a similar issue when researching public participation in Environmental Impact Assessment. A participatory approach is often seen as a good thing citing a catalogue of benefits justifying its inclusion. However, little is done to differentiate objectives for involvement and match participatory mechanisms best suited to goal fulfilment (O'Faircheallaigh, 2010; Petts & Leach, 2001).

Yet, motivations and reasons (for initiating broader involvement) should be understood given they define the type or *level of participation* on offer and the desired outcomes (Laurian & Shaw, 2009; Petts & Leach, 2001; Rosener, 1981). As discussed, goals provide a benchmark for evaluation and assessment as they become measures of success (Bellamy et al., 2001; Conley & Moote, 2003; Laurian & Shaw, 2009). However, as per Innes and Booher (1999b, p 415), goals can often change or consensus building processes may start with no shared goal 'other than ending stalemate'.

There are countless participation goals that have been grouped in various ways: for example, those grouped by rationality i.e. normative, substantive and instrumental (see Bickerstaff & Walker, 2001); similarly their ethical-normative or functional leaning (see Webler & Renn, 1995); by type e.g. process, democratic, outcome, social, user-based (see Laurian & Shaw, 2009); their temporal and tangible / intangible nature (Innes & Booher, 1999b); and, in Arnstein (1969) fashion, according to participation level (see O'Faircheallaigh (2010)). Others provide short lists of social goals, purposes or core participation objectives (Bailey, 2010; Beierle & Cayford, 2002; Beierle & Konisky, 2000; Innes & Booher, 2004b).

The preliminary framework (see Chapter Five) identified three broad participation goal groups that were revised following the expert review. Here, I present Participation Goals and Outcome descriptors (see Appendix C Section C.1.7 for an expanded discussion). Table 57 draws from a) Stage One findings and b) primary data presented in Chapter Six i.e., expectations of CMP, AI and MP.

Participation Goals	*Participation Outcomes*
Practical Functioning (Instrumental)	**Practical Functioning (Instrumental) Outcomes**
1. Ensure Joint Approach; Largely Agreeable Output Source: (Ch. 6, 'Collaborative Arrangements'; Bickerstaff & Walker, 2001)	A widely agreeable output
2. Satisfy Statutory Requirements & Funding Eligibility Criteria Source: (Ch. 6 'Policy Fulfilment'; Arnstein, 1969; Bickerstaff & Walker, 2001; Innes & Booher, 2004b; Laurian & Shaw, 2009)	Process satisfies legal requirements; process satisfies funding eligibility criteria
3. Secure Buy-In, Support; Reduce Conflict Source: (Ch. 6 'Support Implementation'; Bedford et al., 2002; Beierle & Cayford, 2002; Beierle & Konisky, 2000; Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Innes & Booher, 2004b, 2015; Laurian & Shaw, 2009).	Output endorsed, commitment evidenced; fewer objections, little opposition registered
4. Efficiencies; Speedier Decision Making Source: (Ch. 6 'Support Implementation'; Aitken, 2010; Bickerstaff et al., 2002; Lawless & Pearson, 2012).	Cost-effective process and/or solution (e.g. output cost effect comparable to other means); speedier process, solution development compared to other means
Social, Political	**Social, Political Outcomes**
1. Restore Trust; Increase Legitimacy Source: (Innes & Booher, 2004b; Laurian & Shaw, 2009; Lawless & Pearson, 2012).	Greater trust in civic institutions; Agencies and outputs perceived to be legitimate, 'democratic'; Greater satisfaction with outputs and/or agencies
2. Co-ordinated Action; New Partnerships, Practices Source: (Ch. 6 'Collaborative Arrangements'; Healey, 2012; Innes & Booher, 2004b).	New or strengthened relations; Agreement to work on shared actions; New agencies, partnerships / collaborations; Practice, procedural changes
Process Substantive	**Process Substantive Outcomes**
1. Convene Multiple Interests; Shared Learning Source: (Ch. 6 'Equitable Access', 'Procedural Norms'; Innes & Booher, 1999b; Innes & Booher, 2004b; Parvin, 2018; Webler, 1995).	Fair and competent process delivered; Multiple interests engaged; Self-reflexivity; Change in perspectives
2. Raise Awareness; Educate; Change Behaviours Source: (Beierle & Cayford, 2002; Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Laurian & Shaw, 2009).	Increased understanding of issues; Change in behavioural patterns
3. Improve Output Quality Source: (Ch. 6 'Better Quality Outcomes'; Beierle & Cayford, 2002; Fischer, 2011; Laurian & Shaw, 2009).	Creative, novel, useful information contributes to problem solving; Output produced joint gains
Ethical, Normative Goals	**Ethical, Normative Goals Outcomes**
1. Incorporate Local Values; Influence Source: (Beierle & Cayford, 2002; Beierle & Konisky, 2000; Laurian & Shaw, 2009)	Tacit knowledge gathered; increased understanding of public opinion; Influence on outputs evident; Minority views included; fairer distribution of social, economic, environmental, material outcomes
2. Empower Individuals and/or Agency Source: (Ch. 6 'Power to Convene'; Bailey, 2010; Bailey & Pill, 2015; Silver et al., 2010)	Improved change to normal functioning, conditions
3. Re-activate Citizens Source: (Ch. 6 'Social Capacity Goals; Influence', 'Collaborative Arrangements'; Bailey, 2010; Lawless & Pearson, 2012; Parvin, 2018; Wilson, 1999)	Increased democratic competencies; more active, engaged citizenry

Table 57: Summary of Participation Goals and Outcomes

Although unlikely to be exhaustive, these combined sources recognise twelve frequently pursued goals of formal participation. Given goals easily translate into outcomes and prompt evaluative criteria (see Laurian & Shaw, 2009), a corresponding list serves Participation Goals and Outcomes for this descriptor.

8.4.3 Output(s)

Hassenforder, Smajgl, et al. (2015, p. 88) suggest outputs are 'generally quite straightforward' deriving from project objectives. They describe the PE's immediate effects, rather than outcomes or longer term impacts (Ibid, 2015). For example, The Charrette Handbook is explicit in producing agreeable, feasible plans as a result of the process (Lennertz & Lutzenhiser, 2017). Aggregating content analysis of project outputs and broader literature I propose five general categories to describe *what* a PE is often tasked with generating in the short-term:

Outputs	Charrette Content Analysis	References
Final decision, ruling (e.g., appeals; grants; sanctions; dismissals)		(Aitken, 2010; Cunningham & Tiefenbacher, 2008)
Draft, preliminary proposal, strategy or policy Revised, new proposal, strategy or policy	• [2] shared Vision • [3] Local Strategy • [4] Development Framework • [5] Masterplan	(see Table 55)
Research, reports, data or recommendations	• [1] community appraisal	(Blackstock et al., 2007; Kelly et al., 2007)
Agreement, memorandum of understanding; informal contract		(Hassenforder, Smajgl, et al., 2015)

Table 58 Output types derived from content analysis of project outputs and broader literature references

8.4.4 Outcome(s)

Chapter Five extensively explores what is achieved (positively or negatively) from PEs by analysing examples of participation-evaluation. The output from that analysis combined with primary data gathered in Stage Two is presented in Table 57's list of Participation Goals and Outcomes. However, what is not reflected in that list is the more refined distinctions discussed in broader literature; for example, outcomes may be tangible or intangible; at a collective or

individual level; policy or socially oriented; short, medium or long-term; benefiting participants or civic institutions; geographically and socially targeted; and anticipated or unanticipated.

Heeding Expert Reviewer A's advice in Chapter Five, I adopt a temporal as well as spatial and social dimension that is proposed by Hassenforder, Smajgl, et al. (2015) to reflect these distinctions. The purpose is to describe the extent outcomes are expected to travel spatially and socially; that is, within or out with the project boundary and within or out with the group of participants.

For example, Ayr North's output stated an intention to create 'an ethos, desire and impetus for the development of participatory placemaking in Ayr North which outlives the short timescale of this project and continues well into the future' (Willie Miller Urban Design et al., 2018, p 2). Thus, demonstrating the MP project aspired to catalyse long-term outcomes that lay beyond the temporal scope of the PE. The workshop briefing paper for Clydebank Can stated the innovative approach adopted by the local authority hoped to 'demonstrate a way forward for other local authorities across Scotland' (Kevin Murray Associates, n.d., p. 4). Similarly, the intention was to impact practices beyond the direct group of participants. Hassenforder, Smajgl, et al. (2015) suggest these distinctions are largely missed; hence, their inclusion in this descriptor. Table 59 presents the objectives, outputs and outcomes descriptor.

Objectives, Outputs and Outcomes Descriptor Summary

	Primary Task / Objective			Outcomes	
	Inform, explore decision-making options		Practical, Functioning (Instrumental)	A widely agreeable output delivered	
	[organisational] Inform, generate a revised or new strategy, framework or policy			Process satisfies statutory requirements and/or funding eligibility criteria	
	[action] Refine proposal, agree deliverables, secure agreement; implementation strategy			Output endorsement; commitment evident	
	Generate, contribute to new research, data and/or recommendations			Fewer objections, registered opposition	
				Cost effective process and/or solution (i.e., output)	
	Participation Goals			Speedier process / solution development	
Practical, Functioning (Instrumental)	Ensure Joint Approach; Largely Agreeable Output		Social, Political	Greater trust in civic institutions	
	Satisfy Statutory Requirements & Funding Eligibility Criteria			Agencies and/or outputs perceived to be legitimate, 'democratic'	
	Secure Buy-In, Support; Reduce Conflict			Greater satisfaction with outputs and/or agencies	
	Efficiencies; Speedier Decision Making			New or strengthened relations	
Social; Political	Restore Trust; Increase Legitimacy			Agreement to work on shared actions	
	Co-ordinated Action; New Partnerships, Practices			New agencies, partnerships / collaborations	
Process; Substantive	Convene Multiple Interests; Shared Learning			Practice, procedural changes	
	Raise Awareness; Educate; Change Behaviours		Process Substantive	Fair and competent process delivered	
	Improve Output Quality			Multiple interests engaged	
Ethical, Normative Goals	Incorporate Local Values; Influence			Self-reflexivity; change in perspectives	
	Empower Individuals and/or Agency			Increased understanding of issues	
	Re-activate Citizens			Change in behavioural patterns	
	Outputs			Creative, novel, useful information contributes to problem solving	
	Final decision, ruling (e.g., appeals; grants; sanctions; dismissals)			Output produced joint gains	
	Draft, preliminary proposal, strategy or policy				
	Revised, new proposal, strategy or policy				
	Research, reports, data or recommendations.				
	Agreement, memorandum of understanding; informal contract				

Objectives, Outputs and Outcomes Descriptor Summary Continued			
		Outcomes Continued	
	Ethical, Normative	Tacit knowledge gathered; increased understanding of public opinion	
		Influence on outputs evident	
		Minority views included, fairer distribution of social, economic, environmental, material outcomes	
		Improved change to normal functioning, conditions	
		Increased democratic competencies; more active, engaged citizenry	
		Social Scale	
		Only within the groups involved	
		Within and beyond the groups involved	
		Spatial Scale	
		Within the project boundary	
		Within and beyond the project boundary	
		Timescales of Outcomes	
		Short term	
		Medium term	
		Long term	

Table 59: Objectives, Outputs and Outcome Descriptor Summary

Chapter Eight Conclusion

This chapter presents the case characterisation tool that derived from Stage Two's research (see Kennedy (2017) for an earlier iteration). The purpose, in short, is to provide a taxonomy with the means to broadly characterise and describe PEs identifying areas in which they differ and are similar. This is Stage Two's main output, which provides evaluators with a way to begin talking about their PE cases. It is tailored to the Scottish context yet triangulates data from other sources to heighten generalisability. Therefore, it should also be used outside the confines of this 'case'. Its application is presented next.

Chapter Nine: Applying a Five Phase Sequence to Evaluate two Scottish Charrettes

In Chapter One I identified a lack of participation-evaluation in Scotland, despite sustained commitment to citizen involvement and empowerment. In response, I started to lay the foundations for an evaluation methodology (see Kennedy (2017)). In the same year, another study, backed by the Scottish Government, focussed on the 'role of facilitators' in charrette and/or 'community design events' (Al Waer et al., 2017). In 2019, the Scottish Government published an 'evaluation of community-led design initiatives' concentrating on ten case studies (from the CMP, AI and MP initiative) and their subsequent impacts (Scottish Government, 2019a).

Given a focus of that research included 'what factors influence the implementation of outputs?' (Scottish Government, 2019a, p ii), I expect the approach presented in this chapter to provide a robust framework from which inhibitors and drivers of 'effective'[47] participation may be drawn with repeat application.

9.1 A Quick Re-Cap

Summarising the lessons learnt across Stage One and Two, the evaluation framework presented in this chapter has developed from five key sources (Figure 40). In its earliest developmental stages, I heavily referenced literature discussing:

a) Communicative theory, collaborative or participatory planning practices (see Chapter Five's preliminary framework)
b) The definition and assessment of 'effective' in participatory processes (see Chapter Four's analysis of examples of participation-evaluation)
c) Policy and programme evaluation, which is discussed as part of a methods review in Chapter Two and revisited in Step Five below.

Within the middle category (i.e., 'b' above), frameworks posited guidelines for evaluation from which an 'effectiveness' definition was discernible; distinctions between process and outcome

[47] Again, the definition of effective varies depending on the evaluator's objectives.

evaluations were made apparent; sources for selecting analytical variables were made available; and design considerations (e.g., internal versus external evaluations) were discussed[48]. This literature thread provided a skeletal structure from which the preliminary evaluation framework grew (see Chapter Five).

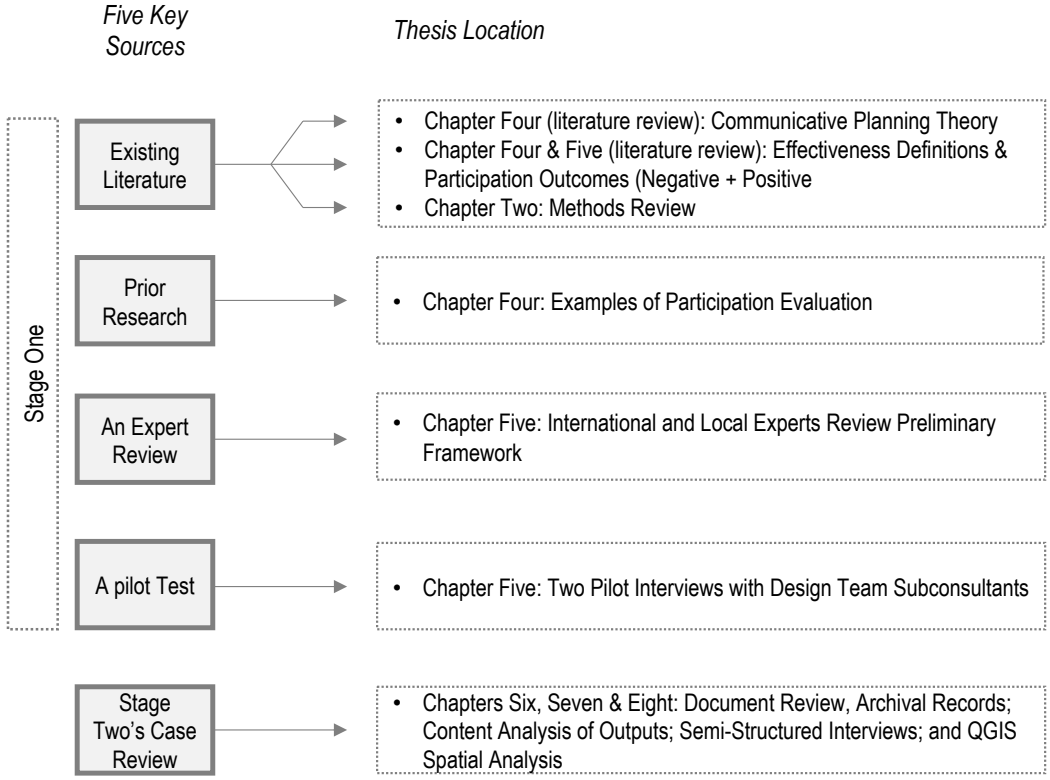


Figure 40: Key Sources in Developing an Evaluation Framework

As discussed in Chapter Two, an early reference point in this study was the first band of literature (i.e. 'a' above) discussing the fundamental edicts of communicative planning theory and its feasible application as an evaluative tool assessing the quality of interactive, participatory episodes (Bond & Thompson-Fawcett, 2007). Therefore, the preliminary framework drew its evaluation criteria from this body of literature.

With reference to Rowe and Frewer (2004), *operationalising the definition* was an obvious next step. Literature concerned with policy and programme evaluation (i.e., 'c' above) was a key source in understanding the advantage of qualitative methods over earlier (largely ineffective) quantitative, black-box evaluations. However, as I pursued an evaluation

[48] See Chapter Four's literature review for a broader discussion on these aspects of participation-evaluation design.

framework the disparity among 'effective' definitions, methodologies and *what* was being evaluated became increasingly varied. This prompted a more comprehensive review into examples of participation-evaluation (see Chapter Four). Whilst this source heavily informed the preliminary framework (in terms of possible criteria and methods) it also began to underscore its infancy.

In an effort to get out from behind the desk and ensure the framework was founded on more than prior research and existing literature, I concluded Stage One with an expert review and pilot test. Gathering advice from a local as well an international expertise, I determined the preliminary framework was falling short because it prioritised analytical criteria. Thus, findings prompted a broader, in-breadth evaluation of the 'case'. Data collected in Stage Two anticipated i) contextualising the preliminary framework's criteria derived from theory and ii) characterising cases for the purposes of building a necessary case characterisation tool capable of identifying and distinguishing project traits.

Therefore, the Five Phase Sequence for evaluation presented in Figure 41 has developed from five key sources (Figure 40). I fused recommendations in Blackstock et al. (2007), Bellamy et al. (2001), Rowe and Frewer (2004), Newig et al. (2018) and Hassenforder, Pittock, et al. (2016, p. 83) and prioritised the latter's six-step process that authors recommend adopting -not as is- but as a guideline (see latter's development and application: Hassenforder, Barreteau, et al., 2015; Hassenforder, Ducrot, et al., 2016; Hassenforder, Ferrand, et al., 2015; Hassenforder, Pittock, et al., 2016; Hassenforder, Smajgl, et al., 2015).

The Five Phase Sequence used here starts with case characterisation (i.e. using Chapter Eight's tool); second, 'delineating the objective of the participatory research and of the evaluation itself' (Blackstock et al., 2007, p. 731); third, selecting relevant evaluation criteria based on evaluation objectives; fourth, 'operationalise the definition' through methods selection (Rowe & Frewer, 2004, p 541); and fifth, analyse data -consciously aware that 'direct causal links between the process and its outcomes' are unlikely to be identifiable- before finally sharing results (Hassenforder, Pittock, et al., 2016, p. 80; Margerum, 2011, Ch. 3; Newig et al., 2018). Next, I work through these phases using Brigadoon and Ravenburn charrette cases, and I share findings in Chapter Ten.

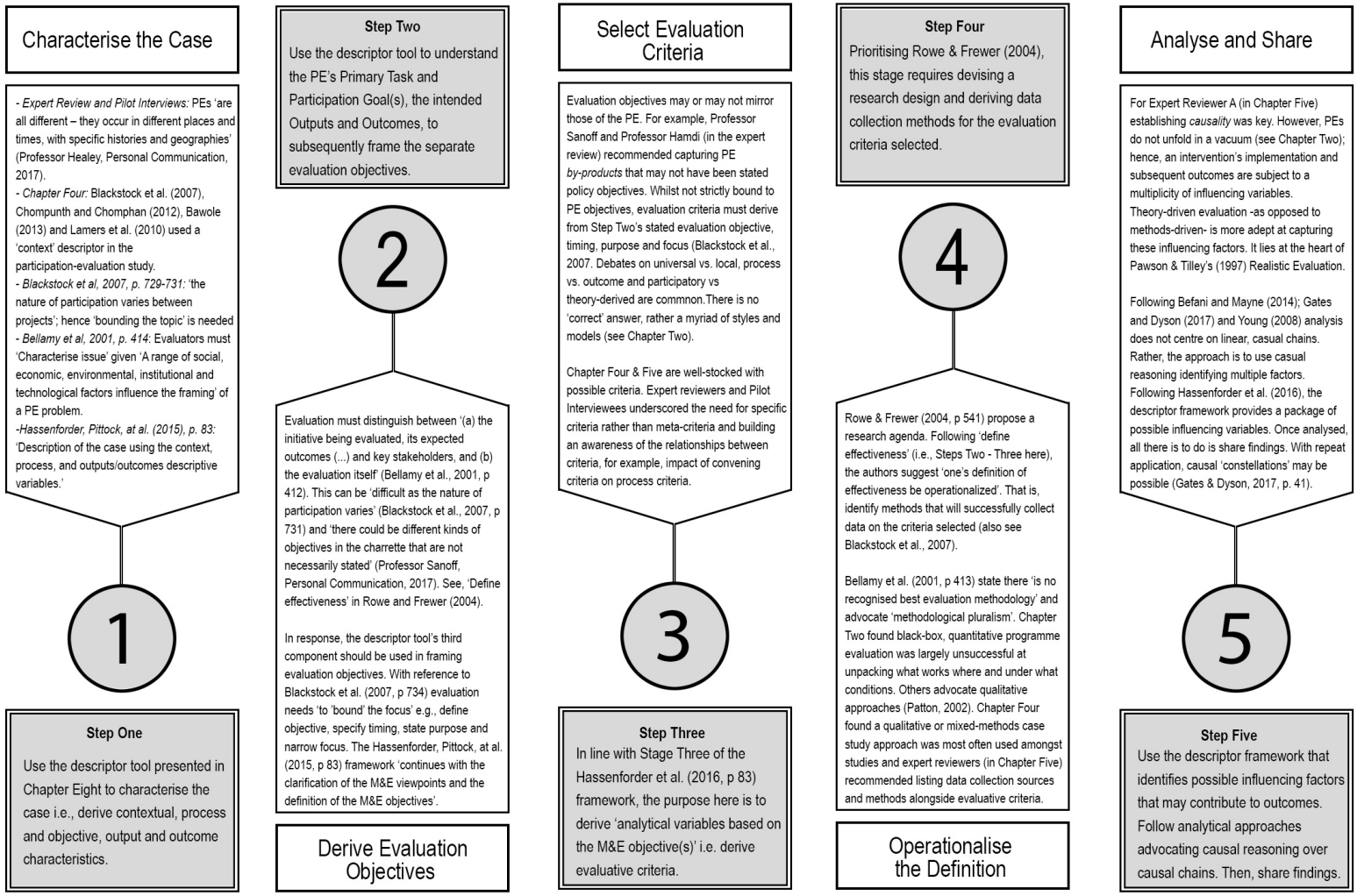


Figure 41: Proposed Participation-Endeavour Evaluation (PEE) structure: The Five Phase Sequence.

9.2 Step 1: Characterise the Case

9.2.1 Brigadoon Context

Located on Scotland's east coast, Brigadoon is a post-industrial town part of a larger coastal conurbation. The approximate population of this *other urban area* (U/R 2) is 24,500 with 4,600 residing in Brigadoon. The CMP project's budget restricted focus to a specific area within Brigadoon, which was thought to have the greatest development potential. The town was a former fishing then subsequently mining community. Since the mid-twentieth century the area has deteriorated and is characterised by poor SIMD 2016 Outcomes. Some of Scotland's worst ranking datazones (i.e., first vigintile) fall within the project boundary. Since the 1980s, Brigadoon is said to have been on a downward spiral.

Brigadoon's dominate industries include manufacturing and construction with generally low levels of higher education and high unemployment; adult illiteracy is said to be a significant problem. Social and health care services are widely used with social and council housing comprising the norm. Whilst one interviewee explained there is a 'much lower crime rate now', substance abuse and food poverty is an issue: 'foodbanks here are very active and widely appreciated' (Elkfall Council Officer A, 2017). With low car ownership, residents predominantly rely on public transport. Although local passenger rail connections ceased when industries fell into decline; reinstatement remains a locally fought priority.

There are limited representative or communicative platforms with no Community Council or Area Forums locally. Interview data suggested a once well-attended community forum quickly dissolved as practical arrangements changed e.g., different meeting dates and times. Anecdotally, other community groups have tried and subsequently failed to establish a community hub to maintain intra-community dialogue. As a result, agencies tend to operate in 'their own little world… not interacting with community groups' (Shoregrove Volunteer A, 2017).

Document data suggests the lead charity, Shoregrove, that was (primarily) responsible for CMP commissioning, acts as a local platform informally representing many voices. Findings show Shoregrove has built a good reputation and -depending on the department- has mixed to good relationships with local government. Whilst direct activist efforts may test some associations (see Chapter Ten), Shoregrove has managed to establish working relationships

with some council departments i.e., has worked in partnership to deliver local projects. More broadly, apathetic despondent attitudes were evident among this community that was described to be largely disengaged politically (Shoregrove Chair and Secretary, 2017).

Shoregrove's Chair and Secretary and Elkfall Council Officer B suggested the area, as a whole, had been forgotten and typically found itself second-in-line to receive funding behind more affluent, holiday-destination towns on Scotland's east coast. The charrette issues were therefore not high profile or sensitive but nevertheless in need of *stirring up* to attract the attention Brigadoon felt it deserved.

9.2.2 Brigadoon Process

In 2016 Shoregrove applied for CMP project funding with Elkfalll Council support; described here as 'Joint Application with Community'. Working locally, the organisation has been committed to greening Brigadoon, addressing issues around sustainable food production and regenerating local, derelict sites. Over the years, the charity's role has extended beyond their original remit becoming a nexus for social interaction, volunteering, skill development and employability referrals:

> It's another strand to the organisation, where there is a social element now. Where we're getting quite a number of referrals, a number of people coming into us to volunteer or to look, basically, for a bit of company, it's something to do… there is a side of it now that's just developed, it's organic. It's just come along. (Shoregrove Chair, 2017)

> They never thought five-six years down the line they'd literally be the employability group. I'm talking about green energy stuff, community heating concepts, the hydrogen car and working on a project to get some refuelling points in this area. That's zoom <sound effect>, you know, from there. (Elkfall Council Officer B, 2017)

The charity's loose parameters have easily accommodated this natural evolution (Elkfall Council Officer B, 2017); although, Shoregrove indicated these additional responsibilities are something they would be willing to outsource or receive support in facilitating. For the purposes of the charrette, Shoregrove remained the lead CMP client, with strong support from Community Planning council services. Document data describes the two comprising a

'steering group'[49]. With help from the prospective DT (characterised here as a 'Non-Profit, Charity; Community Interest Company' agency), Shoregrove submitted a successful application for funding to the Scottish Government. The prospective DT, who was familiar to the council, was appointed through a non-competitive procurement process. They had delivered earlier CMP projects within the wider council region and had been appointed to deliver another shortly following Brigadoon (dubbed here, Tignahullish). The UK-based charity supports communities getting involved in local planning. The agency regularly relies on volunteers (Figure 42 describes DT structure), which appealed to Shoregrove:

> What really, we liked about [the DT] was this mobilisation of volunteers. The fact they are a charity, not just a- so, there may be some cultural affinity. (Shoregrove Secretary, 2017)

Therefore, procured through association and avoiding a competitive process, the DT put into action a five-stage, public facing, non-consecutive participatory process starting in Autumn 2016 with a feedback session marking the PE's close in late Spring of 2017. Figure 43 illustrates participatory process delivery.

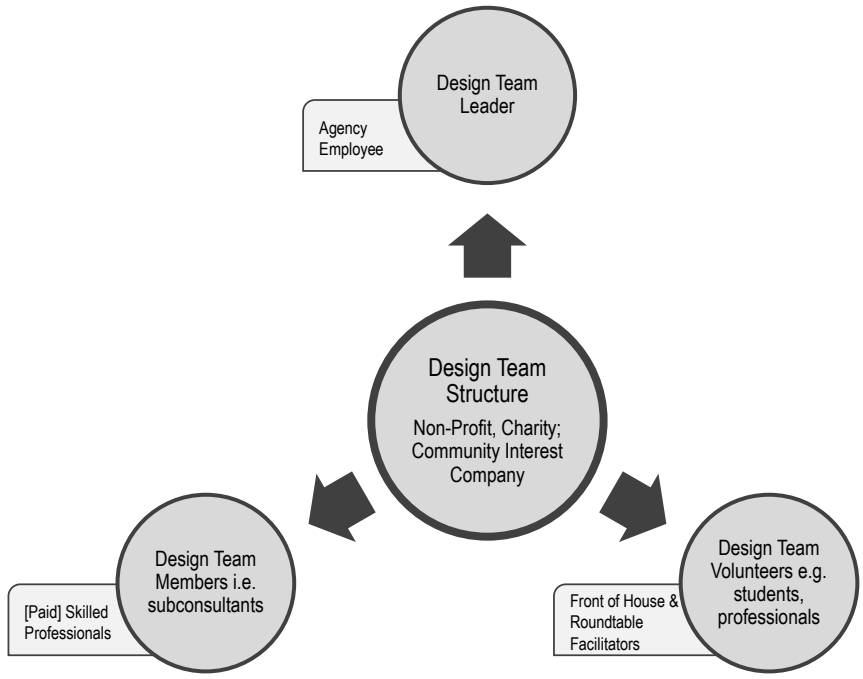


Figure 42: DT Structure Brigadoon

[49] Shoregrove and the local authority ultimately comprise the CT; the former taking a lead role and the latter as a subsidiary. Given no other individuals or agencies are cited as part of the steering group described, I characterised this study as having no formal Steering Group.

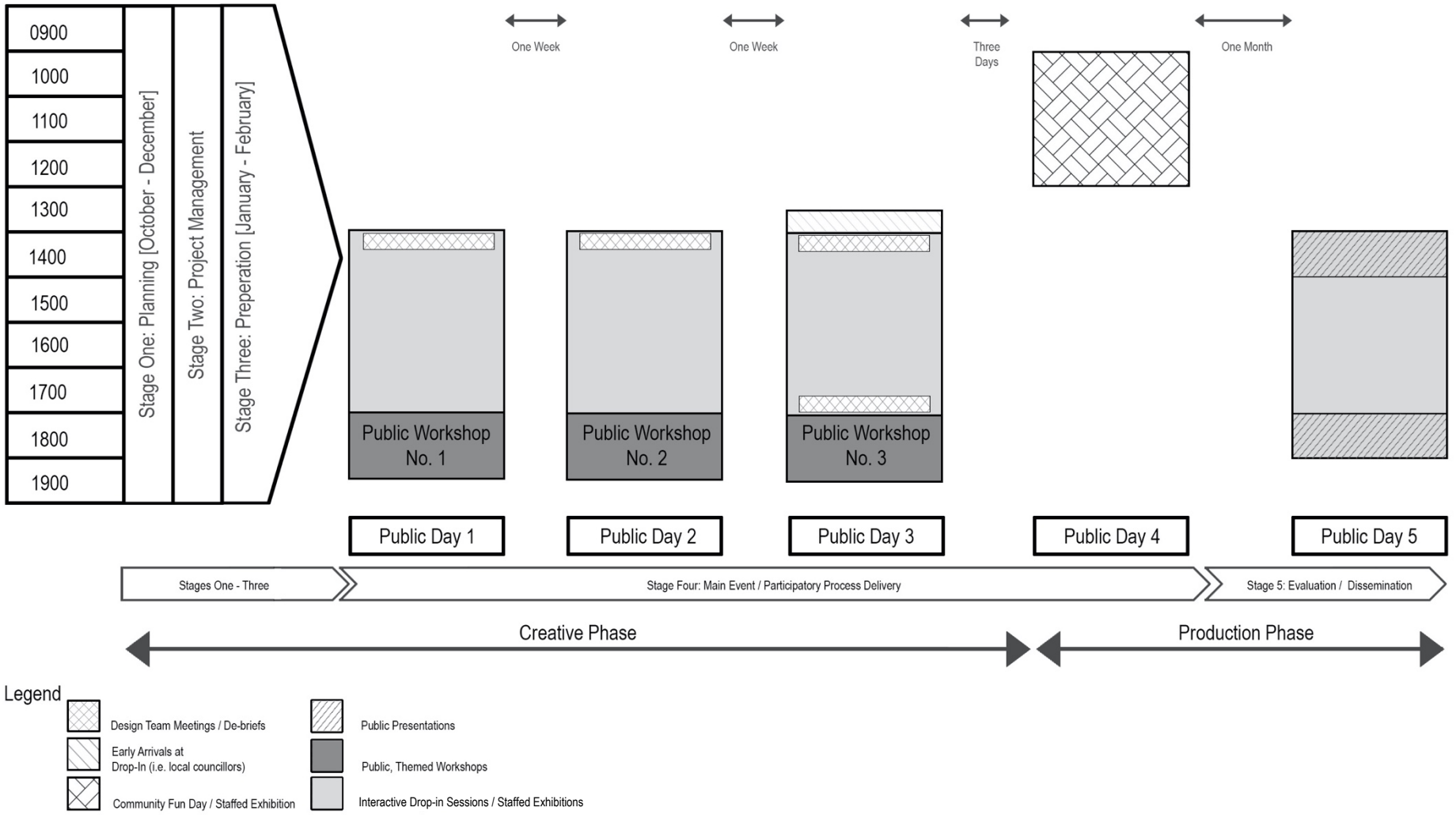


Figure 43: Brigadoon's Participatory Process Structure

9.2.3 Brigadoon Objectives, Outputs and Outcomes

Shoregrove pursued CMP funding partly because they felt able to engage with the resource, whilst other funding streams felt out of reach. From their perspective, the CMP fund offered an opportunity to deliver a PE project they were unlikely to have the internal capacity to deliver. Further, Shoregrove recognised some local issues were too important for lone voices; thus, requiring 'the community to come in and have a voice. You can't just do it off your back' (Shoregrove Secretary, 2017).

In addition to incorporating local values, Shoregrove expected the process and output(s) to lend council departments credence among their elected council members and provide an evidentiary basis for future grant applications. Thus, suggesting as well as an ethical, normative orientation (i.e., incorporating local opinion) and social and political goals (i.e., lend legitimacy), the charity endeavoured to produce a practical output serving future needs:

> But the fact we've ticked the box now for future funding, we've ticked the boxes. A consultation process has gone through and whether or not we get a great turnout or not then, you know, there's nothing we can do about that, it's not in our hands. (Shoregrove Chair, 2017)

Elkfall Council equally saw value in subsidising the CMP award, given the process was good value for money:

> So, we made a contribution of £4k, which is great because we're getting a fully bespoke package, consultative event for £4k, couldn't do that again. So that was our role in there. (Elkfall Council Officer B, 2017)

In summary and with reference to Chapter Eight's 'Participation Goals', I used document and interview data to derive Brigadoon's charrette goals, which included building consensus around indicative site proposal designs ensuring a shared development approach (i.e. Ensure Joint Approach; Largely Agreeable Output); co-ordinate future action identifying delivery partners (i.e. Co-ordinate Action; New Partnerships, Practices); facilitate broadly informed community-led discussions on place improvement (i.e. Convene Multiple Interests; Shared Learning); better understand local needs and priorities (i.e. Raise Awareness; Educate; Change Behaviours); reactivate citizens in local democratic processes by piloting a mechanism for participatory democracy (i.e. Re-activate Citizens); and facilitate 'acquisition of skills and practical experience' (i.e. Empower Individuals and/or Agency). Overall, this PE was

considered useful for practical, functional (instrumental) reasons; social, political reasons; process, substantive reasons; and ethical, normative reasons.

Distinguishing participation goals from the immediate Task or Objective, I found a community action plan and masterplan was sought. These outputs from the PE were thought to impact beyond the direct participants i.e., Shoregrove, providing a model or template for other communities within the council:

> The community action plan in the same template as Helmithill and I presume for any other remaining area in Croftmoor the council can then say here's a template we've got, let's just use it for West Simms or Viewsrake, something like that. So, there is a timing factor that should suit the council, that fits very- you know, we're doing the work for them, I think. (Shoregrove Secretary, 2017)

With reference to outcomes (which are italicised in the remaining discussion, see Table 62 for a full list), the charrette produced the anticipated Community Action Plan and Spatial Masterplan approximately four months following the feedback event. Follow-up personal communications show Elkfall Council *endorsed outputs* as findings were incorporated into local 'planning arrangements'. However, findings show the process suffered from low 'in-the-room' involvement, and output development was heavily influenced by CT input. Therefore, criterion 'Process Independence' (see Step Three: Select Evaluation Criteria) was compromised; thus, 'process, substantive' outcomes were not fully realised. The process however led to *new and/or strengthened relations* between Shoregrove and other community agencies, which was largely attributed to the innovative approach to faith group involvement used in 'Outreach and Early Engagement'.

Interviewees and Survey Respondents indicated some form of participant gain resulting from their involvement. On the whole, Elkfall Council Officers thought the experience was useful for bettering their *understanding of public opinion* and survey respondents increased *understanding of issues and/or people's perspectives*. Finally, following output publication a new communicative forum -Brigadoon Process Unit [BPU]- was established to progress output proposals. Further, a new, embryonic Community Council was also considered a non-physical charrette outcome. Although in their infancy, these new forums are evidence *new agencies, partnerships / collaborations* have been tentatively sparked.

9.2.4 Ravenburn Context

Ravenburn is the second largest town in Auchternairn Council's geography with an approximate population of 9,000 residents. Set on Scotland's western shore with easier access by boat than land, the coastal town was formerly popular with holiday makers and second homeowners. Regularly serviced by ferries and paddle steamers, the town enjoyed prosperity and growth in the 1800s and boasts listed buildings as well as an iconic category A listed Victorian Pier. Despite its architectural heritage, mountainous backdrop and seaside location, Ravenburn experienced economic decline in the 1900s due largely to fewer visitors and the closing of an American army base. Some appeared nostalgic of a bygone era:

> They're family businesses and they see Ravenburn is not for tourists anymore, 'up-the-toon' idea is gone now, 'we don't have tourists, we just have locals'. That's how they see it. (Ravenburn Participant C, 2017)

The CMP's project boundary is largely characterised by second quintile datazones; although, two datazones are ranked below 697 placing them in the 10% most deprived bracket. While recognised as a disadvantaged remote small town (U/R 4), the project's lead commissioner suggested Ravenburn presented as a less urgent site compared to other towns they had worked with. Although, Ravenburn *could be better* it was 'not quite as bad as Thorness in terms of decline and SIMD indices' (Econoon Representative, 2017).

Further, interview and document data found a healthy stock of communicative platforms and active voluntary agencies; although, document data identifies 'strong volunteer fatigue' among local citizens (Ravenburn Report, 2017). Survey and interview data found grumblings of 'newcomers' and in-community tensions between different groups: 'It's a small-town thing, people know everyone, and they've got past grievances and prejudices and all that' (Ravenburn Participant A, 2017). Participant F described more hostile, self-preservationist attitudes inhibiting collaborative working:

> However, people get precious i.e., 'this is mine, it's mine, if you try to help or interfere…' If you try to help it's seen not as help but interfering. My experience of trying to create something in Ravenburn, there are some people in Ravenburn that really need that, need to be in control and will effectively destroy you to make sure they're the ones that stay. (Ravenburn Participant F, 2017)

At the same time, others reported a collective 'sense of cooperation, [a] sense of we're all in it together, we'll collaborate. There's a friendliness' (Ravenburn Participant C, 2017).

Community groups have also had notable success; for example, volunteers (independent of local government support) rescued a B Listed asset from demolition, successfully fundraised for its refurbishment and over a decade later opened a cultural hub for the community. However, this success appears to polarise community and Auchternairn Council into two camps of supporter and inhibitor. The cultural hub's success is attributed only to persistent, highly motivated *community* individuals.

Apathy and distrust of Auchternairn Council was widely referenced (see Chapter Ten). Several interviewees reprieved a few council officers but suggested there was no pre-existing council relationship, which was perceived to be a largely insular organisation *doing things to* rather than *working with* community agencies. Reflecting on previous interventions and little materialisation, the charrette was cynically received by some:

> When you hear of all these initiatives, all they do is talk and nothing comes out of them. There's no tangible outcome, and I switch off. (Ravenburn Participant A, 2017)

> Max and Lou are great, new [council] officers are fantastic because they're now working hard with the community but generally the council have not been a brilliant… they tend to do stuff to the community rather than working with. (Ravenburn Participant B, 2017)

> There's been umpteen community engagements that have gone nowhere. We're fed-up with, that's another reason people are fed-up, it's yet another bloody council study to put-off doing anything. More money spent. They've spent something like £300,000 - £400,000 just doing nothing. (Ravenburn Participant C, 2017)

Econoon's Representative estimated the town has or was currently benefiting from approximately '£16 million-worth of projects'. However, a perception that 'nothing is happening' prevails and 'people hate the council in Ravenburn' (Econoon Representative, 2017). Observation data similarly recorded participant comments expressing frustration at ongoing interventions, which a) have ostensibly reflected little influence after public consultation and b) have no scope to cross-fertilise with other consultations. The number of initiatives working independently yet in parallel has led to some confusion and frustration (see Chapter Ten's Outreach and Early Engagement):

> There's been nothing for so long then we had the Kings Gallery, Civic Rooms have opened, then the Quay was done-up, the charrette came along. RAYS is about to start in the next few weeks, both schools are being refurbished. So, there was nothing and all of a sudden there's so much. People are then confused. I was confused for a long time between Econoon and RAYS. Are they the same, do they

> work together, do they know about each other? People who aren't involved at all, it can be a bit overwhelming. (Ravenburn Participant D, 2017)
>
> Very disappointed in existing initiatives e.g., BID. (Ravenburn Survey Respondent 10, 2017)
>
> Clarification on what a charette is and its end goal (e.g., funding). There was an assumption this was to do with the RAYS funding. (Ravenburn Survey Respondent 21, 2017)

Further, pressuring national government to help reinstate a regular passenger and vehicle ferry service remains a locally contentious issue. Despite lesser jurisdictional complexity (for example, a single planning and service authority) Auchternairn Council's scale may also contribute to poorer relations; 'it's just too big' (Econoon Representative, personal communication, 2017). If in Finland, Auchternairn Council would be managed by ten local authorities [50].

Overall, Ravenburn is not in a state of rapid decline and benefits from iconic structures and listed buildings, recent investment and a relatively active community. Nevertheless, it does not escape the worst SIMD 2016 Outcomes, or the challenges associated with its remote location.

9.2.5 Ravenburn Process

Ravenburn's client structure can be broadly described as 'Joint Application with Community' i.e., Econoon and Auchternairn Council. Given financial, practical, and in-kind staffing contributions from Auchternairn Council, they wanted to be seen as partners in the process. Yet, Econoon's perspective differed:

> It's been a bit of a challenge. Not with council staff we're working with but for them to understand this is an Econoon project supported by the council. It might sound iffy to say that but strictly speaking it's not a joint thing: Econoon was the applicant, and the council were funders at a last resort. (Econoon Representative, 2017)

Econoon are a non-profit organisation committed to bettering disadvantaged communities across Scotland by providing an independent platform for information provision, experience sharing and network building. One DT Member suggested 'host organisations like Econoon [are] good models' acting as anchor organisations 'on the ground with that remit to take on the outcomes' (DT Subconsultant A, 2017).

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[50] Literature reference omitted to help protect Auchternairn Council's identify.

The charrette was part of Econoon's wider CC programme, which had been in development since 2016, and active in other towns, prior to the CMP award application. With help from a key contact in Auchternairn Council, Econoon mustered community support before bringing the charrette to Ravenburn as it was used in the early stages of establishing a new CC community group. With community members on board in the form an informal Steering Group, the CT procured, through a competitive tendering process, an 'Architectural, Urban Planning Services' firm to manage the charrette. They were supported by firms from the 'Artists / Designers' and 'Specialised Consultancy Service'.

The DT initiated a public-facing three plus one formatted event using an extensive mechanism arrangement. Concluding the charrette in late Spring 2017, the DT visited Ravenburn during output development before a final presentation in July 2017. Econoon later facilitated a public event to rank CMP output projects in September 2017. Monthly CC meetings continued thereafter.

The main engagement process is illustrated in Figure 44. Compared to Brigadoon, observation and interview data show greater levels of progression across the main three-day event; the purpose was not to collect comments but produce alternative concept proposals and gauge reactions to the emerging output. Somewhat closer to the tenets of an NCI Charrette:

> The first day is always listening and learning, then it's refining ideas, then it's some design proposals to give a flavour of what's to come, and it's not just a talking shop for gathering all the comments, we're trying to formulate a reaction in terms of, 'is this the type of thing that would help this issue?' (DT Member A, 2017)

9.2.6 Ravenburn Objectives, Outputs and Outcomes

The nature of Econoon's CC programme deliberately extends beyond the direct participants of any one site as they build a network of CC communities. In this instance, Econoon's CC programme endeavoured -as it did in Thorness- to cultivate a new CC group that would provide Ravenburn with a conduit for local, strategic development. Econoon hoped to build the capacity of this newly formed group so it may be in a position to formally constitute and subsequently apply for funding. The CMP application made clear there was a need to secure on-going support for the new CC group:

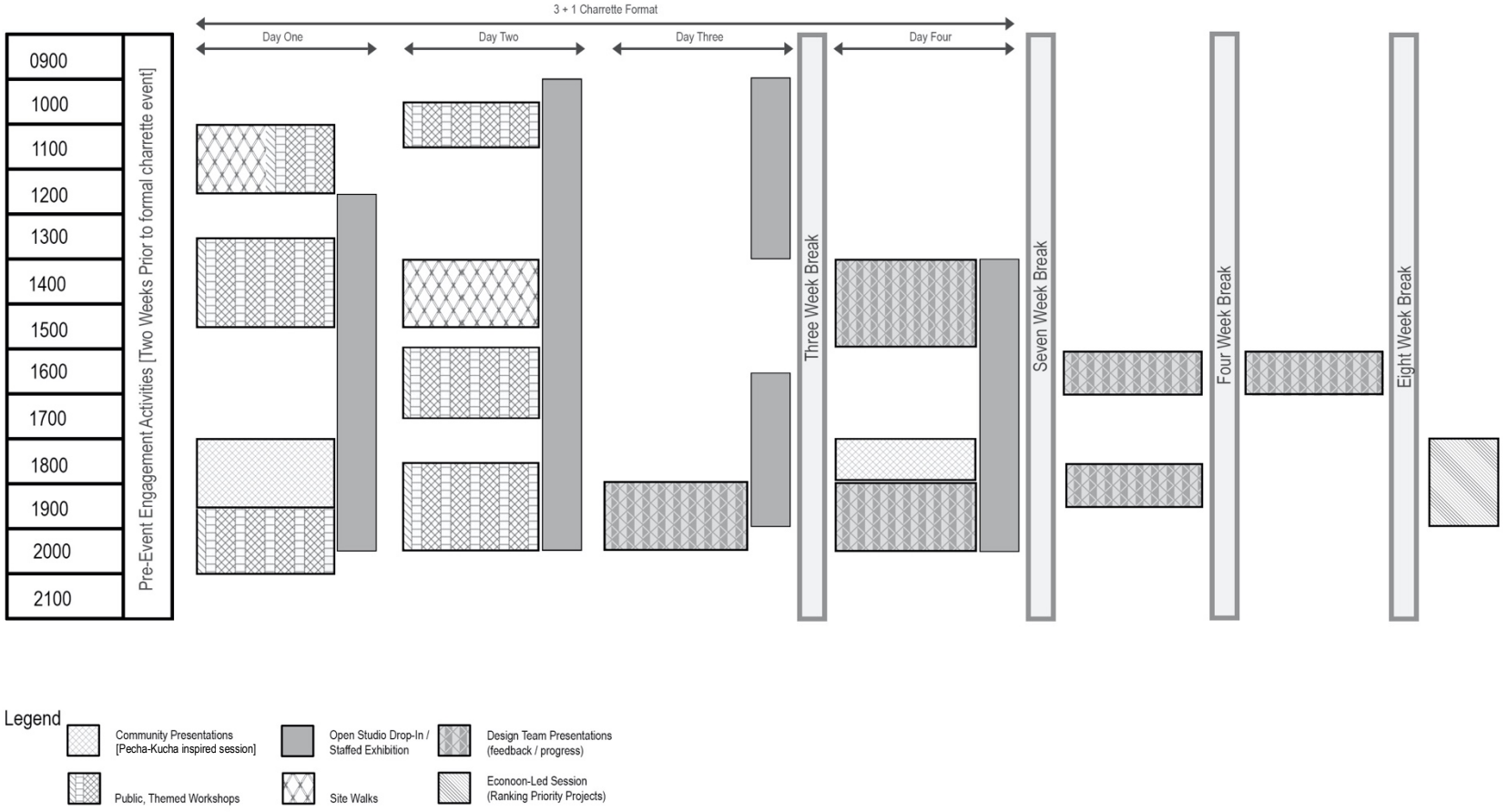

Figure 44: Ravenburn's Participatory Process

> My ambition for Ravenburn is within a year we get a group to a stage where they are functioning, maybe they become a Development Trust or a charity. Then they can apply for Lottery money in their own right, and they'll grow. Maybe they get Lottery money to employ someone. That'll belong to Ravenburn, and they'll set the agenda. (Econoon Representative, 2017)

Therefore, the CMP project was a mechanism used early in the CC programme to re-activate citizens and groups that were either already or not yet active. Separate to the CC programme, the charrette had its own primary Task or Objective. The CT shared the intention to deliver a regeneration masterplan output that would coordinate action by providing a consensual, community vision. Document data suggested previous interventions to co-ordinate action had been derailed in the absence of a shared vision.

Whilst the community could be considered active with a history of success, efforts appear to be often isolated. One interviewee suggested there are 'at least five, potentially six different initiatives who ostensibly are all travelling the same road. It's hard to keep a grasp on it' (Ravenburn Participant A, 2017). Therefore, participation goals included co-ordinating action, bringing cohesion and integrating development under the one banner. On a more practical footing, the CMP process and output could be used by any local group for future fundraising.

In summary and with reference to Chapter Eight's 'Participation Goals', document (i.e. CMP application, outputs) and interview data suggested the charrette's goals included engaging beyond the 'usual suspects'[51] (i.e. Convene Multiple Interests; Shared Learning); establishing a shared vision for stakeholders to jointly work toward (i.e. Ensure Joint Approach; Largely Agreeable Output); building an evidentiary basis to aid future fundraising (i.e. Satisfy Statutory Requirements & Funding Eligibility Criteria); nurturing new partnerships to take forward indicative, output proposals (i.e. Co-ordinate Action; New Partnerships, Practices); mobilising local action and fostering interest in the CC community group (i.e. Re-Activate Citizen); meeting the 'needs and priorities of the major stakeholders in the area including the' broader community (i.e. Incorporate Local Values; Influence); and building capacity of the newly established CC community group (i.e. Empower Individuals and/or Agency). Subsequent outcomes listed in Table 62 are briefly referenced and italicised in the remaining Ravenburn discussion (see Chapter Ten's fuller discussion).

[51] Terms used in CMP application

Interview and follow-up personal communications show output endorsement was perhaps undermined as Econoon and Auchternairn Council worked at different paces post-charrette. As the former progressed with a public ranking of projects, the proposals identifying Auchternairn Council as a key delivery partner remained unendorsed by the relevant departments. Nevertheless, the charrette identified some *creative, novel ideas* others wanted to support. Several participants implied they *could identify with output findings* and believed the *DT were led by community contributions*. Several participants indicated they would likely use the output to support future fundraising applications. Despite *not engaging as broadly* as some would have liked, although more so than achieved in Brigadoon, there was evidence the *charrette sparked new connections*, *increased individuals' knowledge* and/or *awareness* of other community happenings.

On the other hand, one Auchternairn Council Officer worried cynicism and fatigue may prevail in the longer-term because ultimately not all agencies were on the same page. Therefore, possibly *worsening community-council relations*, as opposed to repairing the already delicate connection:

> If I've had one resignation from the Calls for Collaboration programme because of that voting thing, and I just feel again back to 'has it improved relationships? Or is it the same?' I would say it's definitely worse and the more we… this constant consultation thing, 'we're going to consult you then consult you about what we consulted you about'… and people are getting to the stage they're like to me, what is *this* meeting about? (Auchternairn Council Officer, 2017).

Nonetheless, almost one year on the *CC community group was still meeting* and had some early success; for example, securing MP funding. Further, Econoon announced (in 2018) it could support the group with a part-time coordinator position for two years, and projects -with support from some Council Officers- had progressed. Lastly, some participants, at the time of the charrette, observed small changes in individuals as they became somewhat more active compared to their normally more reserved stance; thus, tentatively suggesting involvement may have contributed, in some small way, to *increased democratic competencies* at an individual level.

	Context	Brigadoon	Ravenburn
Scale	Issue Type	Community Visioning	Community Visioning
	Description & Data Sources:	[Document Data] Elkfall Council interested in the charrette for its contribution to their community planning requirements.	[Document Data] Output to address lack of cohesion; coordinate current and future action through a shared vision; identify priorities and proposals developed.
	Project Boundary	Suburb, district, area of	Town / Village Centres
	Description & Data Sources:	[Document; Interview Data] Lower and central area of Brigadoon considered; Upper Brigadoon not included in charrette's project boundary.	[Document Data] Project Boundary included historic core, Ravenburn town centre extending to East and West Bays.
	Urban / Rural	U/R 2	U/R 4
	Description & Data Sources:	[QGIS Spatial Analysis] Other urban area on Scotland's east coast; considered an interdependent to independent town (Scotland's Town Partnership).	[QGIS Spatial Analysis] Remote small town on Scotland's west coast; considered an interdependent to independent town (Scotland's Town Partnership).
	Governance Levels	Community, Local	Community, Local
	Description & Data Sources:	[Document Data] Output(s) provide plan for coordinated communal action and expected to inform future LOIP (i.e., Community Planning, local)	[Document; Survey Data] Output(s) intend to coordinate local action, consolidating current and future action within the town; inform future iterations of local planning policy e.g., LDP
Problem Complexity	Shared Jurisdiction	Lesser Jurisdictional Complexity	Lesser Jurisdictional Complexity
	Description & Data Sources:	[Document Data] Single Local Authority and/or Planning Authority supportive of charrette.	[Document; Interview Data] Single Local Authority and/or Planning Authority, which was supportive of charrette. Auchternairn Council's large scale and remoteness thought to contribute to poorer community-council relations.
	Issue Sensitivity	Noteworthy	Significant
	Description & Data Sources:	[Document Data] Primarily local issue attracting no obvious national interests; no sites within project boundary considered iconic or of regional, national importance.	[Document Data] Project Boundary includes Ravenburn's Conservation Area, which was recently extended; Ravenburn received recent conservation and regeneration funding. There are local assets of historical significance and iconic value.
	Issue Priority	Pending Priority	Low Priority

Description & Data Sources:	[Document Data] No immediate threat or resource injection; nevertheless, persistent post-industrial decline since mid-twentieth century underscores need for coordinated regeneration.	[Document; Interview Data] Regeneration and investment ongoing; although, CT member describes Ravenburn as a 'backburner commitment', noting the area 'could do better' but other towns in a worsened state of decline.
Community Relations	Moderate Pre-existing Relations	Moderate to Good Pre-existing Relations
Description & Data Sources:	[Document; Interview; Survey Data] CT and Local Authority history of working relationship; reportedly 'mixed' working relationship; local apathy and civic disengagement evident; formerly strong, now limited community forums.	[Document; Interview Data] Mixed relations within community i.e., evidence of existing partnerships, active community forums; little trust in Auchternairn Council; in-community tensions evident; and possibly insular practices blocking fresh involvement. Econoon have a good relationship with Auchternairn Council: 'better than ok. I'd say we have a good relationship with the council' (Econoon Representative, 2017).
Community Deprivation	1st Vigintile Datazones	2nd Vigintile Datazones
Description & Data Sources:	[QGIS Spatial Analysis; Document; Interview Data] Area characterised by high levels of deprivation; Datazones in the 1st vigintile (i.e., ranked 1-348).	[QGIS Spatial Analysis] Area largely characterised by first and second quintile datazones. Two datazones place within the second vigintile i.e., 349-697
Previous Intervention	Few	Many
Description & Data Sources:	[Document; Interview Data] Local: Small-scale, local regeneration efforts. Wider area: new college campus investment, business park expansion, some discussion of infrastructure proposals.	[Document; Interview Data] Much local investment; several major ongoing regeneration projects throughout Ravenburn; feasibility study preceded CMP application; and work to establish new CC community group had been in the making prior to CMP application.

Table 60 :Context Descriptor for Ravenburn and Brigadoon

	Process	Brigadoon	Ravenburn
Client Team	Client Team Structure	Joint Application with Community	Joint Application with Community
	Description & Data Sources:	[Document; Interview Data] A small, homegrown charity (established approximately 10 years ago) led CMP application with council support.	[Document; Interview Data] A non-profit social enterprise acted on behalf of a budding community group to lead the CMP project with c council support.
	Supporting Agencies	Public Sector	Public Sector
	Description & Data Sources:	Local Authority (namely community planning services) supported CMP application, via match funding and practical assistance for CMP delivery.	[Document; Interview Data] A NDPB[52] was heavily committed to supporting the CMP; Local Authority provided match funding and practical, in-kind support for CMP delivery.
Design Team	Facilitation	Internal	External
	Description & Data Sources:	[Interview Data] DT helped prepare CMP application with CT; DT appointed through association not competitive tendering process; DT members (including volunteers) not local i.e., not drawn from Brigadoon project boundary.	[Document; Interview Data] Using the Local Authority's procurement processes, the CT appointed an external DT through a competitive tendering process.
	Steering Group	Not Appointed	Appointed
	Description & Data Sources:	[Document; Interview Data] Document data labels CT (comprising Shoregrove and Local Authority] the 'steering group'; however, I consider no steering group to have been appointed because no other agencies were recruited.	[Document; Interview Data] Various community groups, organisations and individuals acted as a working / steering group; steering group members involved in DT procurement
	Firm Type	Non-profit, Charity; Community Interest Company [Lead]	Architectural, Urban and Planning Services [Lead]
	Description & Data Sources:	[Document; Interview Data] Support: Professional and Non-Professional Volunteers	[Document Data] Support: Artists / Designers; Specialised Consultancy Service
	Grant Awards	+1SD	+1SD

[52] A Non-Departmental Public Body [NDPB] has a role within national government but is not part of or constitutes a government department.

Description & Data Sources:	[Document Data] Brigadoon requested £20,000 to cover 75% of project costs	[Document Data] CMP requested £25,000 to cover approximately 50% of projects costs
Mechanisms	Extensive Program	Extensive Program
Description & Data Sources:	[Document; Interview; Observations] Advertise; Increase Awareness (e.g., newsletter, leaflet drops); Communicate; Educate (e.g., site visit); In-breadth, Quantitative (e.g., community survey); In-depth, Qualitative (e.g., targeted meetings, drop-in sessions); Public Workshops (e.g., issue-specific, public workshops); Targeted Workshops (e.g., school activities); Informal; In-Situ (e.g., CMP representation at Community Fun Day);	[Document; Observation Data] Advertise; Increase Awareness (e.g., media campaign); Informal; In-Situ (e.g., impromptu street engagement, going-to); In-depth, Qualitative (e.g., business owner interviews); In-breadth, Quantitative (e.g. voting, ranking priorities post charrette); Communicate; Educate (e.g. expert-led & local-led walkabouts); Public Workshops (e.g. agenda setting workshop); Targeted Workshops (e.g. themed or demographic targeting).
Access	Public	Public
Description & Data Sources:	[Document; Observations; Interview] Broad, inclusive engagement sought; no restrictions or focus reported.	[Document; Observations; Interview] Broad, inclusive engagement sought; no restrictions or focus reported.

Table 61: Process Descriptor for Ravenburn and Brigadoon

Objectives, Outputs and Outcomes	Brigadoon	Ravenburn
Primary Task / Objective	[organisational] Inform, generate a revised or new strategy, framework or policy	[organisational] Inform, generate a revised or new strategy, framework or policy
Description & Data Sources:	[Document Data] CMP project endeavoured to produce a new Community Acton Plan and Masterplan.	[Document Data] CMP project endeavoured to produce a long-term vision, a regeneration masterplan and/or development framework and action plan.
Participation Goals	Practical, Functioning (Instrumental); Social, Political; Process, Substantive; and Ethical, Normative Goals	Practical, Functioning (Instrumental); Social, Political; Process, Substantive; and Ethical, Normative Goals

Description & Data Sources:	[Document; Interview Data]
	• Practical, Functioning (Instrumental)
	  o Ensure Joint Approach; Largely Agreeable Output
	  o Satisfy Statutory Requirements & Funding Eligibility Criteria
	• Social, Political
	  o Restore Trust; Increase legitimacy
	  o Co-ordinate Action; New Partnerships, Practices
	• Process, Substantive
	  o Convene Multiple Interests; Shared Learning
	  o Raise Awareness, Educate; Change Behaviours
	• Ethical, Normative
	  o Incorporate Local Values; Influence
	  o Empower Individuals and/or Agency
	  o Reactivate Citizens
		[Document; Interview Data]
		• Practical, Functioning (Instrumental)
		  o Ensure Joint Approach; Largely Agreeable Output
		  o Satisfy Statutory Requirements & Funding Eligibility Criteria
		• Social, Political
		  o Co-ordinate Action; New Partnerships, Practices
		• Process, Substantive
		  o Convene Multiple Interests; Shared Learning
		• Ethical, Normative
		  o Incorporate Local Values; Influence
		  o Empower Individuals and/or Agency
		  o Reactivate Citizens

Outputs	Revised, new proposal, strategy or policy	Revised, new proposal, strategy or policy
Description & Data Sources:	[Document Data] Output comprises Spatial Masterplan, Community Action and Plan and Process Report.	[Document Data] Masterplan document comprises physical and non-physical project proposals, action plans and priority listings.
Outcomes	Practical, Functioning (Instrumental); Social, Political; Process, Substantive; Ethical, Normative Outcomes	Practical, Functioning (Instrumental); Social, Political; Process Substantive; Ethical, Normative

Description & Data Sources:	[Interview; Survey; and Document Data]
	• Practical, Functioning (Instrumental)
	  o Output endorsement; commitment evident
		[Interview; Survey; and Document Data]
		• Practical, Functioning (Instrumental)
		  o Process / Output Satisfies Funding Eligibility Criteria

	• Social, Political
	  ○ New or strengthened relations [i.e., Shoregrove and local faith community]
	  ○ New agencies, partnerships / collaborations [i.e., the newly formed Brigadoon Process Unit]
	• Process, Substantive
	  ○ Increased understanding of issues [i.e., Survey Respondents and Observations indicate participant learning]
	• Ethical, Normative
	  ○ Tacit knowledge gathered; increased understanding of public opinion [i.e., Council Officers reconnected with area, better understood local opinion]
		• Social, Political
		  ○ New agencies, partnerships / collaborations [i.e., CC community group]
		  ○ New or strengthened relationships [i.e., new connections made, potential for joint project exploration]
		• Process, Substantive
		  ○ Increased understanding of issues [i.e., greater awareness of local groups]
		  ○ Creative, novel useful ideas [i.e., worthy ideas others wanted to connect with and/or support]
		• Ethical, Normative
		  ○ Influence on outputs [i.e., participants could identify with findings]
		  ○ Increased democratic competencies [i.e., involvement may have contributed in some small way to increased competencies]

Social Scale	Within and Beyond the Groups Involved	Within and Beyond the Groups Involved
Description & Data Sources:	[Interview Data] Outputs and structure of Shoregrove (i.e., primary commissioning agency) provides a model example for other sites. Tignahulish wanted to learn from Shoregrove Secretary.	[Interview Data] Non-profit social enterprise committed to sharing knowledge, experience and learning beyond the participants in this CMP project.
Spatial Scale	Within and Beyond the Project Boundary	Within and Beyond the Project Boundary
Description & Data Sources:	[Document; Interview Data] Output references actions only within project boundary; however, these actions complement / coincide with national plans for path networks.	[Interview Data] The model implemented in Ravenburn has been trialled and will be replicated in different locations.
Temporal Scale	Short – Long	Short – Long
Description & Data Sources:	[Document Data] Outputs reference short- and medium-term project proposals; outputs suggest proposals should be jointly developed further 'over the coming months and years'.	[Document Data] Outputs reference short- and medium-term project proposals.

Table 62: Objectives, Outputs and Outcomes Descriptor for Ravenburn and Brigadoon

9.3 Step 2: Derive Evaluation Objectives

Since *successful* or *effective* means different things to different people (Kangas et al., 2014, p. 13), I take the necessary step of limiting the scope of evaluation (Jones et al., 2009, p. 1182). Trade-offs are inevitable; therefore, not all that is relevant will be covered and the approach adopted will be strengthened and equally compromised by my decisions. For example, a participatory (inside) evaluation could better address participants' needs, thus increasing acceptability and perceived usefulness of findings (Chess, 2000). Contrary, an independent (outside) evaluation helps thwart bias leading to more credible findings (Ibid, 2000).

Following Brown and Chin (2013), the evaluation approach taken here can be succinctly summarised as an *outside*, *summative* evaluation, with the intention of *learning* from and *improving* future efforts, using *universal*, *theory-derived* criteria to primarily assess *process* quality through CT, DT and participant *perspectives*. Each of these italicised terms are unpacked below.

Terms ex-ante, formative, summative and impact have been used to describe participation timing (Brown & Chin, 2013; Chess, 2000; Hassenforder, Ducrot, et al., 2016). Whilst summative may imply after-the-fact, it can instead mean to form a judgement whilst formative may be used for the purposes of monitoring a live project and keeping it on-track. Although I shadowed live projects and the immediate aftermath, the purpose was always to make a judgement on what worked well, less well and identify supporting or inhibiting factors. Hence, the evaluation's purpose could be described as *learning* and *improving* (see Blackstock et al., 2007), and the approach could be described as *summative*.

As mentioned in Chapter Four, participatory evaluations may include or can be led by participants directly involved in the PE. Given I and a colleague[53] were external to the process's DT, CT and wider community, the evaluation approach was conducted independently or *outside*. Data was collected from those with a different role in the CMP project to give a holistic overview, rather than from a single perspective. Identifying three categories -DT, CT and Participants- the subjective experiences of process involvement from

[53] As discussed in Chapter Three, I along with another doctoral student observed activities in Brigadoon, whilst I (only) observed the Ravenburn charrette.

each group was sought. Given the timing of the evaluation, the focus on outcomes or longer-term impacts (Chess, 2000; Hassenforder, Ducrot, et al., 2016) was limited; especially for the latter. Figure 45 depicts Stage Three's data collection window, which started just before the main public event and concluded with follow-up personal communications twelve months later. I kept up to date with announcements and meeting minutes to capture 'outcome' developments until Summer 2019.

With reference to -but ultimately separate from- the projects' identified Task / Objective and Participation Goals, I selected process and outcome evaluation criteria. Throughout Stage Two, interview data underscored the importance of 'outcomes' implying this was the most important way to understand effectiveness:

> You've got your charrette, now five years later if you walk through the town can you point to it and say, that is because of the charrette? (Participant C, Scottish Government Representative)
>
> So, what is a good one, which one can you point to at the moment? If you looked at one that happened a year or two ago and been able to see what's happened since? (Participant E, Private Practice Professional)

However, impacts likely manifest over the 'long durée' (see Matthews, 2013) and this evaluation is not a longitudinal study tracing, for example, the impact of Ravenburn's CC programme. As Shoregrove's Secretary suggested 'you have to come back in five years to see if it's been useful at all'. Therefore, I present a snapshot of events in the aftermath only. To do this, I identified outcome criteria -using Chapter Eight's 'Outcomes' list- to better understand immediate effects in terms of participant gain and early indicators of social change.

With greater focus however, I referenced normative, arguably universal, theory-derived criteria to assess process quality, which seems to be somewhat side-lined in a pursuit for effects and outcomes. To do this, I referenced the bank of sources assembled in Chapter Four and Five. Second, I referred to my Pilot Interviews and interviews intentionally earmarked for Stage Two to guide criteria selection.

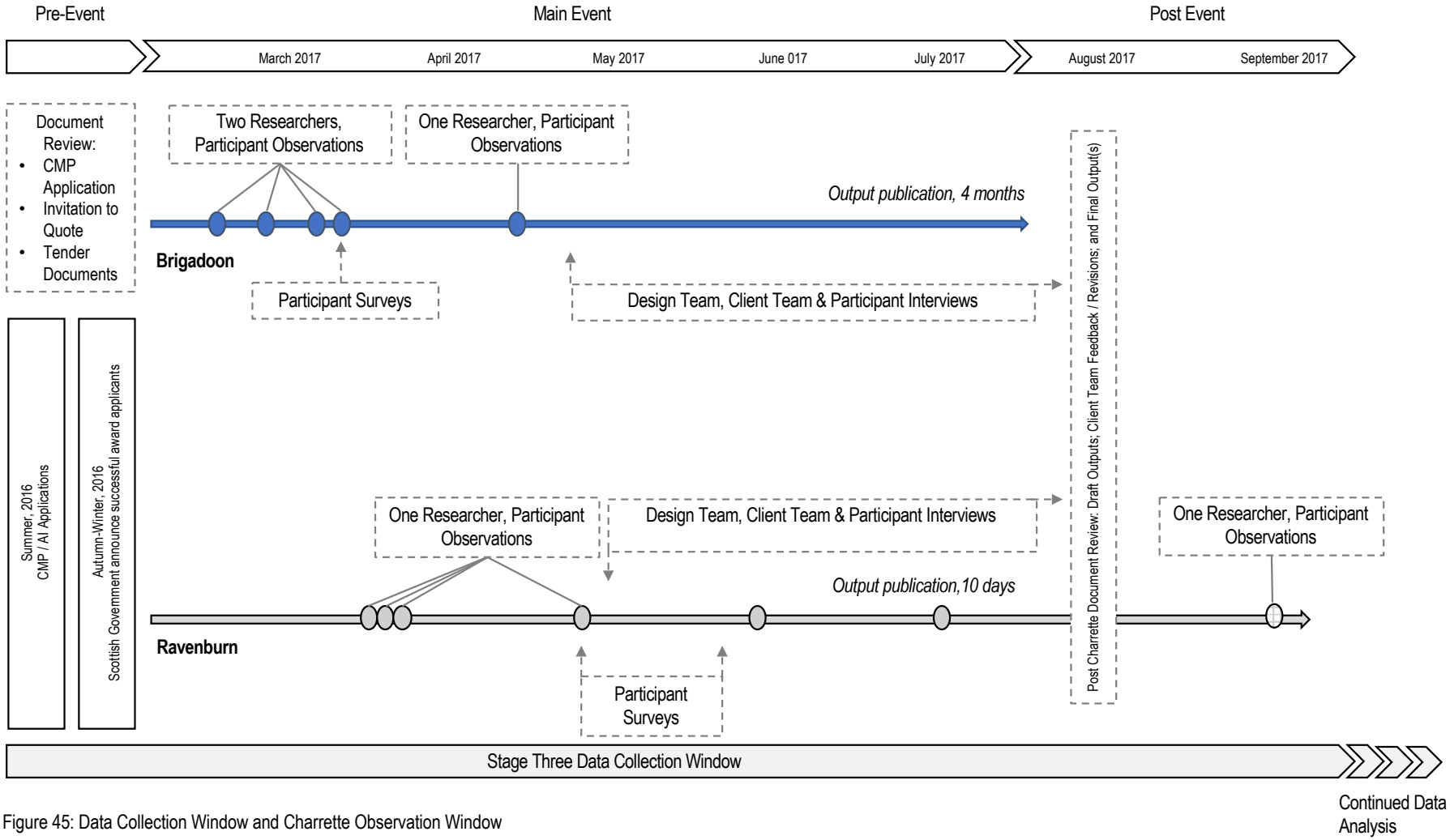

Figure 45: Data Collection Window and Charrette Observation Window

Given Pilot Interviewees and Chapter Six's rationale exploration, I wanted to explore the extent often-cited good-practice standards were being implemented. In doing so, I endeavoured to respond to calls for a 'micro-level' focus that unmasks the complexity, contradiction and nuance that unfolds empirically through on-the-ground examples (Brownill & Parker, 2010) of what is dubbed 'community-led' participation in effectively a state-created space. The internal dynamics of a live process, unveiling the relationships between players, the inner structuring of a CMP project, the quality of interactions and the subjective experiences of process involvement from different perspectives was at Stage Three's centre. Ultimately my evaluation objectives set for the cases of Brigadoon and Ravenburn are defined as:

- What can the procedural implementation of Scottish charrettes tell readers about the practice realities of participation theory underpinning the CMP, AI and MP initiative?
    - What factors inhibited and/or supported the CMP project's procedural implementation?
- What evidence is there of participant gain and collective social change that can be (partly) credited to the CMP project?
    - What factors inhibited and/or supported participant gain and/or social change?

9.4 Step 3: Select Evaluation Criteria

Given process quality was the primary focus, I selected six process and three outcome criteria based on the above objectives (Figure 46). As discussed in Chapter Five, criteria were anticipated to interact e.g., early, pre-charrette actions were thought likely to affect the main event. As the fifth step in Figure 41 suggests, other factors listed in Chapter Eight's case characterisation tool -under 'context', 'process', 'objective, output and outcome' categories- were also anticipated to interact, either inhibiting or promoting criterion success. Here, I present these anticipated interactions in a diagram before a short description of criteria selection and justification.

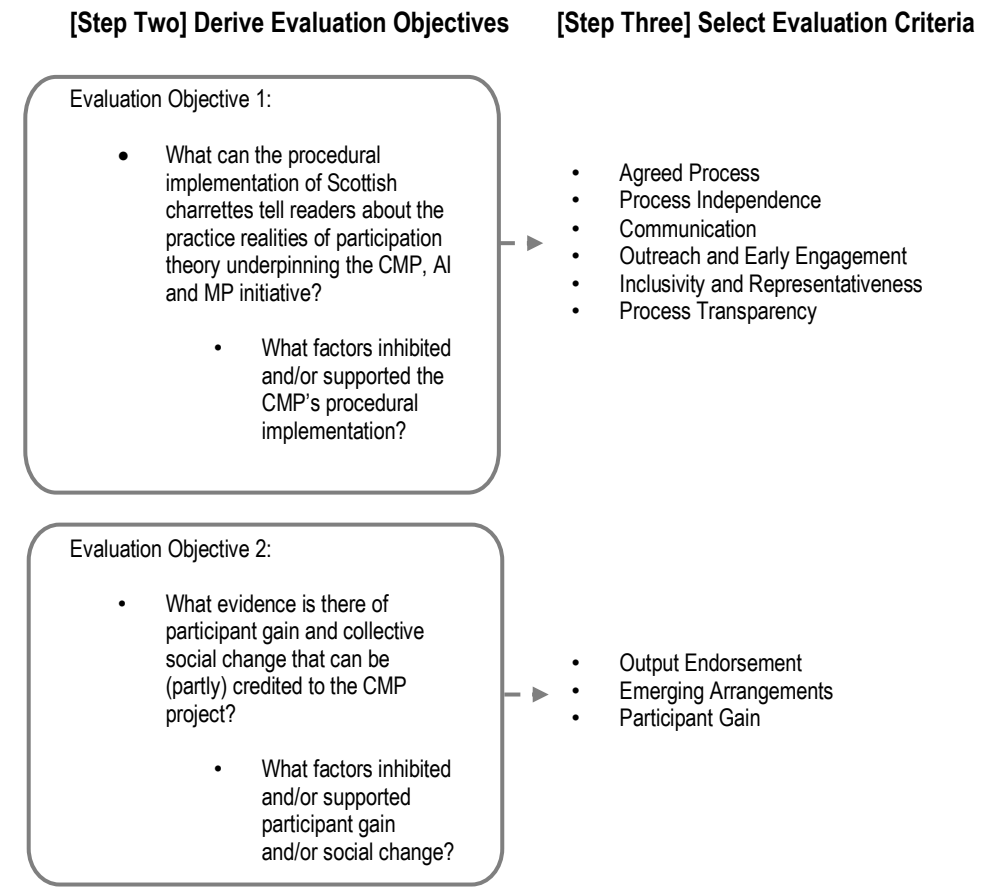

Figure 46: Stage Three Research Questions Matched to Criteria

9.4.1 Agreed Process

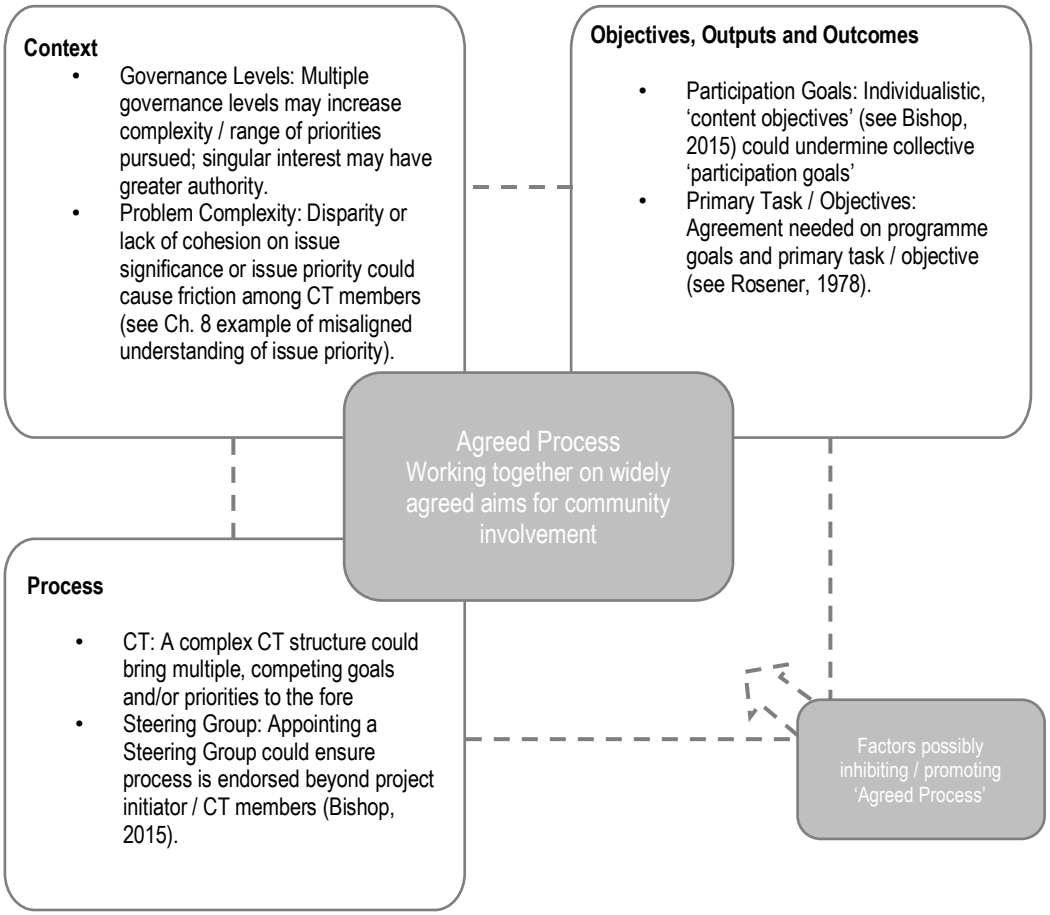

Figure 47: Agreed Process Criterion

Task Definition was discussed in Chapter Five. There, I reference Rosener's (1978) evaluation matrix that discovers whether participation goals and scope for involvement are widely agreed. Rowe and Frewer (2000, p 16) also use this criterion to minimise 'confusion and dispute (…) regarding the scope of a participation exercise'. Innes and Booher (1999, p 419) recommend the process be 'driven by a purpose and task that are real, practical, and shared by the group'. Webler (1995) similarly states participants should be able to contribute to the agenda and rule setting. Limitations should be understood, and agreement reached on the problem definition and data sources used. Misunderstandings or disagreement on these can be the cause of much contention.

With reference to Scotland's standards for community engagement, *Planning* requires 'clear purpose for the engagement, which is based on a shared understanding of community needs and ambitions' (Scottish Government & SCDC, 2016, p 14). This can be evidenced by an

agreed focus for engagement; an agreed plan for engagement, sought-for outcomes and indicators to measure fulfilment; and widely shared information affecting engagement plan development. Second, the standards include 'Working Together', which requires 'Decision-making processes and procedures [to be] agreed and followed' (Scottish Government & SCDC, 2016, p 16). In an effort to demist the process, collaboratively defining a project's scope, limitations and goals is recommended by Bishop (2015, p 16 - 18) as one of sixteen engagement principles titled 'agreed process'. It is important to understand 'content objectives' i.e., the motivations and possibly selfish outcomes sought by different parties, and forge a collective, feasible package of participation goals.

9.4.2 Process Independence

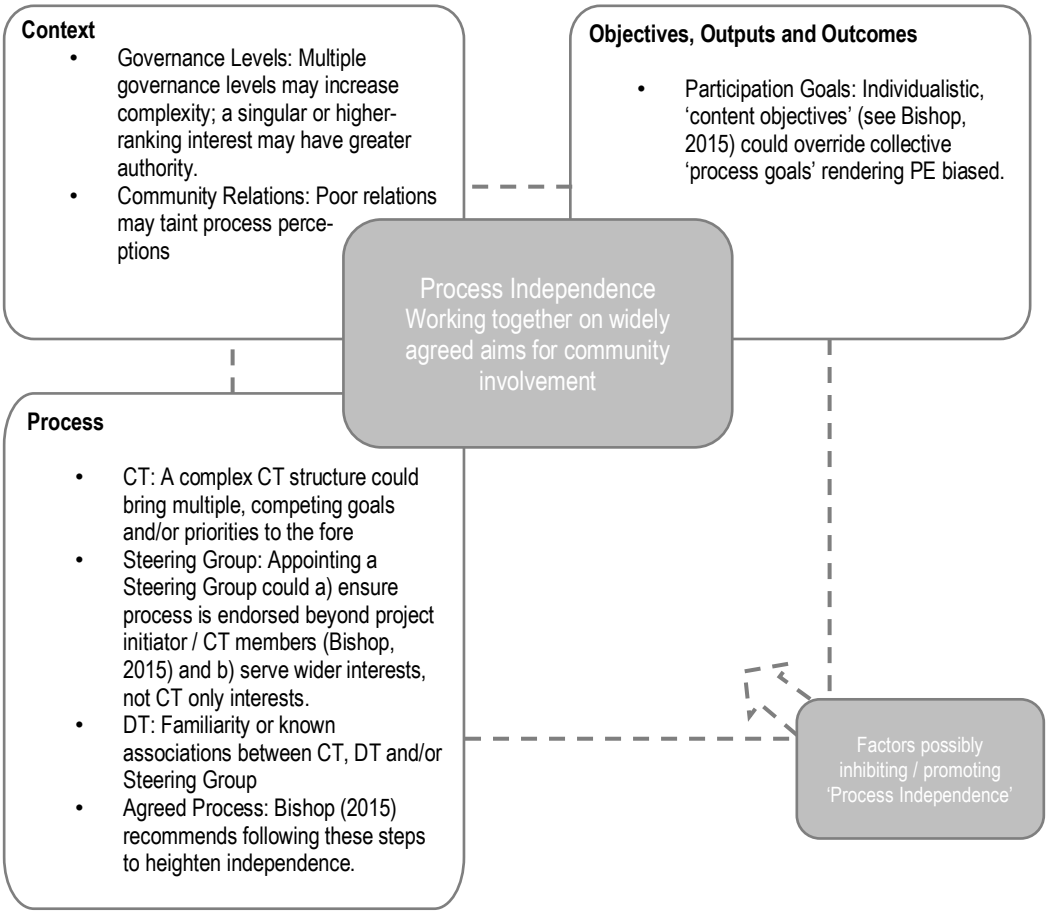

Figure 48: Process Independence Criterion

The project's initiator should not unfairly influence process delivery or its subsequent outcomes (Bishop, 2015). Independence criterion puts a check on the project's CT and overall

management. One Scottish Government interviewee describes the CT's role as one step removed when a PE goes live:

> Although the client might be the community, once the charrette starts, in a way, whoever is running it, whoever the client is they have to give up some control at that point because it is about having an independent facilitator, negotiate, mediate and build consensus among a much broader group of people. (Participant D, Scottish Government Representative)

Likewise, Pilot Interviewees (see Chapter Five) used terms such as 'broker' and 'without favouring one or the other' in their role description. In broader literature, Rowe and Frewer (2000) recommend a PE's overall management and facilitators be unbiased and independent from sponsors. Appointing an external process management team is one recommended measure, as is disclosing known affiliations (Rowe and Frewer, 2000). Bishop (2015) and Lennertz and Lutzenhiser (2017) also suggest some form of Steering Group to reduce CT bias, to demonstrate independence and to engender support for the project and its proposed procedural delivery. In short, despite the CT's initiating role, a fairer, clearer process with greater chances for buy-in depends on relinquishing control and widely agreeing the PE.

9.4.3 Communication

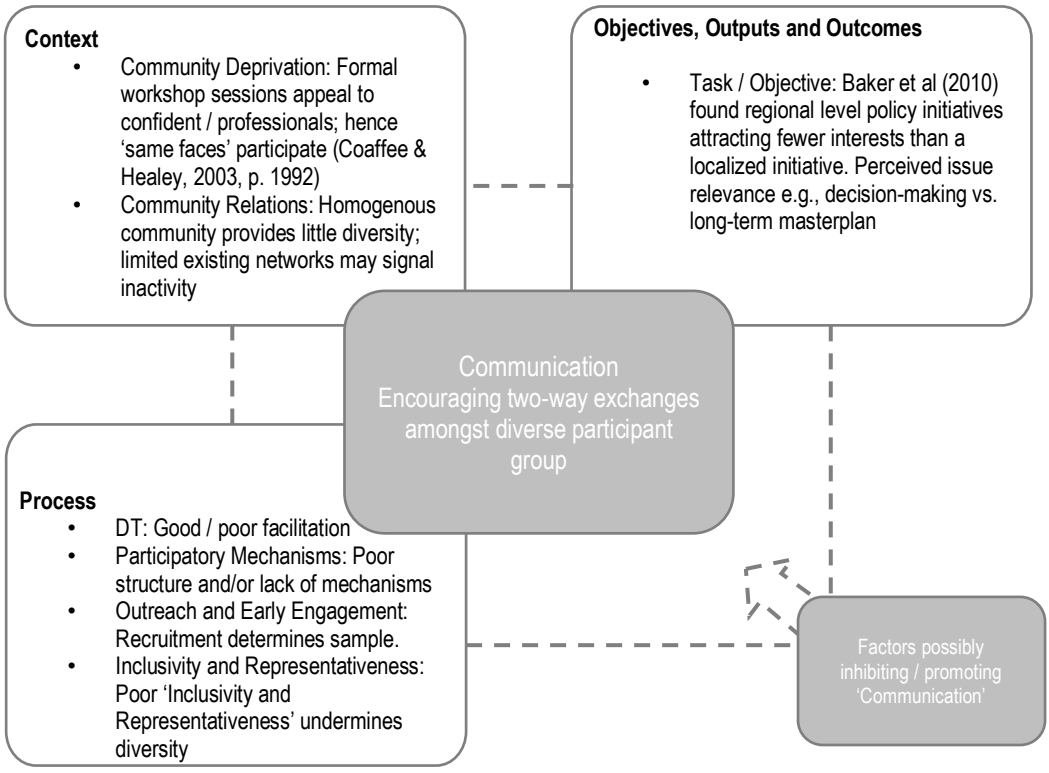

Figure 49: Communication Criterion

Processes derived from participatory, deliberative democracy or communicative theories reference the 'transformative power of dialogue' (Innes & Booher, 2004b, p. 428). The objective is to create a multidisciplinary interface where diverse interests and expertise are convened for dialogue and/or deliberation. Posited as an alternative to in-breadth, passive mechanisms that collect data, dialogic events create space for individuals to listen, contribute, debate and reflect. Participants are thought to reflect and change through a process of learning about issues, about decision-making consequences and others' positions. With adequate opportunities for contemplation, participants reframe their positions and work toward holistic ends. As Participant D (a Scottish Government representative) in Chapter Six suggests, the charrette is not about collecting information from different perspectives. Rather it serves to bring together different perspectives in a communicative space.

From this basis, researchers have studied the quality of *dialogue* and the level of *knowledge / understanding* accrued (Edwards et al., 2008; Mannarini & Talò, 2013). To assess the former, processes should recognise bias, refrain from steering in a single direction (respect); offer equal opportunities to listen, contribute and challenge (equality); welcome different speech acts i.e., anger, contestation (everyday talk); accept divergent opinions (disagreement); respond or link to others' contributions (reciprocity); and promote inclusive, creative solutions serving more than a singular interest / need (common good).

To assess the latter, processes should recruit multiple knowledge sources and positions (diversity); provide quality, comprehensible and relatable information on topic / issue (knowledge base); participants provide reasons and/or exchange evidence for arguments (argument); use widely comprehensible communication suitable to participant group and learning styles (comprehensibility); participants become increasingly aware of adopted positions (reflexivity); and participants gain holistic understanding of others' positions (social learning).

As mentioned in Chapter Four, the *ideal speech situation* has been criticised as a utopian, illusive fantasy. For example, encouraging a respective, polite atmosphere prioritising 'rational argument' may marginalise impassioned individuals engaging in open contestation. Likewise, the pursuit of the *common good* could further marginalise already minority interests as individuals package contributions to appeal to a broader audience (Fainstein, 2000; Harris, 2002; Huxley, 2000; Purcell, 2009; see discussions in Tewdwr-Jones & Allmendinger, 1998).

Helpfully, researchers have bridged the gulf through hybrid frameworks (see Beaumont & Loopmans, 2008; Bond, 2011; Van Wymeersch et al., 2019) and criteria from this theoretical bedrock need not be an aspirational imposition but rather used as an analytical lens (Bond & Thompson-Fawcett, 2007). With reference to Mannarini and Talò (2013), Edwards et al. (2008) and Webler (1995), I derived guiding questions to structure observation sheets, post-charrette surveys and interview schedules, which explored the quality of interaction and the subjective experiences of individuals participating in *in-the-room* engagement.

To assess interactive drop-in sessions, I referenced good-practice guides. Drop-in sessions offer an alternative (to dialogic sessions) yet still provide an interactive involvement experience. Bishop (2015) and The Charrette Handbook (Lennertz & Lutzenhiser, 2017) outline recommendations for an engaging, interactive gallery drop-in session that refers to venue layout, adequate staffing, stakeholder analysis and outreach and early engagement.

A well-organised room stocked with relevant information managed by informed staff, competent in participant handling, can all help to facilitate an engaging session. Bishop (2015) suggests drop-in sessions could be used early-on, to communicate project information and gather input, as well as later-on, to rate and prioritise concepts leading toward decision-making. Upon arrival participants should be welcomed by an informed DT or CT member before signing-in and completing an arrival activity in the *charrette studio gallery*. Registration and arrival activities, such as marking *home* on a wall map, helps to build a database of participants that can be sent activity reports, updates and eventually the final project outputs. A reception station should also be well-stocked with relevant information and take-home hand-outs describing project background, developments and upcoming activities. Greeters should assess how to handle a participant's experience; for example, an elected official might be expecting to meet with the DT Lead and therefore be directed toward the studio and appropriately introduced. Others should be informed of the studio-gallery's layout and content, so they can take a self-guided tour speaking with the DT as and when they please.

Depending on participant numbers and interest levels, short presentations and/or informal, impromptu meetings could be held during a drop-in or open house session. The drop-in or open house session relies on quality content and an effective layout for a good pop-up exhibition. Participants should be able to review project background information (e.g., its sponsors, aims and objectives) before moving through a series of themed stalls.

Recommendations suggest including information on the context's existing conditions; emerging themes from engagement; concepts and responses to various plan elements such as transport, economics, environmental impacts, housing development and so forth. Considering the audience, there should be various ways participants can record their feedback, from written responses in comment books, to live social-media feeds or visual cues communicating preferences and responses.

9.4.4 Outreach and Early Engagement

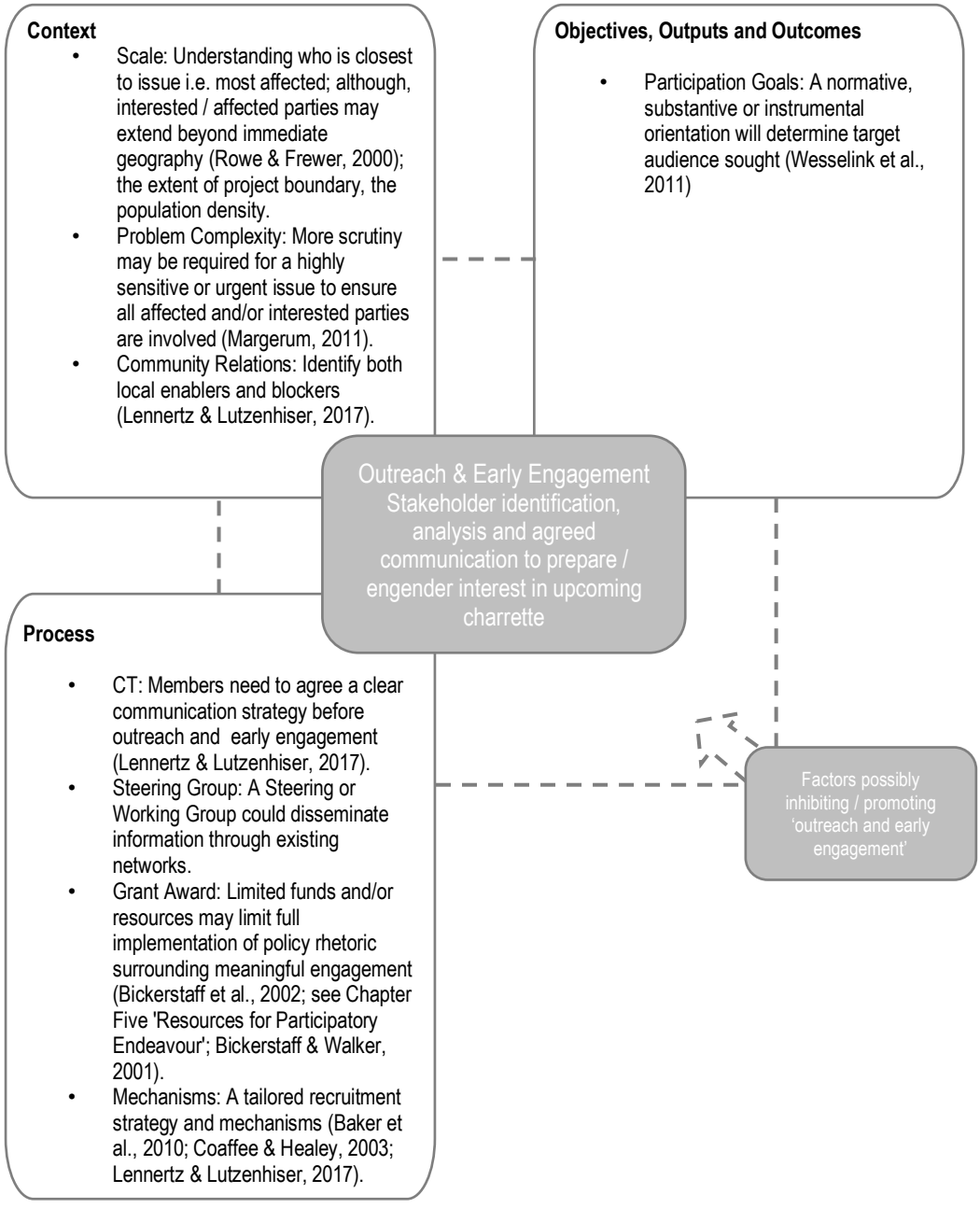

Figure 50: Outreach and Early Engagement Criterion

Bishop (2015) uses a cooking analogy to describe processes (menus) comprised of mechanisms (ingredients) and events (recipes). No singular mechanism, event or level of participation (see Chapter Eight 'Mechanisms'; Arnstein, 1969; Baker et al., 2010; Bishop, 2015) should be lauded over another. Instead, citizens and stakeholders require many options to suit different involvement preferences; for example, fleeting and in-breadth or in-depth and intensive.

The Charrette Handbook advises conducting and (continuously revising) stakeholder analysis to identify primary, secondary and general stakeholder categories. An *outreach* and *early engagement* strategy are recommended for each group. The former communicates a shared set of project information and advertises activities. As well as blanket invitations, stakeholder analysis will unearth specific groups' interests or concerns; therefore, tailored invitations are recommended to highlight relevancy and increase participation rates. Building on outreach, early engagement is based on two-way exchange to better understand explicit and implicit needs, which shape charrette development.

It is recommended that decision-makers identify and include the *harder to reach* (see section 9.4.5 for a discission on this), those directly affected, those with key information and local supporters and blockers in this initial engagement (Bishop, 2015; Lennertz & Lutzenhiser, 2017). Poor stakeholder analysis can seriously undermine project success (i.e., output and outcome implementation) if needs and interests are overlooked (see Lamers et al., 2010). In response, minority interests may be highly motivated to unpick emerging proposals. This would be particularly relevant to projects framed by an instrumental rationale (see Chapter Six).

Further, involvement rates are likely to rest on Problem Complexity and Scale (Baker et al., 2010; Bishop, 2015; Margerum, 2011). An urgent issue and small-scale project are likely to pique interests compared to regional-level discussions with no direct impact foreseeable. Therefore, depending on context descriptors, the process may struggle to capture widespread interest. In summary, outreach and early engagement should be tailored to needs and interests in order to maximise the level of involvement citizens and/or organisations are willing and/or able to offer.

9.4.5 Inclusivity and Representativeness

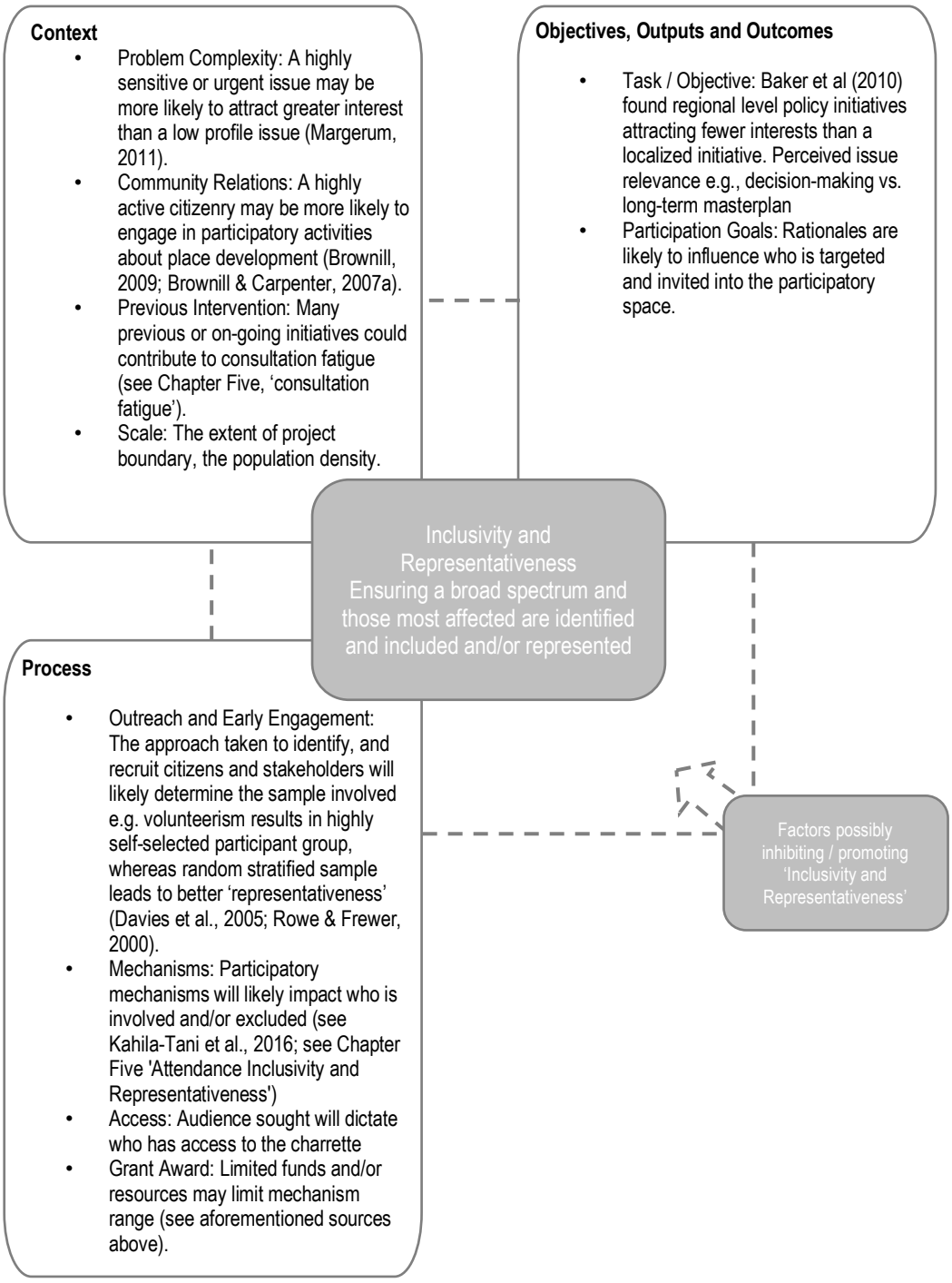

Figure 51: Inclusivity and Representativeness Criterion

Ensuring a process is broadly inclusive, and representative of the affected population is one of the most cited and debated process criteria (see Chapter Four and Chapter Six's Procedural Norms). Those affected by decisions should be identified and included in the decision-making process and their input should influence decisions (Sanoff, 2006); however, new spaces,

procedures or being present does not guarantee the latter, partly, because those already privileged could dominate and the status quo could re-establish (Beebeejaun & Vanderhoven, 2010; Blue et al., 2019; Fung & Wright, 2003).

An 'inclusive' approach that provides 'support' to minimise barriers to participation are also two of Scotland's National Standards for Community Engagement (Scottish Government & SCDC, 2016, p 10): engagement should include 'a wide range of opinions, including minority and opposing views'. Stage Two interviewees underscored variations of a fashionable term that essentially aspire to engage *the harder to reach*. Public consultation must go beyond involving those likely to turn-up to consultative and/or participatory events and seek out those who do not:

> There is this new term the government uses now, 'seldom heard groups'… The onus is on us to reach them. (Participant M, Scottish Government Representative)

The aim is to encourage a multiplicity of interests to be present or represented, which requires participants to be mindful of interests outside their own frame of reference. No interests should be 'absent' (Allmendinger & Tewdwr-Jones, 2002). Further, processes should be equally accessible and mechanisms diverse, innovative and tailored (Baker et al., 2010). These are hardly new concepts as 'opening up participatory processes to a more diverse range of groups' has been increasingly championed as a means to achieve greater inclusiveness (Beebeejaun, 2004, p 438; Parker & Street, 2018, Ch. 2). Research participants were well aware of skewing findings if a narrow subset of the community was engaged:

> The one problem on charrettes as a whole though is that unless you go out to the schools you end-up with a very narrow demographic. Certainly, those who are already interested in the process. (Brigadoon DT Member A, 2017)

As mentioned, Participant K (a private practice professional) observes this widening out has ironically narrowed to privilege school engagement, which was almost a staple in content analysis of outputs. A conscious and deliberate effort to include a range of voices considered to be on the outskirts is an attempt at levelling the playing field. That is, enhancing equality and limiting discriminatory practices (Beebeejaun, 2004). However, targeting and ticking-off groups under a given *label* is thought problematic because it 'assumes a stable, fixed and singular identity' can be derived (Barnes et al., 2007, p 68; also see Inch, 2015; Newman, 2005, p 131); thus, ignoring the heterogeneity and disconnects that may exist among members of an assumed group (Beebeejaun, 2004; Beebeejaun & Vanderhoven, 2010).

Members of one group may share little more than the attribute that determined their association (Beebeejaun & Vanderhoven, 2010).

Therefore, achieving *representativeness* (as it has been traditionally conceptualised in terms representative democracy) is inherently challenging and possibly inadequate (see Beebeejaun & Vanderhoven, 2010; Bond & Thompson-Fawcett, 2007). Interviewee excerpts here, and those presented in Stage Two (see Chapter Six), suggest the default position remains deriving societal groups and seeking their input so views across class, gender, ethnicity and so forth are adequately heard.

Inclusiveness may be further undermined by a general lack of interest. Monno et al. (2012) observe a rhetoric promoting formal participation at a time when citizens show less interest in local politics. Unlike the mid-twentieth century that witnessed an 'explosion of citizens' movements, self-reliance projects and local associations' (Ibid 2012, p. 297) citizens are now less engaged. Parvin (2018) similarly argues liberal democracies are seeing less uptake in participatory arenas, which is a fundamental tenet of deliberative democracy. Instead, Parvin (2018, p. 33) argues a new approach is required that does not 'rely on widespread participation'.

Therefore, whilst diverse, tailored and innovative opportunities for participation may be made available to minimise barriers and encourage involvement, *representativeness* remains complex. Ultimately, involvement depends on participants' willingness to engage, their capacity and also the selection and/or recruitment approach (Newig et al., 2018). Volunteerism is likely to produce a biased sample as processes rely on self-motivated, likely already civically active, individuals (Davies et al., 2005; Newig et al., 2018). More recently in 2021, Hedelin et al. (2021, p. 14) conclude their work asking, amongst other questions, how 'participant identification and selection' can be improved to ensure all relevant knowledge-types are included?

Further, *equal* access to the communicative arena is thought unattainable given power imbalances among participants cannot be truly neutralised (Bond & Thompson-Fawcett, 2007; Purcell, 2009; Tewdwr-Jones & Allmendinger, 1998). I explore this issue more fully as part of the 'Communication' criterion. Acknowledging this peppered discussion, I opt to use 'Inclusivity and Representative' to better understand -as Professor Sanoff advised (in Chapter

Five)- who shows-up and to what extent charrettes have retained their power to convene (see Chapter Six).

9.4.6 Process Transparency

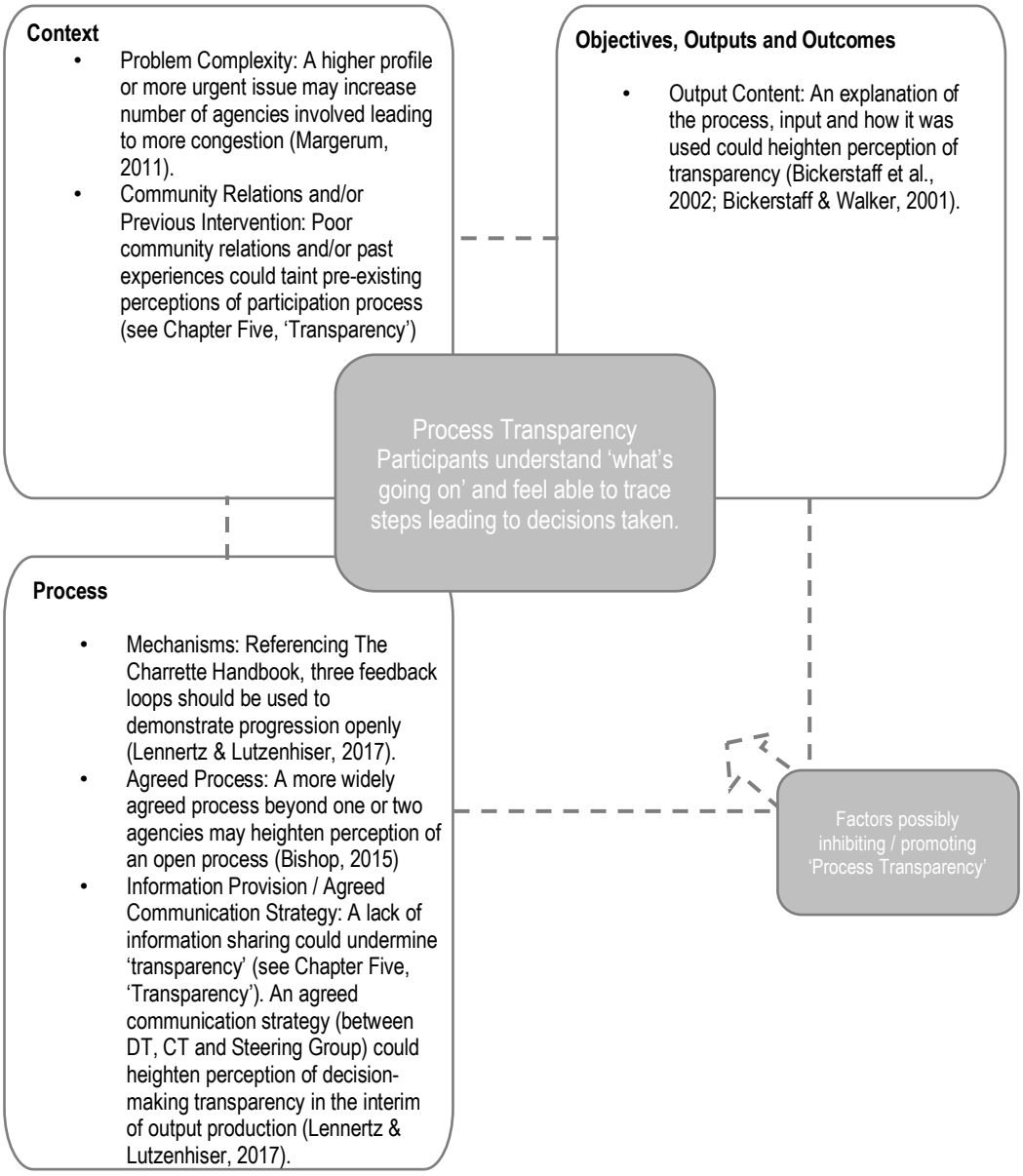

Figure 52: Process Transparency Criterion

Decision-making should be subject to wider scrutiny; that is, stakeholders and participants should be able to trace the steps leading to output proposals. Enabling others to understand *what is going on* underscores the transparency criterion. To build trust, squash suspicion and

render outputs legitimate, decisions should not be made behind closed doors; project initiators should be forthcoming even justifying instances information is withheld from citizens and stakeholders; communicate how participation input will be and/or was used in formulating outputs; and regularly communicate updates and share information. The 1969 Skeffington Report stated citizens 'should be told what their representations have achieved or why they have not been accepted' (Skeffington Committee, 2013, p 52).

I combine definitions of transparency proposed by Sarvašová et al. (2014), Bickerstaff et al. (2002); Bickerstaff and Walker (2001), Hoa and Zamour (2017) and Rowe and Frewer (2000) with procedural charrette tenets (Lennertz & Lutzenhiser, 2017) to assess Brigadoon and Ravenburn. The NCI Charrette System recognises 'any lack of openness will quickly erode their [i.e. stakeholder] trust in the process' and all information should be widely shared (Lennertz & Lutzenhiser, 2017, p. 10). All NCI charrettes should centre round three feedback loops. The purpose? To get it wrong three times. This involves emerging and developing proposals to be presented, critiqued, revised and re-presented.

As aforementioned, stakeholder and public participation should not be separate from design according to Participant D, a Scottish Government interviewee (see Chapter Five). Conducting stakeholder and public participation in one event to return sometime later with proposal is a step backward. Likewise, the NCI Charrette System recognises if participants have 'no information between the first and second meeting', it likely leaves many not understanding the 'thinking and learning that occurred in developing the final plan' (Ibid, 2017, p. 11).

9.4.7 Output Endorsement

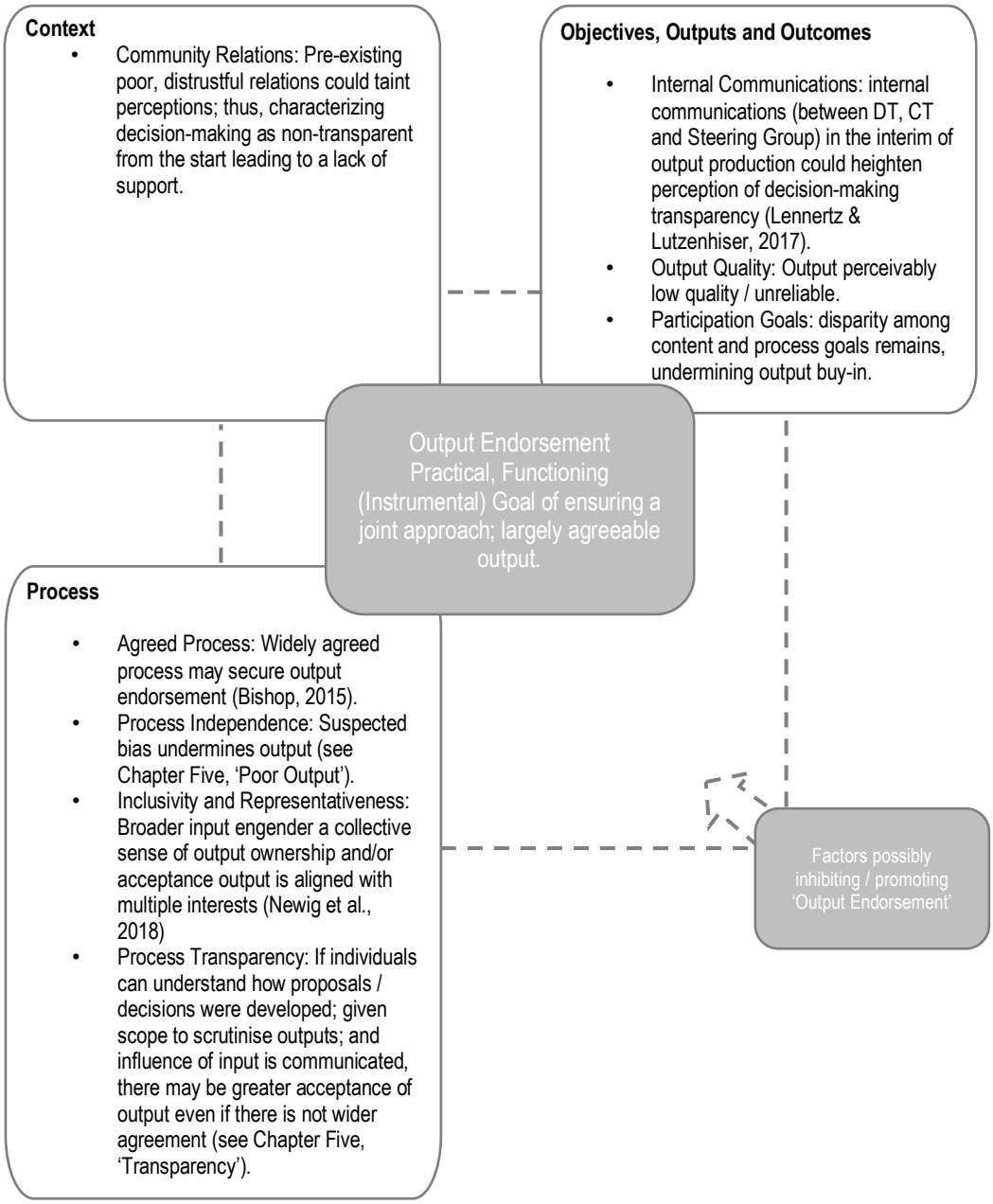

Figure 53: Output Endorsement Criterion

With reference to *Practical, Functioning (Instrumental)* outcomes (see Chapter Eight), I consider whether the CMP project's outputs received wider endorsement beyond Shoregrove and Econoon i.e., the CTs. Thus, evidencing whether outputs from (primarily) community-led endeavours have genuine influence on local decision-making. 'Impact' is one of Scotland's National Standards for Community Engagement, which involves feedback on engagement's influence on decisions. Input should render outcomes and services 'improved as a result of

the engagement process'(Scottish Government & SCDC, 2016, p 22). With reference to Chapter Five, participants want to see 'influence', feel their input is acknowledged and valued; in its absence, a lack of influence becomes a source of contention.

9.4.8 Emerging Arrangements

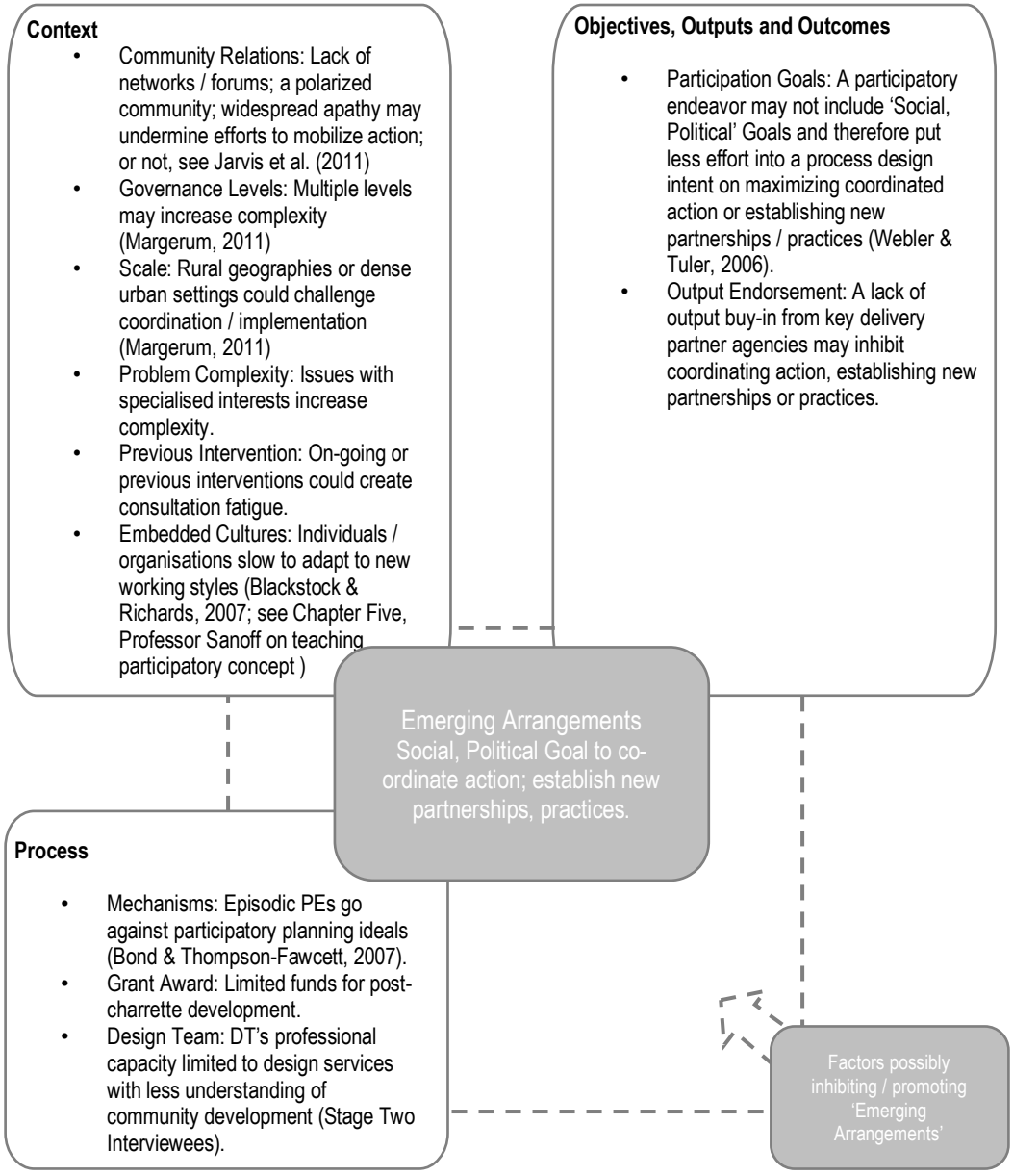

Figure 54: Emerging Arrangements Criterion

Referring to several listed outcomes under the *Social, Political* heading in Chapter Eight, I consider whether CMP project involvement contributed to new or strengthened relationships; new agreements to work on shared actions; or whether new agencies or partnerships

emerged. The premise is to better understand what informal organisational and/or social changes may have materialised partly in relation to the CMP project. In broader literature, Innes and Booher (1999b) describe this as part of first, second and third order effects from participatory, collaborative working.

9.4.9 Participant Gain

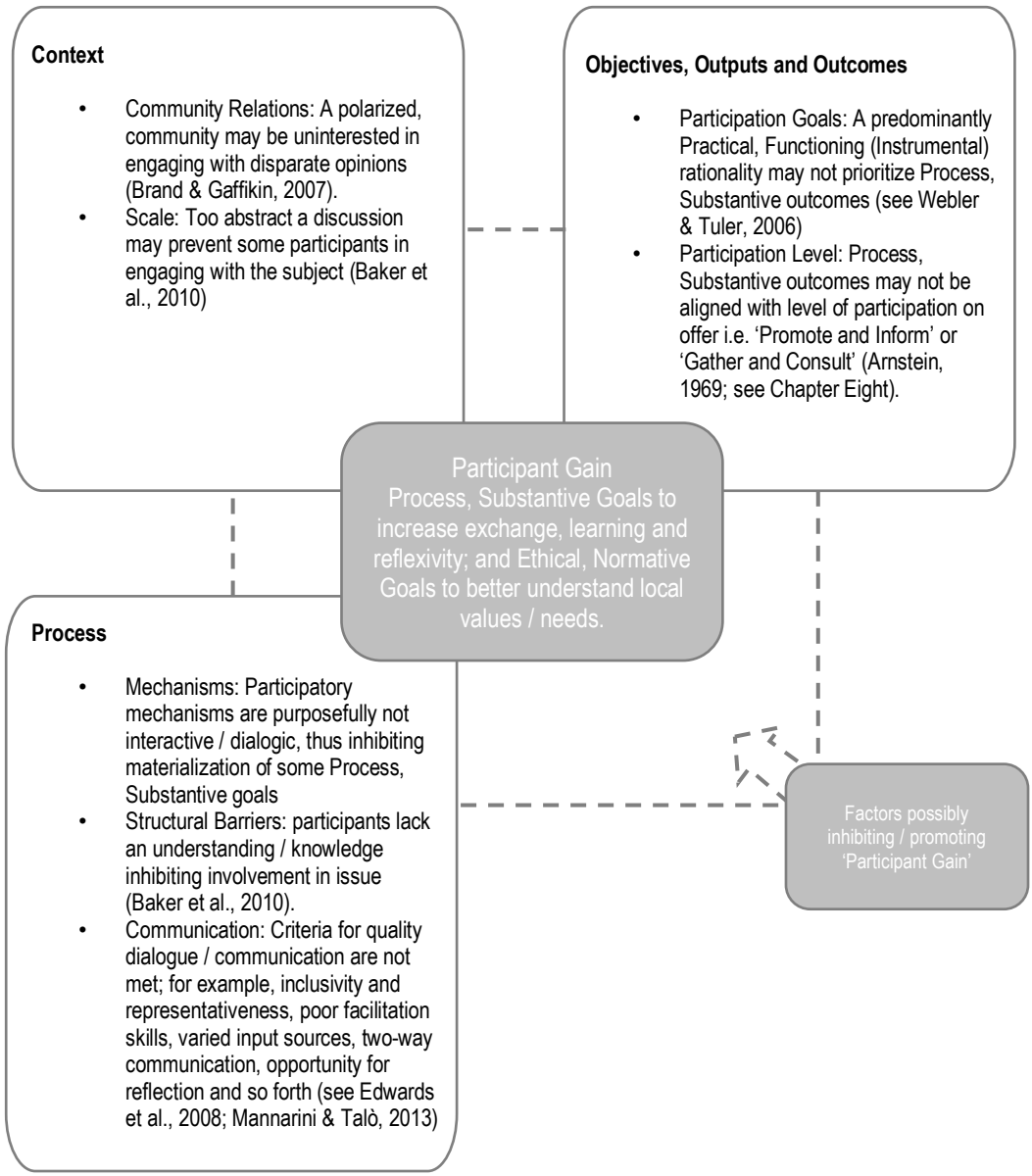

Figure 55: Participant Gain Criterion

I endeavoured to understand whether CMP project involvement increased participants' understanding of issues or others' perspectives and prompted reflection on self-held positions.

Here, learning is not only understood as an educational experience for community participants but more generally for all involved. A deepened understanding, self-reflexivity and behavioural changes are described part of *Process, Substantive* outcomes (see Chapter Eight). From an *Ethical, Normative* perspective an outcome (generally for local government and stakeholders) includes a better understanding of local values and public opinion. Here, I explore *who gains what* as a result of CMP involvement.

9.5 Step 4: Operationalise the Definition

The second step proposed by Rowe and Frewer (2004) in their three-part agenda, requires 'operationalising the definition'. The objective is to design tools that will help researchers understand the extent to which the 'effectiveness' definition has been attained. This is not a pass or fail, however. As briefly discussed, I am not intent on reiterating a darker side of planning, or arguing which participation rung was reached, or characterising PEs as successful bottom-up or heavy-handed top-down endeavours.

Instead, I prioritise developing an 'empirically formed perspective' (Silver et al., 2010, p 454) that traces the unfolding of a charrette process within a given context, with a particular set of process characteristics that are steered by a selection of objectives, outputs and outcomes. Whilst not a 'practice story' from any one perspective (Forester, 1993; Forester et al., 2011), the intention nonetheless is to use criteria in framing a commentary on the charrettes' practice reality through two cases.

Instead of ticking whether 'abstract ideals' (Forester, 2000, p. 914) embodied in criteria have been satisfied or not, criteria provide a data collection and analysis framework, coupled with possible influencers hypothesised in Step Three. To collect data on six process and three outcome criteria (introduced above), I derived several questions, per criterion, which framed data collection tools. For example, 'Communication' requires two-way exchanges amongst a diverse set of participants, which led me to ask:

- To what extent did participants converse? E.g., respond to claims, ask for evidence, challenge statements and so forth.
- To what extent is there a balance of contributions from participants?
- How do participants describe their role in discussion forums?

The first two questions on 'Communication' were partly satisfied by developing an *observation schedule* to assess discussion-based activities (e.g., workshops, open forums). With

reference to Stromer-Galley (2007), Mannarini and Talò (2013) and Edwards et al. (2008) I looked for contribution styles (e.g. statements versus responses to others) and level of involvement from workshop participants. *Observatio*n and *document data* helped identify who was attending charrette activities. The *participant survey* also asked charrette attendees to rate their level of involvement and (in Ravenburn) expand on reasons for less or greater involvement. Following Margerum (2011) I asked *interviewees* to describe their role in workshops, which was expected to reveal whether or not individuals were primed for discussion; or rather adopting an observer or information-providing role.

I repeated this process for each criterion and endeavoured to collect data from two or three sources. Similar to evaluation criteria, the case characterisation tool provided a skeletal structure for data collection. To populate the tool's criteria, I drew from the same four key sources italicised above (i.e., document review, charrette participant surveys, interview and observation data) with the addition of QGIS Spatial Analysis. I similarly derived logical questions based on the criterion. For example, when reviewing 'Problem Complexity', I referred to literature sources used in its original formulation, asking (Margerum, 2011):

- To what extent are higher ranking agencies involved?
- To what extent does the project boundary include protected, iconic sites?
- Is there a state of emergency, pending crisis or injection of resource to be allocated?
- To what extent has the issue received widespread attention beyond the project boundary?
- Is there a perception of fear -for example, unwanted regulation- or pressure to develop solution?

In summary, Tables 63 and 64 provide an overview of this process by deconstructing criteria into questions and indicators, which helped 'operationalise' evaluation criteria.

	Criteria	Literature Sources for Question Development	Indicators
Agreed Process			
Questions Derived	How did the CT secure broader buy-in before initiating the CMP application?	(Bishop, 2015, see 'Overall Principles')	• Multiplicity of individuals / agencies (beyond CT) engaged pre-CMP application
	How diverse is the Steering / Working Group (if) appointed?		• Steering / Working Group appointed • Broad representation on Steering / Working Group of relevant stakeholders / local interests
	Beyond the immediate CT, who was involved in charrette preparation? i.e., setting the agenda, selecting a DT and so forth.	(Innes & Booher, 1999b; Scottish Government & SCDC, 2016, see 'Planning'; Webler, 1995, A)	• Steering / Working Group involved in charrette preparation • CT willing 'work together' to formulate charrette design
	How did those involved perceive the project's purpose?	(Bishop, 2015, see 'Overall Principles'; Rowe & Frewer, 2000, see 'task definition'; Scottish Government & SCDC, 2016, see 'Planning')	• Continuity or disparity across perceived purpose, objective / task and participation goal(s) • Roles and responsibilities are understood • Decision-making processes and procedures are agreed and understood
Process Independence			
Questions Derived	How open is the charrette to others' interests?	(Lennertz & Lutzenhiser, 2017; Rowe & Frewer, 2000)	• CT welcome individuals, agencies with complimentary and disparaging interests to their own • Decisions popular with citizens and/or stakeholders that are simultaneously unfavourable with the CT are adopted
	Who manages charrette preparation, design, delivery and post-charrette phases?	(Bishop, 2015, p. 43-45)	• An external, internal and/or mixed DT are appointed
	How 'substantively neutral' are CT and DT members?	(Brown & Chin, 2013; Lauber, 1999, p. 20-21; Margerum, 2011)	• CT or DT members are content neutral • Participants perceive the process to be conducted fairly and/or absent from external or internal influences
	To what extent are pre-exiting relationships visible?	(Rowe & Frewer, 2000)	• Those involved make pre-existing associations, partnerships and so forth known.

	Criteria	Literature Sources for Question Development	Indicators
Outreach and Early Engagement			
Questions Derived	How are stakeholders identified and recruited?	(Bishop, 2015; Davies et al., 2005; Lennertz & Lutzenhiser, 2017; Webler, 1995, F2)	• DT, CT and Steering Group vary recruitment methods • DT, CT and Steering Group rely on volunteerism • Stakeholder analysis is conducted and revised throughout
	What mechanisms are used to engage interests and/or promote charrette?	(Baker et al., 2010; Lennertz & Lutzenhiser, 2017; Scottish Government & SCDC, 2016)	• Multiplicity of mechanisms used in pre-charrette and main event • Agreed communication strategy per stakeholder group • Mechanisms are tailored to stakeholder type and involvement purpose • Creative involvement methods are used • Methods are adapted if evaluation recommends
	Is there ample notice of events (e.g., invitations, outreach strategy) communicating relevant (potentially personalised) details?	(Bishop, 2015, p. 94; Conrad, Cassar, et al., 2011, p. 34; Lennertz & Lutzenhiser, 2017; Scottish Government & SCDC, 2016; Webler, 1995)	• Satisfaction with publicity • Satisfaction with lead-in times • Information is given in appropriate formats • Information is tailored per stakeholder category
Inclusivity and Representativeness			
Questions Derived	How does the CMP project identify and overcome any barriers inhibiting involvement?	(Baker et al., 2010; Scottish Government & SCDC, 2016; Webler, 1995, F1)	• Mechanisms are tailored to stakeholder group and their particular requirements • Easy to attend activities e.g., limited costs for participants • Practical barriers are recognised and removed to enable involvement
	Who was involved in CMP activities?	(Brown & Chin, 2013; Conrad, Cassar, et al., 2011; Davies et al., 2005)	• Satisfaction / dissatisfaction all relevant interests were present or (if absent) represented • Participants comprise a mix of individuals and representatives e.g., delegates, trustees, guardians
	To what extent are participants from a range of 'sources and perspectives' e.g., various interest		• Multiplicity of interests from various interest groups present and/or represented • Limited number of relevant groups present and/or represented.

	Criteria	Literature Sources for Question Development	Indicators
	categories, a selection of interest categories or a single interest category?		
Communication			
Questions Derived	To what extent do people *converse*?	(Edwards et al., 2008; Mannarini & Talò, 2013; Stromer-Galley, 2007)	• People ask for clarity, evidence, challenge others, offer reasoning for positions / statements, link to other contributions
Questions Derived	How do participants describe their role in discussion forums?	(Margerum, 2011)	• Participants believe their role is to provide information, listen or observe indicating one-way communication • Participants believe their role to engage in discussion, idea creation, solution development and so forth. • Participants are clear on their remit e.g., authorised to share data, enter agreements and so forth.
Questions Derived	To what extent is there a balance of contributions from participants?	(Edwards et al., 2008; Gastil, 2006; Margerum, 2011, p. 93; Stromer-Galley, 2007; Webler, 1995)	• Discussion facilitators encourage contributions • Participants equally involved in contributing • DT conscious of group membership in roundtable discussions
Transparency			
Questions Derived	How and what contributions are recorded during discussion forums?	(Bishop, 2015, p. 144; Brown & Chin, 2013, p. 565)	• Contributions are visibly recorded e.g., flipcharts • Out of scope issues are recorded • Summary of discussion forum and findings widely shared • Summaries made available to non-participants
Questions Derived	How and what information is publicly shared?	(Blackstock et al., 2007, p. 734; Lennertz & Lutzenhiser, 2017; Rowe & Frewer, 2000)	• Information on the charrette process is shared • A clear communication strategy in the interim phase of output production • A charrette output is made available within a reasonable timescale • Output is accessible e.g., digitally, paper copies, language appropriate for audience (jargon-free)

Criteria	Literature Sources for Question Development	Indicators
Does the CMP project use procedures to validate output(s) e.g., appoint an independent validator, Steering Group and/or stakeholder review?	(Bishop, 2015, p. 162; Lennertz & Lutzenhiser, 2017, 3.1)	• Output ratified by external agency / independent auditor and/or Steering or Working Group

Table 63: Process Criteria List with Sources and Indicators

	Criteria	Literature Sources for Question Development	Indicators
Output Endorsement			
Questions Derived	To what extent could the output(s) be considered 'high quality'?	(Blackstock et al., 2007; Bond & Thompson-Fawcett, 2007; Brown & Chin, 2013; Innes & Booher, 1999b; Margerum, 2011, Ch. 5; Wates & Knevitt, 2013)	• Common, shared goals are identified among key delivery partners • Participants agree a well-rounded, robust output is published • Evident enthusiasm amongst participants and/or key delivery partners for output / proposals
	To what extent are clear, workable goals with supporting intermediary objectives defined?		• There is a reliable, usable evidentiary base of information and/or research • Responsibilities have been assigned; agreement secured • Memorandums, informal contracts, agreements reached • Adequate explanation of process leading to output proposals
	To what extent are decision-making processes communicated in output(s)? e.g., how input was used, discounted alternatives, records of contributing participants	(Blackstock et al., 2007; Brown & Chin, 2013; Laurian & Shaw, 2009)	• Output records process development • Discounted alternatives justified
	To what extent are contents a reflection of participant input?		• Decisions and/or proposals are perceived to be drawn from participation process
Emerging Arrangements			
Question	What collective changes are observed that can be associated with the charrette?	See Chapter Eight's distillation of 'Social, Political' goals; see Chapter	

Criteria		Literature Sources for Question Development	Indicators
	What impacts do CT, DT and Participants cite / discuss post-charrette?	Five's preliminary tool, 'Stage Four: Outcomes'	• New individual / collective behaviours observed • New or strengthened relationships • Memorandums, informal contracts, agreements reached • New agencies, partnerships / collaborations
Participant Gain			
Questions Derived	What benefits do CT, DT and Participants report post-involvement?	(Innes & Booher, 1999b, see First, Second & Third Order Effects ; Margerum, 2011; see Process, Substantive goals in Chapter Eight; Scottish Government & SCDC, 2016)	• Skill development, training or education attainment • Agency increases their responsibility; level of involvement; access to resources • Increased understanding of issues and/or others' perspective • Change in perspective • Creative, novel ideas • Output produced joint gains • Participants improve skills and/or confidence to take part in future participatory processes

Table 64: Outcome Criteria List with Sources and Indicators

9.6 Step 5: Analyse and Share

This is where Chapter Two's exploration into programme and policy evaluation comes back into greater focus. Its influence is hopefully evident in the above diagrams presented alongside criteria. Inferring causality in complex systems requires non-counterfactual approaches that go beyond determining whether or not an association exists. Departing from methods-driven evaluation, theory-based evaluation -in its different practice forms- has long gained traction to aid development of causal inferences in real-word settings (Befani & Mayne, 2014; Marchal et al., 2012; Rolfe, 2019). In short, the approach requires theorising about 'how a programme is supposed to work and then interrogates it' (Pawson & Tilley, 2004, p. 2). Without understanding the role an intervention has in generating impacts anticipated, it becomes challenging to denote value or worth of an intervention in a given context (Mayne & Stern, 2013).

Inferring causality is complicated, however. Interventions in real-word settings unfold outside a vacuum; therefore, other conditions can hinder or help an intervention realise its anticipated outcomes, and the path tracing interactions leading to outcomes is rarely clearly lit (Ibid., 2013). Theory-derived evaluation offers one approach among 'multiple ways to think about causal relationships' (Gates & Dyson, 2017, p. 31). Dealing with outcome criteria, like Befani and Mayne (2014), I aimed to build reasonable judgements around the charrette's contributory role (or lack of) in *output endorsement*, *emerging arrangements* and *participant gain.* With reference to Chapter Four's studies and outcomes described in Chapter Five, I derived tentative associations or conditioning factors that could lead to a positive or negative finding for process and/or outcome criteria (see diagrams accompanying criteria above).

These tentative associations were framed by the case characterisation tool that encouraged consideration of these three 'areas' (i.e., context, process and objective, output and outcomes) for causal mechanisms. One criticism of the procedures embedded in theories of change, programme and logic models is their linear tendency, which 'do not adequately capture the multiple levels of change' (Gates & Dyson, 2017, p. 42). Therefore, these three 'areas' of the case characterisation tool represent a 'causal package' (Ibid., 2017); rather than a linear logic model. Or as Young

(2008) terms, 'causal clusters' as opposed to 'causal chains'. This is a logical, precedented approach after Hassenforder, Pittock, et al. (2016).

Following Befani and Mayne (2014, p. 21), I looked for 'multiple factors [that] can be responsible for the outcome' i.e. the state of the criterion. As typically coupled (Gates & Dyson, 2017), I used 'contribution analysis' not to definitively prove but present supported causal reasoning leading to inferences about criteria fulfilment and influencing factors (Befani & Mayne, 2014; Gates & Dyson, 2017). More so in the analysis of outcome criteria, I relied on a 'narrative' perspective and a 'participatory' design, as defined by Gates and Dyson (2017). For example, to understand participant gain and emerging arrangements, CT and Participant interviewees validated or refuted the intervention's (i.e., charrette's) personal impact. Using 'participant gain' as an example, I derived indicators suggesting what may evidence 'gain' as defined above (see 9.4.9 Participant Gain and Table 64).

Once prepped for analysis, participant survey, interview and observation data were deductively coded to each criterion. Guided by the diagrams accompanying criteria above, I looked for references to influencing factors. For example, a participant cites a particular activity s/he attended and explains s/he did or did not learn either because of a) breadth of material, perspectives present [+ Process] or b) cites little learning because of low in-the-room diversity [- Process and/or - Context]. When data cited influencing factors that were unanticipated (i.e., not articulated in any of the three 'areas') a separate 'inductive' code was created. Therefore, Chapter Ten presents anticipated as well as unanticipated influencers (see Hassenforder, Barreteau, et al., 2015; Hassenforder, Pittock, et al., 2016 for analysis precedent).

The same analytical approach was relevant to process criteria given 'good' process standards are pursued because of their hypothesised relationship with other criteria. For example, an extensive *outreach and early engagement* strategy is expected to help render a process more *inclusive and representative* of all interested and affected parties. Whilst I explored the extent Brigadoon and Ravenburn were considered *inclusive and representative* and considered pre-charrette's contributing role, each 'process' criterion was analysed to determine what factors (across three possible 'areas') supported or inhibited its procedural implementation. That is, asking what factors supported or inhibited the charrette in delivering:

a. an agreed process
b. an independent process
c. an extensive outreach and early engagement pre-charrette programme,
d. an inclusive and representative process,
e. a communicative, open dialogue
f. a perceivably transparent process

Finally, sharing findings concludes the Five Phase Sequence. Readers can find results in the following chapter. This sample of two charrette cases (of intensive, in-depth PE evaluation) is not substantial enough to derive working hypotheses regarding what factors or conditions are likely to produce in terms of outcomes. However, qualitative case comparison, as mentioned in Chapter Three, can eventually build -with a large enough sample- causal 'constellations' or 'recipes' describing 'conditions [that] are key in producing certain outcomes' (Gates & Dyson, 2017, p. 41). Therefore, Chapter Ten findings contribute to similarly styled PE evaluations and mark the first step in building a body of learning around what participatory approaches work well, less well and why in the Scottish context.

Chapter Nine Conclusion

Chapter Nine marks my contribution to advancing current practices of PE evaluation in Scotland. A deficit is apparent as M&E practices have not been built-in to CMP, AI and MP funding. Pilot Interviewees underscored a lack of knowledge and practice of PE evaluation or more loosely any form of post-intervention follow-up. The latest, and only, concerted effort to evaluate the 'case' in 2019 focussed on ten individual cases (Scottish Government, 2019a). The research was interested in identifying influential factors. The Five Phase Sequence presented here offers a methodology that can be widely adapted to evaluate other PEs and provides a framework from which influential factors can be teased out.

Chapter Ten: In-depth Findings from Ravenburn and Brigadoon

Chapter Ten continues the fifth step in the Five Phase Sequence by sharing findings from Ravenburn and Brigadoon. Drawn from Document, Survey, Interview, Observation and follow-up communications, I first discuss procedural qualities against six 'process' criteria before exploring three 'outcome' criteria. Each criterion discussion is split into an 'introduction', 'findings' and 'inhibiting and supporting factors' section.

10.1 Introduction: Agreed Process

PEs should not be designed in isolation. To encourage wider buy-in, support deliverables, heighten perceived independence and mitigate project overlap, a collaborative approach to project design is recommended (see Chapter Nine). Guided by 'Agreed Process' indicators and questions presented in Table 63 (see Chapter Nine), I first discuss to what extent charrettes were agreed beyond the primary CT. Then, I turn to supportive and inhibiting influencers by asking:

- What contextual factors could hinder or support an agreed process?
- What other process factors could hinder or support an agreed process?
- What objective, output or outcome factors could hinder or support an agreed process?

For a visual reminder, Figure 56 exemplifies Step Three to Five of the Five Phase Sequence.

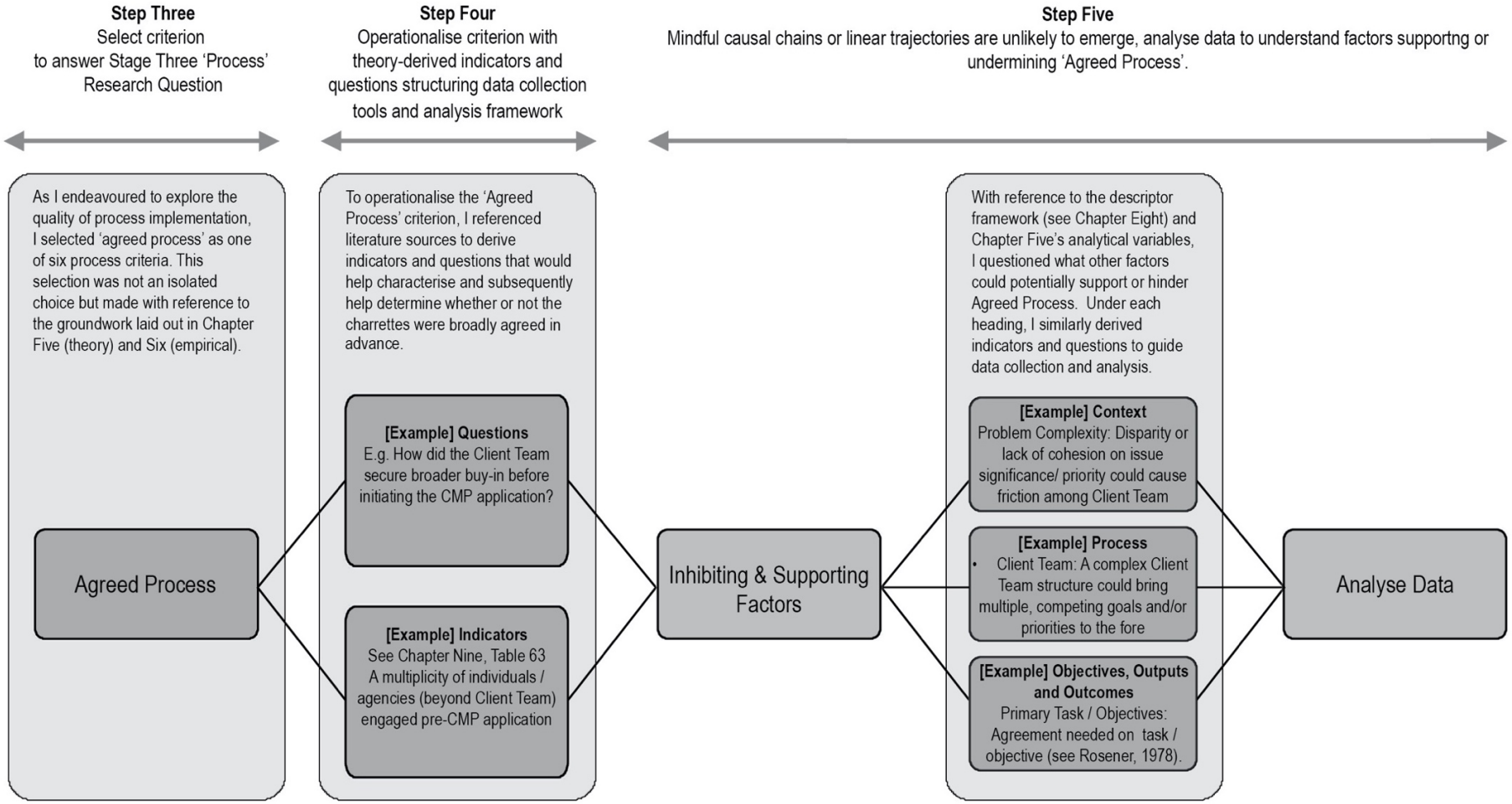

Figure 56: Visual summary of analysing 'Agreed Process' criterion

10.1.1. Findings

Both CMP projects are characterised as 'Joint Application with Community' given each received financial and practical support from a local council department. However, the 'Community' counterpart in both charrettes argued the project was primarily *community-led* (see Chapter Nine 'Context' descriptor).

Approximately three years prior to the Ravenburn charrette, an NDPB funded a feasibility study to identify suitable communities for Econoon's CC programme. Thorness and Ravenburn were selected and CMP awards -to support the CC programme- were successful. Albeit charrettes were used at very different stages of CC development. Econoon had established and worked with a CC group in Thorness for over a year before their charrette commission. Econoon and Auchternairn Council expressed some reservation regarding Ravenburn's timing: it was arguably a less organic process. On reflection, Econoon is now 'more convinced that fully establishing the [CC group] first is the way to go' (Econoon Representative, 2017).

Therefore, Ravenburn was steered by Econoon in partnership with Auchternairn Council. However, they collectively mustered support for the CMP application from members of the 'embryonic independent Community Group' since summer 2016 (CMP Application, 2016-2017). Ravenburn's charrette application described anecdotal support from several agencies willing to back a community-led charrette as well as the CC programme:

> The funding deadline was around the end of August 2016. There was nothing on the ground in Ravenburn. So, what I did was, I basically phoned, knocked-on-doors, visited community organisations and said, 'look, there's an opportunity for funding, let's get together'. Mx J Doe done a bit of that as well; I think we managed to get about twenty interested parties, and they came along. (Auchternairn Council Officer A, 2017)

> Because I am part of The Civic Rooms we got information about the charrette and the idea of it. I went to early meetings in the Hall held by Mx J Doe from Econoon in which s/he put forward the option of having a charrette and whether there was an interest for it. (Ravenburn Participant B, 2017)

On receipt of their award notification, Ravenburn's CT used Auchternairn Council's procurement processes to appoint an external DT. Econoon, a key Council Officer and members of the budding CC group tendered and interviewed prospective DTs. Therefore, Ravenburn's charrette recruited broader interests in deciding a) whether a CMP project was

appropriate, and b) who should independently facilitate charrette delivery. However, Ravenburn Participant B suggested the PE could have been designed more closely with some of the local groups post DT selection:

> DT A, who brought their own artists in, did their own thing, did some work with the schools, which again could have had more value because we are in contact with loads of great artists, who are local, so maybe there could have been a bit more involvement in the delivery of it. (Ravenburn Participant B, 2017)

Despite this observation, the charrette's less organic development and an external agency (i.e., Econoon) at the helm, the charrette was tethered to tentative community support. However, subtle tensions among CT agencies were evident. Representatives from Econoon and Auchternairn Council described an unequal partnership; although, from a DT perspective it was seemingly amicable with an implicit understanding of roles:

> There was a good balance to be struck. There was never a point where one overruled the other. I think it was always known Econoon were lead client and it was assisted by [the council]. It was never explicitly said, it never had to be. (Ravenburn DT Member A, 2017)

A key council contact discussed output development, commenting: 'what I would have done had I been in charge'. The language implies their position, as Econoon admitted (see Chapter Nine's Step One), was an ancillary one. Although involved in interviewing DTs, the key council contact described his/her role as limited to notetaking. Additionally, their requested feedback on output development was perceivably discounted and citizens seemed unaware of Auchternairn Council's buy-in and attendance:

> I attended to see if the council cares and this was not clear. People were very disappointed. (Ravenburn Survey Respondent 29, 2017)

> This was another thing that happened, it wasn't until I did a presentation one day at the Civic Rooms this person, who regularly attended the charrette, stood up at the Q&A session to say, 'I actually didn't know this was your job' <laughter> I think this person thought I was the tea person, part of the catering staff, as I would often help those setting up at the charrette. Anyway, I was doing that presentation to talk about the charrette. (Auchternairn Council Officer A, 2017)

The most obvious discrepancy between CT agencies, lay in unsynchronised project timelines. Econoon independently hosted another community consultation in early Autumn 2017 to prioritise projects identified in charrette outputs. Observation data recorded an Auchternairn

Council absence at this event[54]. Despite 'lead agency' (sometimes the only lead agency) status for twenty-three and a delivery partner for twenty-five of fifty-nine output projects, the relevant Auchternairn Council departments had not fully endorsed proposals being ranked publicly. Given local authorities are publicly accountable, the response from some officers was ostensibly not 'very positive', in part, because output proposals did not align with local policy (Auchternairn Council Officer A, 2017); therefore, incorporable:

> We now have a situation where community people have seen it, read it, discussed it, voted on it, and the people who are ultimately going to be responsible for getting involved in much of this have not seen it because it's not been ratified. (Auchternairn Council Officer A, 2017)

As one agency publicly steamed ahead maintaining momentum post-charrette with 'their own agenda and timeframe', the other CT agency was 'crawling along' (Auchternairn Council Officer A, 2017). The pertinent concern was Auchternairn Council (already locally unpopular) could be regarded as backtracking post-charrette as participants ask, 'what's happening on that front?' So, it has a detrimental effect on relations' (Auchternairn Council Officer A, 2017).

In Brigadoon, Shoregrove and Elkfall Council comprised the CT and no other agencies were recruited into a Steering or Working Group. The initial meeting in Brigadoon reportedly included Shoregrove Chair and Secretary, a key Elkfall Council contact and one other community representative. The DT described their typical preparatory process:

> Through various discussions we then have with the key players (we get contacts for the key players from the council or community) and we start to speak to people not only about what they'd like to see in their area, but also about the format of the potential charrette. (Brigadoon DT Lead, 2017)

This excerpt suggests the DT usually seek to satisfy criterion 'Seek input from participants in how they participate' (Brown & Chin, 2013, p. 565) leading to a more widely agreed process. However, Figure 57 illustrates a more tightly knit 'three-way partnership' between Shoregrove, Elkfall Council and the appointed DT (Shoregrove Secretary, 2017). The DT were involved earlier than DTs appointed through competitive tendering as they worked with Shoregrove on the 'project summary to the Scottish Government' (Brigadoon DT Lead, 2017). Despite contacting one other potential contractor, Shoregrove accepted Elkfall Council's DT recommendation following a meeting 'late on in the process' (Shoregrove Secretary, 2017).

[54] At least an absence of the key Auchternairn Council members that had been working as part of the CT.

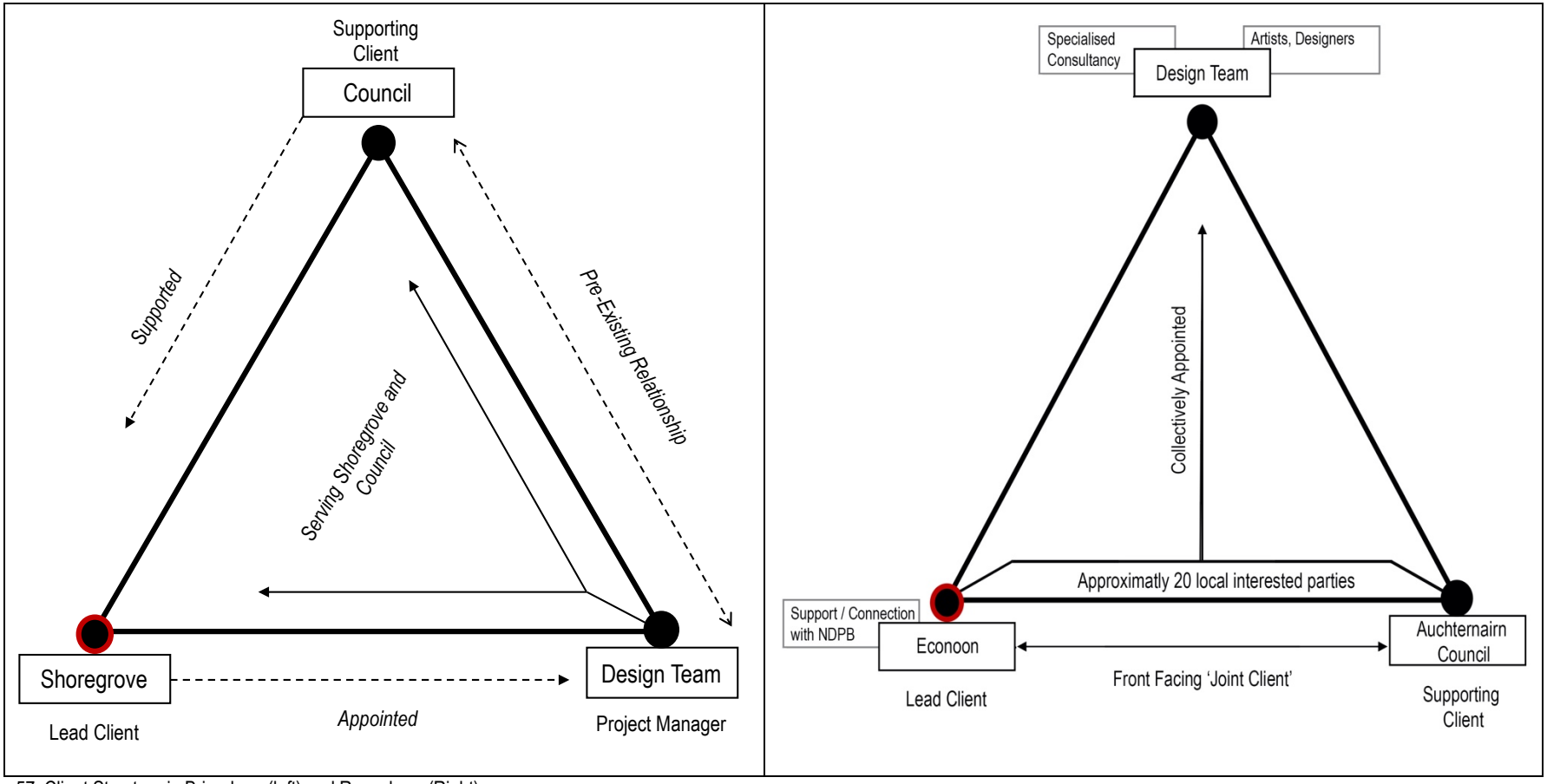

Figure 57: Client Structure in Brigadoon (left) and Ravenburn (Right)

Elkfall Council and the DT had a pre-existing relationship having previously worked together on a separate charrette-style project. Elkfall Council had also appointed the same DT to deliver their council-led CMP project that shortly followed Brigadoon, which came as a surprise to Shoregrove's Secretary: 'They're already doing one in Tignahulish even'. This closeness between Elkfall Council and the DT is not insignificant. Identifying key contacts on either side of a joint client structure is required to ensure 'you can call up and make decisions and move forward' (Brigadoon DT Lead, 2017). However, data shows not all decisions involved all parties. Elkfall Council's ostensibly *subsidiary* position within this partnership seems -at times- to have usurped Shoregrove's *lead* role. As the project edged toward a more participatory, inclusive format, Elkfall Council and the DT reportedly tightened their grip. One observation helps unpack some of the subtle power permutations.

Shoregrove identified local churches as a key stakeholder group to engage, which created a dedicated post for one DT Volunteer during 10.4 Outreach and Early Engagement. Observing a proactive and an impressive level of agency among the faith groups to not only participate but serve, host and promote the CMP project, the DT Volunteer was able to organise an ecumenical service at the churches' collective invitation. In preparation, the DT Volunteer requested funds (from the DT lead) and subsequently prepared a promotional flyer to distribute among congregation members.

Document data shows the leaflet included practical information (for example, location, times, anticipated outputs and so forth) and official branding used in other promotional material. However, it had also been tailored to its audience and included logos of the collaborating churches, described the churches' role in supporting a community-led endeavour and included a scripture verse. Providing practical project support, Elkfall Council had printed other CMP-related material; however, on receipt of this flyer the local authority reportedly made revisions in discussion with the DT only. Ostensibly, there was a concern the flyer would be more broadly distributed, and an overt church affiliation could deter rather than encourage involvement. Document data shows revision kept official branding; replaced church logos with those of Scottish Government, Elkfall Council, the DT and Shoregrove; omitted the scripture verse; and retained information on place and time of the ecumenical service. Yet, an overt association with governmental institutions could equally deter:

> I'm not sure there was much self-awareness is that Elkfall Council itself doesn't often have a very good reputation with those marginalised people. So, if you want to connect them then actually a lot of the ones I met trust the local churches, and it's not perfect I'm definitely not saying local churches are perfect, but also they may be put-off by having Elkfall Council's logo on it. (DT Volunteer A, 2017)

DT Volunteer A observed the revision that had not been shared with Shoregrove, removed any traces of collaboration and reduced the churches' contribution -built over an extended period of 10.4 Outreach and Early Engagement- to nothing greater than a place and time:

> I think there is a huge amount of learning. What I observed was the revised flyer took-out 'agency'. So, it instrumentalised the contribution of the church, into 'this is a building of where this was happening'. (DT Volunteer A, 2017)

At the time of interview, Shoregrove's Secretary was ambivalent about the incident and did not consider their council counterpart to have a stake in decision-making: 'Jan made a flyer just for that church service, so I don't think the council would have any say on that' (Shoregrove Secretary, 2017). When consulted, Shoregrove strengthened wording on the original flyer to underscore the churches' 'integral' role in the charrette. With DT Lead support, these flyers were subsequently produced independently and distributed among the target audience. Discernibly, this instance shows as the CMP project began to receive wider endorsement and buy-in from a broader set of stakeholders -from a community sector Shoregrove specifically identified- Elkfall Council (in their ancillary role) attempted to exert control when their role was arguably more passive i.e., to offer a printing service

Sticking with 'Agreed Process', I found council officers expressing a preference for earlier involvement. Elkfall Council Officer Participant C[55] appeared irked the process had not been more broadly shared with the Community Learning and Development department, given the charrette's 'connection' and his/her 'professional council interest' (Elkfall Council Officer Participant C, 2017). Without participating early, Elkfall Council Officer C suggested output support may be undermined:

> I had no say in the methods used, no say in who would be involved, no say in what would happen with that information shared on Friday [i.e., final presentation day]. Being honest about it, that's when it would have helped. What you can't do is set something up and say, 'we found all this information out about Brigadoon, can you make this happen?'… So maybe I felt a bit sensitive about it… I see the link and

[55] As discussed in Chapter Three (see Figure 7), the 'participant' interviewee group comprised many council officers as opposed to Brigadoon citizens not associated with either CT Agencies. Hence, they are often dubbed Council Officer Participant.

> involvement but then I've not been a participant in it. (Elkfall Council Officer Participant C, 2017)

Lastly, observation and interview data underscored discrepancies among charrette participants' objectives, priorities and definition of terms. Council Officer Participants attended partly because their professional remit overlapped in terms of geography and current workstreams. Elkfall Council Officer Participant D imagined their role in workshops to include answering questions on physical design proposals that fell within the project's boundary given these had not yet passed through a consultative process. However, for others, these design proposals played an insignificant role (see below). Often recognising limited resources, Council Officer Participants -like Shoregrove- were looking for help with *their* professional priorities:

> I felt I was a plug-in at the bottom, waving his/her council flag saying, 'I need some help as well please, can you maybe help me out, I've got run-down streets, please help'. And that's how I felt it was going. Not at any point was anybody saying, 'let's have a look around'. Even on the walkabout Charlie just kept- when we got back to the top of the landing and I could see the council streets Charlie went, 'we'll just go right' and I said, 'no, no, we'll just go left' and s/he's like, 'no, this way'. (Elkfall Council Officer Participant E, 2017)

> The charrette was beneficial because that project had been discussed but hadn't been consulted on yet. So, I thought the good thing was as the charrette came along it would either enforce some of the suggested things or people might say we'd rather not have that. So, it was beneficial for me, Shoregrove and Pat Grint to see people were being asked to discuss [Area A and B]. (Elkfall Council Officer Participant D, 2017)

> So that was work Shoregrove had done before. Shoregrove said to Elkfall Council, 'we'd like something done with our beach'. They responded saying they'll get our landscape and design guy to come up with plans. At our initial charrette meeting we had Shoregrove saying… 'Just so you know this has been done'. I said, 'ok, that's fine, what we'll do is pin them up during the charrette because they might want to run with them but it's important that we start with a blank sheet'. In reality, what happened people didn't really pay too much attention to them… To be honest, it's not really featured in the final stuff at all. (DT Lead, 2017)

So too did participants disagree on defining the town centre; an issue that plagued an earlier site visit. Shoregrove were described by several interviewees to have a tightly bound geography and inflexible agenda. As Elkfall Council Officer Participants considered *their* priorities, tensions were clear:

> Pat Grint had said to me, here's the rough remit but come along to the meetings and see what you think. I don't think anything is totally written in stone, but I think

> from Charlie's point of view it kind of was written in stone. (Elkfall Council Officer Participant E, 2017)
>
> Yes. There're different sections of Brigadoon and yes, the area they were looking at is the worst of Brigadoon, but the beach area isn't. (Elkfall Council Officer Participant F, 2017)
>
> The town centre, Charlie thought was just one street and I totally disagreed with that. The two housing officers that live in Brigadoon totally disagreed with that. So again, it's one of those things- for example, in Castlegrave we have an area called Worshipmill. If you got ten people from Worshipmill and asked each to name ten streets in Worshipmill you'd get ten different answers. (Elkfall Council Officer Participant E, 2017)
>
> It's hard because Shoregrove has their idea, but from the housing side their objectives wouldn't meet what we need in Brigadoon. So, we need to reign them back a little bit. (Elkfall Council Officer Participant F, 2017)

The discrepancy among interviewees indicated the process was not widely agreed. Without co-creating priorities, objectives and clarifying definitions at the outset, participants were inclined to more fiercely protect their interests or the interests they were representing. With reference to Bishop (2015), Brigadoon participants appear not to have moved beyond *positions* to a more progressive discussion from a posture of *needs*:

> I get on well, personally, with Charlie. But s/he does have his/her agenda and he/she was sticking fairly clearly to that agenda. I can understand that. But I was sticking to my agenda quite clearly as well. (Elkfall Council Officer Participant E, 2017)

10.1.2. Inhibiting and Supporting Factors

I conclude Brigadoon's charrette to have been agreed primarily amongst its instigators: the DT, Shoregrove's Secretary and Chair, and key Elkfall Council Officers from the department providing financial support. Ravenburn established a wider base of interest via a budding CC group and included stakeholders in DT procurement. However, like Brigadoon, the joint CT structure was not without its challenges.

Table 65 summarises factors that were considered to potentially play an inhibiting and/or supporting role in achieving an Agreed Process. Those marked with an * in the below table were not recorded in Chapter Nine and signal a factor unanticipated; the others, more directly or by extension fall under one of the pre-empted categories. Each factor is italicised in the below discussion.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Governance Levels	--
	• Problem Complexity	--
	--	• Pre-Existing Relations*
Process	• CT	--
	• Steering Group	• Steering Group
	--	• DT/ CT Inexperience*
Objectives, Outputs and Outcomes	• Primary Task / Objective	• Match Funding and/or Artificial Partnerships
	• Participation Goals	
	--	• Uncollaborative Attitudes*
	--	• Competing theories on Citizen and Stakeholder Participation*

Table 65: Summary of Anticipated and Unanticipated Influencing Factors

First, Ravenburn can be distinguished from Brigadoon with its embryonic CC group that acted as an informal *Steering Group*. Compared to Brigadoon, Ravenburn recruited broader interests early in the process. Second, Brigadoon's DT and Elkfall Council had a *pre-existing relationship* and shared a separate CMP appointment in Tignahulish that almost paralleled Brigadoon's charrette, which may have contributed to blurring project boundaries. Brigadoon's DT Lead cited their good relationship with Elkfall Council when asked what worked particularly well in Brigadoon: 'Having a great council. Elkfall Council are just fantastic to work with when it comes to charrettes, so having a good council as well'. Therefore, the DT and Elkfall Council were comfortable working with each other and had clear lines of communication. Good relations brought internal dynamics and (on one known occasion) compromised the DT's responsibility to defer to the lead client, Shoregrove, rather than Elkfall Council.

Compounding this, Shoregrove admitted their 'knowledge of charrettes was very limited' and 'we haven't really done this before' (Shoregrove Secretary, 2017), which influenced their choice to follow Elkfall Council's DT recommendation. *CT inexperience* and a general reliance on Elkfall Council to guide the way, may have implicitly set the tone affirming Elkfall Council's role closer to lead than subsidiary. Further, it was not only Shoregrove navigating new terrain. The DT was experienced; however, *inexperienced* in a new approach to engaging directly the faith community. Suspecting inexperience and a busy workload, DT Volunteer A was permitted to liaise with Shoregrove and resolve the flyer issue directly. The DT Volunteer underscored his/her admiration for the DT's openness and bravery in trialling this new approach, which was repeated in Tignahulish.

Fourth, the Scottish Government's match-funding requirement and prerequisite for council support heavily encourages collaborative PE design. This is to instil partnership working (i.e., achieve an Agreed Process, see Chapter Eight section 8.2.5 Community Relations). However, as Professor Sanoff warns, there is a necessary training component to participatory approaches (see Chapter Five). In Ravenburn and Brigadoon, partnerships appear to be born from necessity rather than a genuine commitment to collaborative styles of working.

For example, Shoregrove required demonstratable council support in their CMP application and Elkfall Council, in exchange, received a fully bespoke participatory project for £4,000 (see Chapter Eight section 9.2.3 Brigadoon Objectives, Outputs and Outputs). Likewise, Econoon regarded Auchternairn Council as a last-resort funding source (see Chapter Eight section 9.2.5 Ravenburn Process). Interview data suggests the extent to which shared, agreed charrette goals or 'process objectives' were derived was limited (Bishop, 2015, p 64). Agencies may have collaborated to primarily serve individual or 'content objectives' (Bishop, 2015, p 64). Within what appears to be an *artificial partnership*, individualism reinforced by a lack of shared objectives may explain why Elkfall Council applied the brakes on flyer design, whilst Shoregrove pursued the matter independently. Interviewees spoke narrowly of their requirements, rather than holistic goals.

Fifth, Shoregrove initiated a CMP project partly to connect with other groups and find possible delivery partners; their intention was not to lead in the aftermath. Charrette outputs were not to constitute 'Shoregrove's plan' but a community-wide tool with collective ownership. Anyone could, and should, use it:

> But you have just raised there in that statement, which is, who are going to be the other actors?... But, even here, it worries me that Lou has given much ownership to Shoregrove in it. And so, we don't want to be stuck with, 'oh, this is your deal'. (Shoregrove Chair, 2017)

> I do remember one particular moment toward the end of one of the workshops where one of the [DT Members] started to talk a bit off-the-cuff about how things might eventually work themselves out. In one moment, s/he essentially said the best people to take that forward (and I think what s/he trying to do was honour the local people)… the right people to take that forward were community groups like Shoregrove. Almost placing the entire burden for taking things forward on Charlie. I glanced at Charlie and I could tell from his/her facial response that this wasn't what s/he had in mind. (DT Volunteer A, 2017)

However, implicit -almost invisible to those purporting a participatory ethos- *uncollaborative attitudes* seem to have undermined developing a genuinely participatory, dialogic space. For

example, one Elkfall Council Officer Participant recounts futile attempts to converse with a key Shoregrove member:

> I expected him/her [i.e., DT Member] to get it. But when I had the same conversation with Charlie s/he actually physically and mentally drifted off. S/he actually started physically moving away from me and I felt myself walking round the room with him/her, which was quite comical for the first five steps. Then I thought, what am I doing? So, I stopped and said, 'ok, ok, it's clear we're going to agree to disagree'. (Elkfall Council Officer Participant E, 2017)

A perhaps involuntary reluctance to deviate from self-interest sabotages the fundamental motivation for initiating the PE, which was to strengthen connections and identify delivery partners. Shoregrove had a practical agenda too: ensure the output met funding eligibility criteria. Apprehension was evident as Shoregrove's Chair and Secretary needed the output to serve their interests: 'We want to make sure some things that may not have come up there [i.e., in the charrette] will be covered' (Shoregrove Chair, 2017). Without opening-up the CMP project, participants are invited into a tightly bounded space with the parameters quite firmly set by project initiators. Rather than redefining problem classifications or the town centre geography collectively, charrette instigators endeavour to help outsiders 'see' through their lens in an effort to protect their priorities. In doing so, reciprocal appreciation and understanding is stifled. A DT Volunteer questioned on whose terms was participation set and whether positions stalled individuals from reaching a level of participation allegedly sought:

> Do people who are starting this, do they think they want to collaborate? But actually because of their own ideas are stopping short of collaboration? I'm not sure. (Brigadoon DT Volunteer B, 2017)

Finally, I observed different interpretations of citizen involvement unfolding within the same space. The active players in Brigadoon include national and local government, Shoregrove and the DT. The DT is financially supported by the Scottish Government as they help communities engage in planning issues, and -as established- have good working relations with Elkfall Council. In this charrette, Elkfall Council asserted their decision-making power as soon as the scales tipped a little more in favour of a participatory, deliberative rationality; other Elkfall Council Officers described working together underpinned by consensus, permission and reigning in Shoregrove; the DT are principally founded on a collaborative, 'work for the good of the whole' ethos (DT Lead, 2017); and whilst Shoregrove work with their council they simultaneously maintain an 'ask for forgiveness, not permission' mentality through direct

action. Therefore, *different internalisations of citizen participation* are drafted in to the same space (Silver et al., 2010; Van Wymeersch et al., 2019):

> The highlight [i.e., site visit] was walking up the big sea hill. Charlie was showing us all the tress s/he's planted. I asked if s/he had permission from the estate, to which s/he smiled and said 'let's move on swiftly...' I thought, 'you've planted a hundred trees, they're everywhere?!' (Elkfall Council Officer Participant E, 2017)

> Because last time we went with a big proposal to plant a hundred large trees and s/he said 'oh, create a lot of leaves trees' and we went, 'really?' S/he said, 'why don't you do these shrub beds instead?', and we did, we implemented. We raised £15k, not from them! From other sources and we planted a lot of shrub beds. S/he sent one grudging email saying, 'we're very delighted with this improvement'. The next email we got from him/her was, 'can you remove that tree you planted in the middle of the park? It creates a lot of leaves' [Us]: Really?' (Shoregrove Chair, 2017)

> That's an issue because he keeps planting trees, just everywhere, and he's not *consulting* in advance, and for us trees are a big problem. (Elkfall Council Officer Participant E, 2017, emphasis added)

In Ravenburn too, Auchternairn Council struggled to maintain Econoon's pace in approving outputs. The council, as a representative and accountable public body, cannot pursue projects without clear justification. Whereas the DT and Econoon ostensibly upheld emergent themes found in the PE exclaiming 'that's what the community have said, it was their get out of jail free card as far as I can see' (Auchternairn Council Officer A, 2017). Again, different internalisations of citizen participation unpack through representative versus participatory democracy:

> It's our firm belief that you shouldn't be parachuting people like me into a place. It should be locally driven. (Econoon Representative, 2017)

> We can only work to that plan because we're held accountable. If someone who lived in Ravenburn said to us I'm doing a Freedom of Information request to find out why are you doing that work at Civic Hall we can say, 'look, this was done because of this work, this research'… We need to have a justification and some of these projects don't. (Auchternairn Council Officer A, 2017)

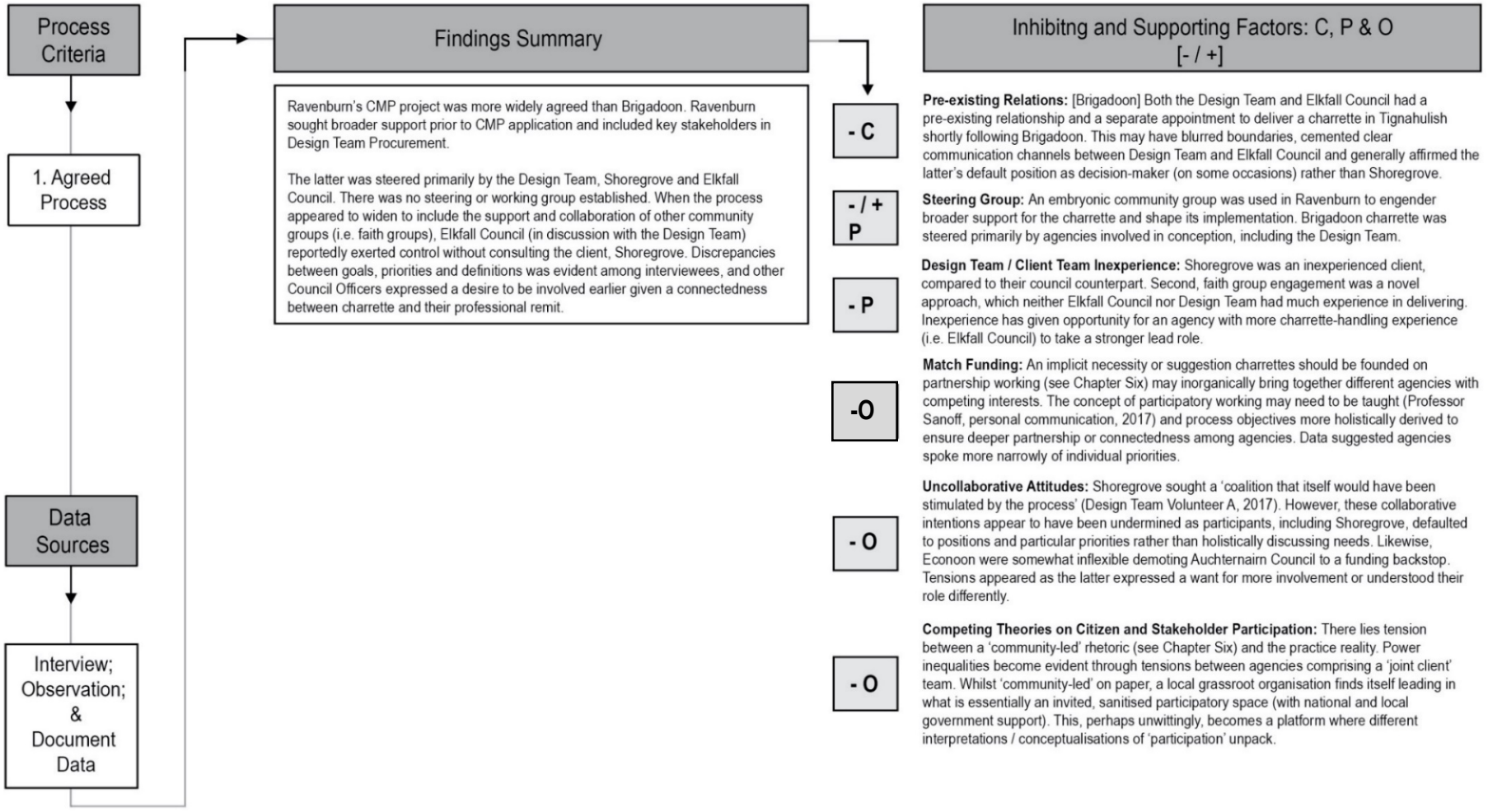

Figure 58: Agreed Process Summary

10.2 Introduction: Process Independence

PEs should be demonstrably unbiased i.e., not serve any particular interest and use measures to mitigate implicit bias (see Chapter Nine). Guided by 'Process Independence' indicators and questions presented in Table 63 (see Chapter Nine), I first discuss to what extent charrettes were demonstrably independent. Then, I turn to supportive and inhibiting influencers by asking:

- What contextual factors could hinder or support process independence?
- What other process factors could hinder or support process independence?
- What objective, output or outcome factors could hinder or support process independence?

Figure 59 summarises Step Three to Five and provides examples (only) of the theorised factors (see diagrams in Chapter Nine).

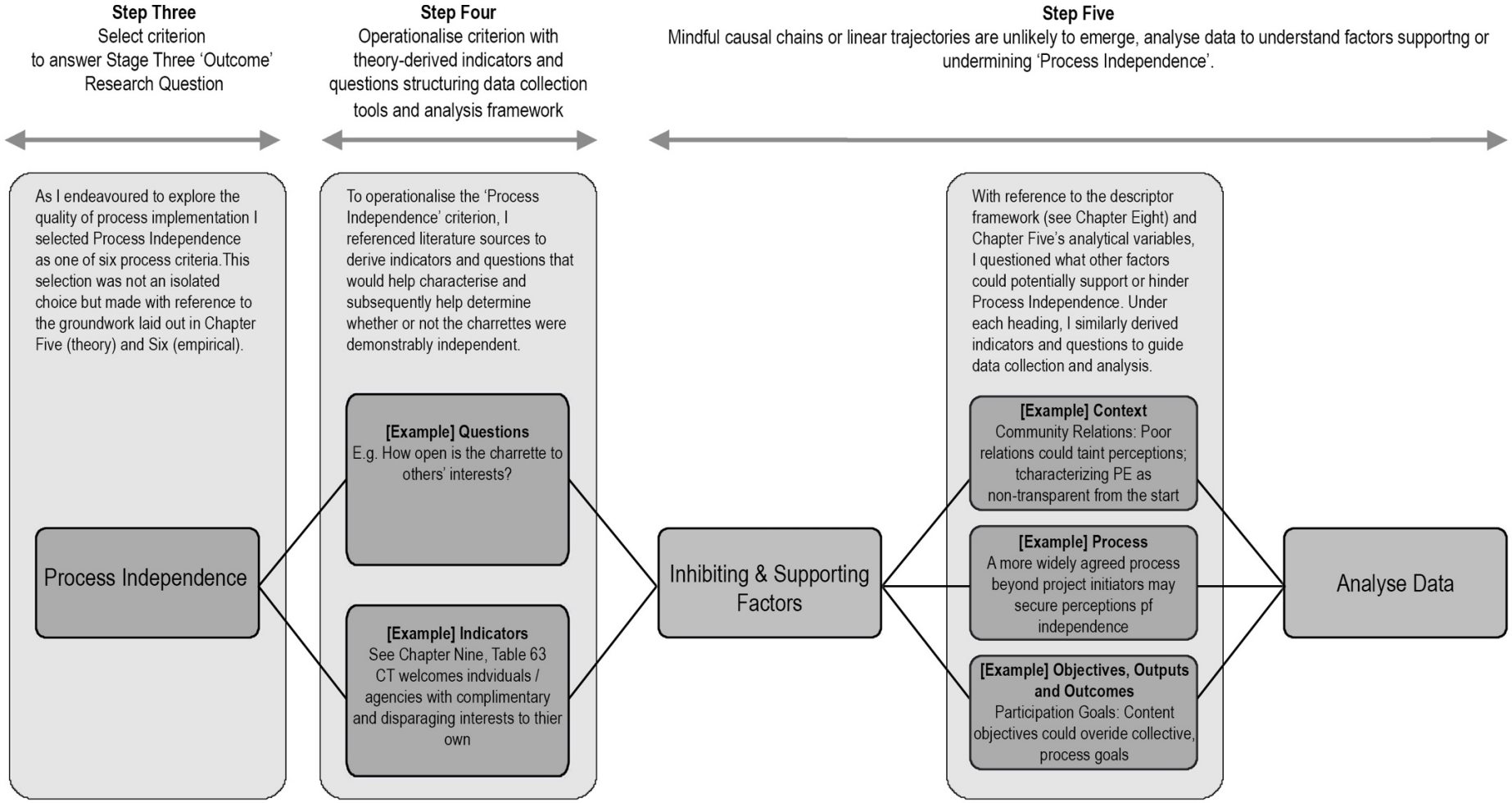

Figure 59: Visual summary of analysing 'Process Independence' criterion

10.2.1. Findings

Bishop (2015) recommends following steps in Agreed Process to heighten Process Independence. Brigadoon's PE was not widely agreed in advance, therefore, anticipated to potentially fall short on Process Independence. Whilst both charrettes appointed an external DT to design, manage and deliver the PE, Brigadoon's was less 'external' given pre-existing relations and a non-competitive procurement process. Their neutrality was questioned above as Elkfall Council initially went unchallenged, even supported by the DT, in a decision to independently revise flyers. However, findings show the DT was very positively regarded in Brigadoon as neutral, professional and friendly. Therefore, the DT successfully minimised any *perception of bias* and found favour among Shoregrove and Elkfall Council Officer Participants:

> I think [the DT] were in the best position to be objective, since you're not tainted with any preconceptions. You can take information at face value as it's given and considered. (Elkfall Council Officer Participant C, 2017)
>
> And the fact it's someone independent doing it as well. (Elkfall Council Officer Participant F, 2017)
>
> The feedback I got back from the last one I was at [i.e., charrette session], was that it was very professionally done and that was from the likes of Kit who can be very critical. (Shoregrove Chair, 2017).
>
> If it was out of ten, I would say ten or eleven. It was very very professional, serious, laid-back and community oriented. Some knowledge of the approach. Methodological as well. Also, relaxed. Very professional but it didn't overpower. (Elkfall Council Officer Participant A, 2017)

Through observation, document and interview data I found Shoregrove to play a heavy hand during interactive sessions and output development. First, observation data recorded facilitator good practice (as defined by Margerum (2011)) during some workshop sessions. Experienced DT Members typically led roundtable discussions with less experienced DT Volunteers recording comments. Active listening, paraphrasing, keeping track and liaising with the volunteer notetaker led to well-managed conversations by *experienced* DT Members. However, observation and interview data recorded occasions key Shoregrove members assumed facilitator and notetaker roles, which allowed them to selectively record input and include personal contributions.

Whilst group facilitation was purposefully used (and supervised) in Ravenburn because it was thought to stir ownership of emerging input, it appeared less orchestrated in Brigadoon. Whilst one workshop participant highly commended Shoregrove, s/he also commented they represent one community group with an agenda. Elkfall Council Officer Participant F claimed the project was Shoregrove's 'baby' and there was an overrepresentation of their contributions, and suggested it was challenging to be heard:

> In the evening meetings there was myself, Cal, Toni (from Shoregrove), a woman from the Sports Club and one of the urban designers who sat by us, which I thought was perfect, because I managed to get a lot in. Again, we had to push because they weren't wanting to take housing into account. They wanted it for themselves and it felt like that the whole way through. (Elkfall Council Officer Participant E, 2017)

> So many of their objectives were getting put up. Cal and I were there for the council perspective. There wasn't anyone, other than Shoregrove, that was local. Shoregrove are of a certain age bracket, there wasn't anyone there as an independent individual. (Elkfall Council Officer Participant F, 2017)

> But do I think people were led in a certain direction? Possibly. Can I prove it? No. It's just personal opinion. (Elkfall Council Officer Participant C, 2017)

Similarly, during quiet periods of interactive drop-in sessions, observations noted key Shoregrove members leading discussions to develop a 'community vision'. Finally, the clearest indication Shoregrove influenced process and output development can be found in their candid admission to ensure certain proposals made it into outputs. Pre-empting Shoregrove would likely (although preferably not) be 'left with the output', they wanted to have the final say on its edit (Shoregrove Secretary, 2017). Document data shows Shoregrove provided the DT with fairly detailed output revisions, which included additional actions. Their 'editing' in this behind-the-scenes stage 'brought greater focus to the final plans' (Shoregrove Secretary, 2017) but also evidenced CT influence.

Shoregrove intended to vet emerging ideas or 'tone it down a bit and be realistic' (Shoregrove Chair, 2017). The fanciful, blue-sky thinking -that Shoregrove reportedly observed some DT Volunteers encouraging- was perceived as timewasting. Questioning the quality of contributions, from a substantive rationale, Shoregrove's Chair suspected some contributions were unhelpful, given only in response to a felt pressure to contribute: 'people go to these charrettes and think, what will I say here?' (Shoregrove Chair, 2017). However, Shoregrove did not keep output development behind closed doors as they widely shared draft plans for comment but received 'no substantive feedback' (Shoregrove Secretary, 2017).

This 'distortion of participation' or 'overruling the legitimate suggestion' of others was not lost on Shoregrove (Shoregrove Chair, 2017): 'At the same time what we don't want to do, *or be seen to be doing*, is influence it' (Shoregrove Chair, 2017; emphasis added). Recognising this PE likely fell short of 'pure participatory democracy', the CT grappled with an ethical dilemma: without intervening they may struggle to leverage funding with a not-fit-for-purpose output but intervening meant dishonestly tampering with charrette findings.

In Ravenburn, Econoon were confident a competitive, objective, above-board procurement process was used to appoint a well-regarded 'Architectural, Urban Planning Services' firm (supported by sub-consultancies) to design and deliver the PE. The majority of interview and survey feedback was positive about the DT, with only one comment criticising their supposed impartiality: 'The visiting consultants controlled everything, and it felt like a fix' (Ravenburn Survey Respondent 29). Observation data recorded members of Ravenburn's CT present throughout activities (e.g., workshops, drop-in charrette studio and so forth). Unlike Brigadoon, CT members refrained from involvement as either a participant or DT member. Their role was one step removed, typically limited to logistical operations so people could get involved in a supported process:

> So that's why we take that bureaucratic role of managing and booking meetings etc., so it takes that away from people, so they can come along to the meeting, give their opinion and think, 'if something is going to happen I get can contribute but don't need to lead on that'. (Econoon Representative, 2017)

The DT operated sessions with three lead facilitators (and supporting staff) that often independently managed small, roundtable discussions and collectively identified generic themes in whole-group report back closing discussions. Although styled differently (for example, one DT facilitator was keen to appoint a roundtable participant as lead notetaker reporting comments on flipcharts, whilst another DT facilitator adopted this notetaker role) good facilitation traits were similarly observed here as they were in Brigadoon's experienced DT Members. Comments were recorded for all to see and participants engaged in discussion before collectively agreeing what was written. Individual contributions were rarely listed, which was observed in Brigadoon. Interviewees and Survey Respondents also felt discussion and emerging proposals were drawn from participants (also see 10.6 Process Transparency):

> It was very integrative, and everyone seemed to be really interested in what participants had to say. (Ravenburn Survey Respondent 40)

> Very clear, in-depth, had picked up on the main issues and had a strong focus on engaging the community. (Ravenburn Survey Respondent 16)

Lastly, output development was managed differently in Ravenburn. With reference to process format, the DT offered additional feedback sessions following the fourth charrette day to keep participants informed in the interim and ensure emerging proposals adequately reflected input (see Figure 44). Findings suggest CT agencies had little sway in output development[56], and proposal prioritisation (post publication) was deferred to the public. Auchternairn Council suggested their output feedback was largely discounted: 'they basically came back with, don't agree with that, don't agree with that' (Auchternairn Council Officer A, 2017). A plausible interpretation is the DT was honouring their neutral, independent commitment. Equally, this serves as another example evidencing the disconnect between 'joint' CT agencies and a discrepancy in the shared understanding of roles and responsibilities. Whilst possibly enhancing Process Independence, Auchternairn Council's concern was the required departmental buy-in for project development was lacking:

> We read every iteration of the report and gave screeds of feedback at that stage. We thought, has anybody sensed checked this? For instance, let's say one project is about changing local waste collection schedules, which we all know is overdue. That needs to go through the waste and recycling department. (Auchternairn Council Officer A, 2017)

10.2.2. Inhibiting and Supporting Factors

Table 66 summarises possible factors influencing Process Independence. Below, I discuss *participant turnout*, *charrette resources* and *DT inexperience*. Given *steering group*, *agreed process* and *pre-existing relationship* are discussed above, I revisit these factors only briefly.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Governance Levels	--
	• Community Relations	--
Process	• CT Structure	--
	• Steering Group	• Steering Group
	• Agreed Process	• Agreed Process
	• DT (familiarity / associations)	• Pre-Existing Relationship
	--	• DT Inexperience *
	--	• Participant Turnout *
	--	• Charrette Resources*

[56] Econoon's role in output development is not fully understood given draft outputs and revisions were not made available to this study.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Objectives, Outputs and Outcomes	• Participation Goals	--

Table 66: Summary of Anticipated and Unanticipated Influencing Factors. * Signals factors unanticipated

Whilst some interviewees questioned behind-the-scenes discussions (see 10.6.2), the DT's *pre-existing relationship* with Elkfall Council and their government-supported status did not compromise their perceived independence. They were largely favourable with commendations of professionalism. On the other hand, Shoregrove's influence during and post-charrette is hard to refute. Whilst participants observed an imbalance in favour of Shoregrove's interests, they were less than critical; rather, understanding and accepting of their legitimate claim to Brigadoon. Their well-intentioned efforts are seen to better the local community, albeit from their perspective:

> I will obviously be pushing all the bits and pieces that I want just as much as Charlie will be pushing all those trees and flowers down at the beach. Which, you know what, yes, needed. Absolutely needed. (Elkfall Council Officer Participant E, 2017)

> Charlie is a long-time resident with a vested interest in the community. Better that than just coming up with something random. (DT Volunteer A, 2017)

Their influence was partly enabled by a narrow interest-base recruited at CMP conception and throughout delivery i.e., a non-*widely agreed process* and absent *steering group*. This was most evident as some Elkfall Council Officer Participants showed a preference for earlier involvement and little agreement on charrette purpose and problem definition was found. Additionally, Shoregrove's active role was helped by *low turnout.* This created ample opportunity for Shoregrove to get involved in discussions and shape findings. However, what was the alternative? As DT Volunteer A commented, even if a 'Charlie input became a Charlie output', the DT Members 'can only work with what they have'. Arguably, without Shoregrove's contributions the discussions may have stalled altogether.

Ravenburn's activities benefited from a *much greater turnout* outside of DT or CT personnel; however, as discussed in 10.5 Inclusivity and Representativeness, some Ravenburn Survey Respondents dispute variability suggesting many 'usual suspects' attended. Nevertheless, the open forum and workshop discussions attracted a greater number, which meant conversations flowed without the input of CT or DT members:

> I loved the three-day process, I loved that we got loads of people. Some people said to me you might not get anyone coming along. So, I was nervous. A lot of

> blood, sweat and tears went into that. I was on the phone, emailing, cajoling. (Auchternairn Council Officer A, 2017)

Further, I identify a discrepancy among *CMP project resources*. In Ravenburn, the application requested £25,000 to cover 50% of the project costs; in Brigadoon, the application anticipated £20,000 to cover 75% of project costs. Brigadoon had a smaller grant award that was expected to go further. This helps explain an apparent skills-shortage. Despite no shortage of DT Volunteers, I suggest neutrality was compromised because CT members added -to some extent controlled- input during roundtable discussions. Whilst the DT:

> Always tend to have more than we need [i.e., Volunteers] because you never know how many people are going to turn up. If lots turn up, we're definitely covered, if less turn up we can manage the numbers. (Brigadoon DT Lead, 2017)

There was not enough experienced DT Members compared to *inexperienced DT Volunteers*, which allowed Shoregrove to adopt roles normally reserved for DT members in roundtable sessions. Due to 'really really minimal resources' (Brigadoon DT Lead, 2017), the DT's go-to professional facilitator could not be recruited. As a result, the lead facilitator worked independently suggesting facilitation although 'fine' in Brigadoon was 'done in a much lighter way', whereas their approach is 'normally slightly different' (Brigadoon DT Lead, 2017). On the other hand, Ravenburn's DT was able to recruit their typical collaborators and deliver their 'core methodology':

> What we've developed over the years is twofold; as mentioned, we have a group of regular collaborators, we've developed a very good working relationship. We're able to challenge each other in a positive way. But also, we've developed a core methodology, which we know is robust. (Ravenburn DT Lead, 2017)

The DT are a well-rehearsed unit, and interviews reveal decades of experience between the primary facilitators from different professional backgrounds. However, unlike the DT in Brigadoon, members do not have formal facilitation or community engagement training. Brigadoon's DT Lead is trained in facilitation and mediation, and their Volunteers (typically, although not always) receive some form of preparatory training:

> This is another thing, you were talking about skills and none of our charrette team have, as far as I am aware, have ever had any training whatsoever in community engagement. It's learned on the job, or it's just trying to deal with people in a straightforward, human way. (Ravenburn DT Lead, 2017)

> We manage our volunteers, we train them, we have a relationship with our volunteers, and our reason for being is our volunteers. So, when you volunteer for [one of our] charrette[s] I like to think it was very different from volunteering for

> another charrette whereby you're just trying to get some experience to go and run a charrette yourself. (Brigadoon DT Lead, 2017)

Despite not completing any training sessions and not understanding the difference between a 'charrette' and the DT's bespoke approach, DT Volunteer B was accepted to work on Brigadoon. The interviewee recalled an e-Volunteer Brief and e-Flyer, which comprised all his/her formal preparation. Without visiting Brigadoon, meeting DT colleagues or Shoregrove, and attending a briefer than anticipated Team Meeting on the charrette's first day, DT Volunteer B remembered feeling nervous:

> I remember feeling quite nervous before I went… didn't know what the hell they were doing, had never been to a charrette before, and I knew that I would be expected to assist in facilitation, but not lead facilitation. So, just talk to people about their ideas. What worried me was my lack of any knowledge of the area. (DT Volunteer B, 2017)

Others too 'hadn't realised how green some of the facilitators were' (DT Volunteer A, 2017). Whilst an unobtrusive facilitation approach is lauded (see Margerum (2011)), nervousness and inexperience underscored the hands-off approach. For example, observation data recorded instances -that Brigadoon Council Officer Participants also recalled in interviews- student volunteers abruptly abandoned their roundtable facilitator and/or notetaker role mid-workshop (Figure 63). Requiring, others or workshop participants (equally inexperienced in facilitation) to step-up:

> Even the facilitators, there you go, yours choked at the first hurdle and passed the mantel to you, so, how convenient would that be for a tenant or resident sitting there? (Elkfall Council Officer Participant E, 2017)

As discussed under 10.3 Communication, a better allocation of Volunteer roles may have maximised available skillsets and minimised opportunities for CT members to distort the process. In summary, a low turnout, facilitator inexperience (or a lack of DT training) and a lack of resources created a gap for those with a vested interest and clear agenda to fill. Thus, allowing Shoregrove priorities to feature highly, compromising Process Independence. In Ravenburn, greater turnout helped alongside monetary resources allowing the DT to appoint their familiar, experienced collaborators (notably, with no formal facilitation or community engagement training) to deliver their well-rehearsed core methodology.

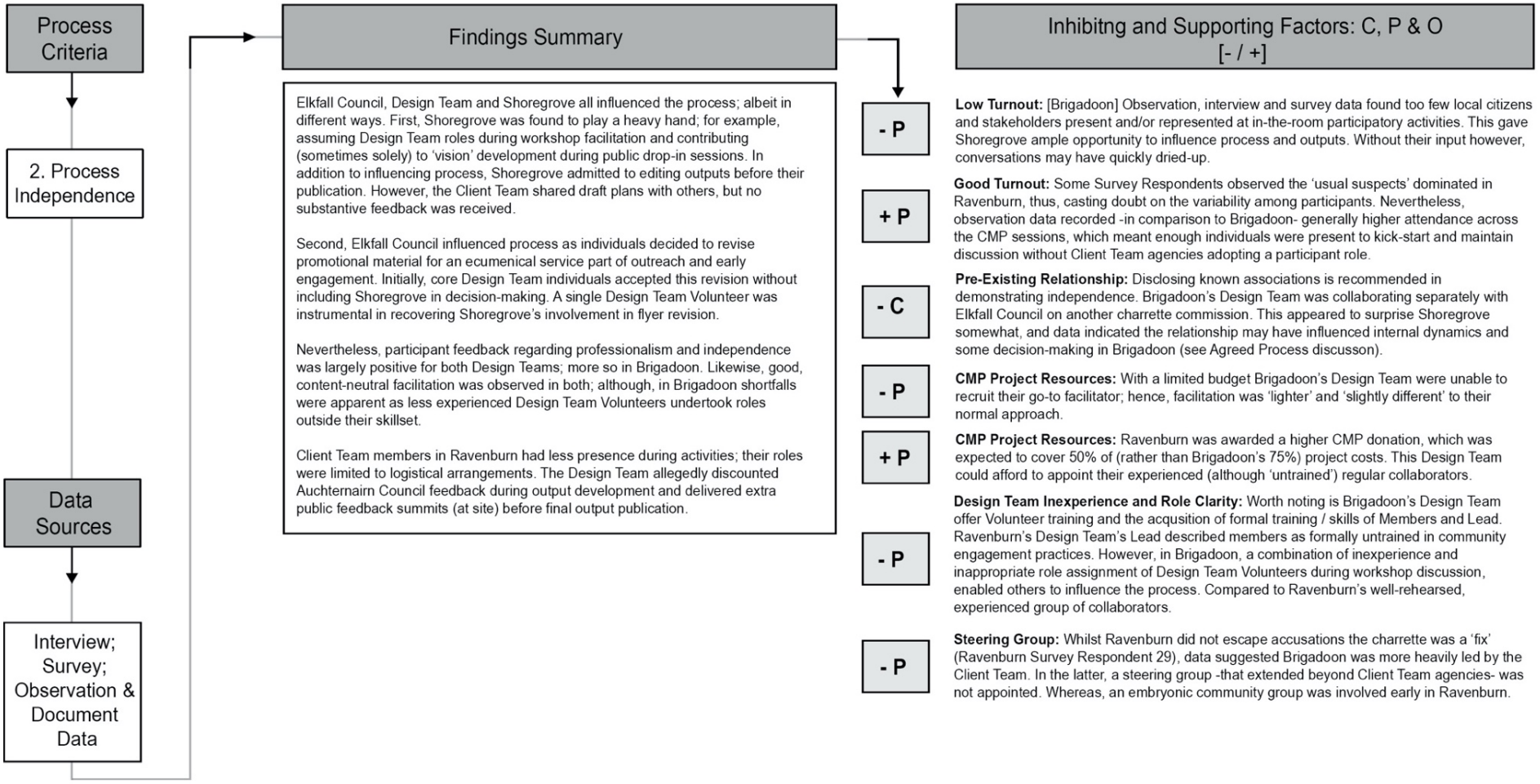

Figure 60: Process Independence Summary

10.3 Introduction: Communication

Interactive, communicative spaces are intended to open-up opportunities for two- or multi-way communication among diverse interests. Interactive drop-in sessions offer an alternative to group-sessions but can be more than a passive, in-breadth participatory mechanism (see Chapter Nine). Guided by 'Communication' indicators and questions presented in Chapter Nine Table 63, I first discuss the quality of communication. Then, I turn to supportive and inhibiting influencers, asking:

- What contextual factors could hinder or support quality communication?
- What other process factors could hinder or support quality communication?
- What objective, output or outcome factors could hinder or support quality communication?

For a visual reminder, Figure 61 summarises Step Three to Five and provides examples (only) of the theorised factors (see diagrams in Chapter Nine).

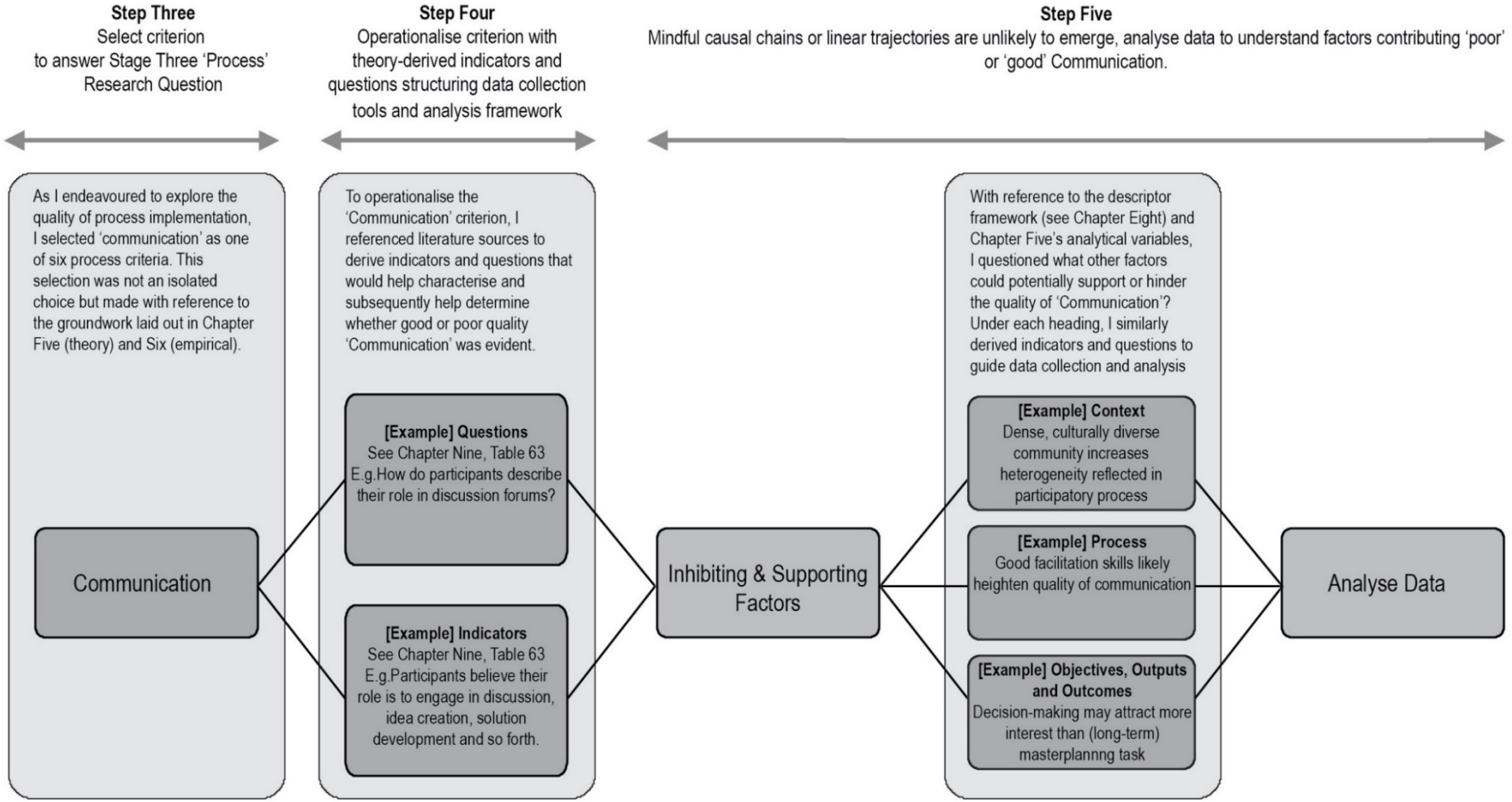

Figure 61: Visual summary of analysing 'Communication' criterion

10.3.1. Findings

Findings on Communication in Ravenburn and Brigadoon are both mixed. First, findings indicate not all participants attended with an intention to converse. In Brigadoon, four of twelve Survey Respondents indicated a preference to stay quiet and the majority of Elkfall Council Officer Participants described their role (in interactive sessions) ambiguously. One Elkfall Council Officer described their workshop role as both an observer and a representative of council-housing tenants. In the same interview, s/he later explained s/he wanted 'to try and complement what [the DT] were doing (Elkfall Council Officer Participant E, 2017). Another Elkfall Council Officer Participant described their role as a facilitator, a 'bridge' between the DT and local community but also as a local citizen: 'I wasn't the 'charrette person' instead I'm here also' (Elkfall Council Officer Participant A, 2017). Along with several others, these Elkfall Council Officers also felt their role was to observe and listen, only contributing on occasion.

DT and Shoregrove Volunteers concurred, indicating Elkfall Council Officers should not participate in discussion. Overall, participants had mixed ideas about what they were there to do and who should be involved. Thus, one-way or no communication characterised the majority of Elkfall Council Officer Participants' involvement:

> Caulderworks weren't involved at all. The high school, probably not. Probably aware of it, but that's about it. Elkfall Council, only through the local office, so participation from the local office. But do they need to be engaged at this point? Because if they're engaged at this stage then does it become their agenda rather than the people's agenda? To me, I see this as a community-led people agenda that gets delivered to them [i.e., Elkfall Council] to say, 'this is what we want you to help with, where do you now fit in?' (Shoregrove Volunteer A, 2017)

> I did notice there was a couple of people, from the council hovering about, observing what was going on… but to their credit I think they tried to keep themselves a step back from the process. (Brigadoon DT Volunteer B, 2017)

> Essentially Elkfall Council was a client. We're not there to just hear the council staff's perspective. (Brigadoon DT Volunteer A, 2017)

> Sometimes I would only intervene during the workshop discussions if asked, but each of us had a specificity and bits of information we could contribute. (Elkfall Council Officer Participant A, 2017)

> I felt even before I went along, I wasn't needed to contribute a lot because I don't live in the area. My interest was more listening to what people were saying about the area. (Elkfall Council Officer Participant D, 2017)

> But it was my goal to make sure as much of my tenants' opinions were heard as possible. What came back from [our] survey was that they had a lot of issues with where they lived… I was there kind of observing as well; on the night-time one, I deliberately took notes and I let the other people at the table bounce ideas off me because I thought it was quite unfair of me to try and lead. (Elkfall Council Officer Participant E, 2017)

Similarly, in Ravenburn twelve of thirty-one Survey Respondents indicated they were less involved compared to others. Respondent 31 suggested s/he got less involved to ensure others had an equal opportunity to participate. Five respondents described a preference to either listen to others and/or observe (Table 67). Ravenburn Participant E exhibited intransigent behaviour: when asked whether s/he understood others' points of view better, s/he responded, 'No, because I'm so sure that I am right I don't care what other people's points of views are <laughter>' (Ravenburn Participant E, 2017). Taken together, these responses characterise involvement as one-way or no communication.

Respondent ID	Participants' Reasoning for Lower Involvement Level (Ravenburn)
Respondent 02	I wanted to hear what local residents had to say
Respondent 16	Was in listening mode
Respondent 20	I wanted to hear from the speakers what their ideas were and how they planned to take them forward. It was also interesting to hear other people's ideas especially how certain things affected them.
Respondent 22	As a planning officer working for the Council, I attended a few of the events as an observer and to see where we might incorporate any appropriate outcomes in the next Local Development Plan which we have now started preparing.
Respondent 28	Happy to hear others discuss matters.

Table 67: Lower Involvement Level (Ravenburn)

Other reasons for lower involvement levels cited by Ravenburn Survey Respondents included:

- Unsuitable or inadequate mechanism e.g., a preference for one-to-one discussion over open forum, a perception the feedback summit did not allow for discussion, presentations only, and activity time too short (Respondent 15, 26, 27)
- Dominant individuals took over (Respondent 24, 26)
- Poor discussion management and/or participant handling (Respondent 6, 17 and 24)

In both charrettes, complaints indicate a balance of contributions was not achieved. A minority of individuals dominated some interactive sessions in Brigadoon: 'The issue of one person talking a bit longer than everyone else and not giving other people the opportunity to speak, maybe it's down to low numbers' (Elkfall Council Officer Participant D, 2017). Likewise, in Ravenburn:

> One or two 'characters' who always are involved in everything, and whose voices are the loudest tend to take over these events... again, unavoidable I suppose! (Ravenburn Survey Respondent 26)

> The event was not Ravenburn's, it was taken over by council and business from elsewhere. (Ravenburn Survey Respondent 30)

> There was a man there who annoyed me a little, he seemed to have his own agenda… you could have thought he was part of [the DT]. I suppose if there was a criticism, and I know it's very very difficult, but he was getting allowed to run the show. (Ravenburn Participant A, 2017)

Although Shoregrove Volunteer A felt good-practice measures to mix roundtable participants were followed, others disagreed suggesting the conversation sometimes followed a single direction i.e., Shoregrove's. Demonstrating hesitancy, Elkfall Council Officer Participant E admitted s/he never wanted 'to push the envelope too far':

> We tried to have, perhaps call them, a community activist at each table mixed in with the public. I hope they don't feel they like we shaped the debate. But I think we kept things in check a little bit. (Shoregrove Volunteer A, 2017)

> All the ideas coming from each table that day were all the same and that's because you had tables with just members from the Shoregrove group. They've obviously had discussions beforehand with what they wanted to do with the area. (Elkfall Council Officer Participant F, 2017)

> Shoregrove had [DT] brought in to address a certain set of issues. The council housing side of it, that's obviously, that's me, and I didn't want to feel like I was hijacking the thing… However, I did obviously want to raise the concerns that we had from our point of view but didn't want to push the envelope too far, to the point there was confrontation, that certainly wasn't my goal at any point. (Elkfall Council Officer Participant E, 2017)

However, on the whole, Survey Respondents in Ravenburn or Brigadoon felt their contributions were heard. Four Survey Respondents in the former, indicated they did not feel listened to and the majority of respondents selected *somewhat heard*. Overall, nineteen of thirty-one Ravenburn Survey Respondents positively regarded workshop facilitation and scored the DT four or five (five being the maximum positive rating). Respondents positively commented on information provision and quality, idea progression, overall charrette management and its atmosphere. Qualitative responses from Survey Respondents 05, 09 and 24 commented on the flow of conversation that generally remained positive; conversation was steered from contentious, out-of-scope issues; individuals were prevented from dominating; and 'trivia' was acknowledged in a non-dismissive way.

Somewhat contrary to interviewees' insights discussed above, all Brigadoon Survey Respondents were positive about their interactive experience. All indicated they felt heard; disagreements were adequately recognised and addressed; and facilitators effectively managed dominant individuals. The majority of responses indicated it was easy to get involved and participants did not feel under pressure to agree with others at the table. Only one Survey Respondent felt participants did not speak 'openly and honestly'. Interviewees suggested even those initially hesitant got involved after some cajoling from other *participants*; notably, not from inexperienced roundtable Volunteer facilitators. For example, participants interpreted some young people's hesitance (e.g., avoiding eye contact) and encouraged involvement from youth-group participants by speaking informally and making jokes to break the ice. Overall, there was evidence of some two-way communication, even from those initially reluctant:

> The youth group, to start they were a little like, 'yeah, I don't care...' but they did in the end. (Elkfalll Council Officer Participant A, 2017)

> Also, you had the youngsters that came along, who wouldn't say boo to a goose but by the end of the evening were suddenly engaging as they felt empowered and realised this wasn't people in suits talking to them. Instead, these are neighbours talking to me. (Shoregrove Volunteer A, 2017)

> There was one person that had come along in the afternoon, who I think Charlie asked to come along. They had been involved in Shoregrove. S/he was very unsure of giving any answers at first but was more forthcoming as the day went on, think s/he may have stayed for the evening session as well. (DT Volunteer B, 2017)

Finally, with reference to interactive drop-in sessions (that offer participants an alternative to open forums and small group workshops), observation and interview data found participant handling fell short, at times, in both cases. Figure 62 is a schematic of the primary charrette venues. The first drop-in session at Brigadoon, had a haphazard participant handling strategy. The entrance was regularly unmanned leading to one recorded instance participants peered into the 'charrette studio' but left with no greeting. Thus, a missed opportunity. Similarly, an unidentifiable DT Member arrived mid drop-in session: s/he wandered the room for some time without any welcome. His/her DT association was only made clear when greeted by the DT Lead.

More often, DT Volunteers would greet and register visitors often staying with them for a tour and one-to-one conversation at one of the roundtables, which were equipped with maps, pens

and paper. There was also some form of 'arrival activity' i.e., using a wall map to record visitors' home addresses. However, DT Members and Volunteers struggled at times to locate the charrette venue; thus, struggling to help visitors. In subsequent sessions, the DT Lead gave more direct instructions on participant handling and stressed the importance of visitor registration at in-charrette team meetings. This resulted in an improved participant handling strategy onwards.

However, room layout appeared to be one of the biggest challenges to participant handling. Although, venues had been described as excellent: 'What else... having a good charrette venue, the venue was excellent. Often, it's difficult to find a good venue but that one was excellent' (DT Lead, 2017). With reference to Bishop (2015), there was no formal registration station or buffer in the form of a charrette studio gallery with discernible exhibition zones. The venue's arrangement did not prevent disruptions: two team meetings (during scheduled drop-in sessions) were interrupted by charrette participants. On both occasions, participants were welcomed, advised of an on-going team meeting, and asked to join and listen.

Charrette display content was regularly updated, and the DT Lead gave an overview describing new additions early in the drop-in sessions. For example, Place Standard outputs from young people, newly sourced local authority proposals and mood boards with precedents were added as weeks progressed. The fourth session displayed emerging proposals and draft actions, which participants could visually rank with colourful stickers. A similar yet more refined set of proposals were presented in the fifth (i.e., feedback session), which was well attended in comparison to previous sessions: 'On the [fifth session] I went four times that day: Beginning, Mid-Day, Late Afternoon and After Closing. I thought it was well visited' (Elkfall Council Officer Participant A, 2017).

Although, another returning Elkfall Council Officer Participant commented on 'very rude' Shoregrove Volunteers speaking throughout the presentations and generally poor participant handling:

> I was totally confused with the post-it notes and dots <laughter>. There wasn't really scope to ask anyone either, or have anyone explain it to you. I know I came in at 15.30 but it was an open-day so there should have been someone there to explain it. (Elkfall Council Officer Participant F, 2017)

Although Ravenburn's venue layout was more structured with more discernible zones and workstations (Figure 62), Survey Respondent 06 was similarly 'frustrated' by poor participant

handling, suggesting ‘there was no clear sign of what we could do at the drop in’. The only obvious means of engagement was to ‘stick ideas on a board’ and if s/he was less ‘committed’, Survey Respondent 06 could have left with no involvement: ‘if I'd been less committed, I would simply have wandered around a bit then left without speaking to anyone’. Although, s/he did ‘find and have a long and interesting discussion with someone’, Survey Respondent 06 was unsure -given their role in the charrette- ‘how/whether what we discussed would be incorporated’.

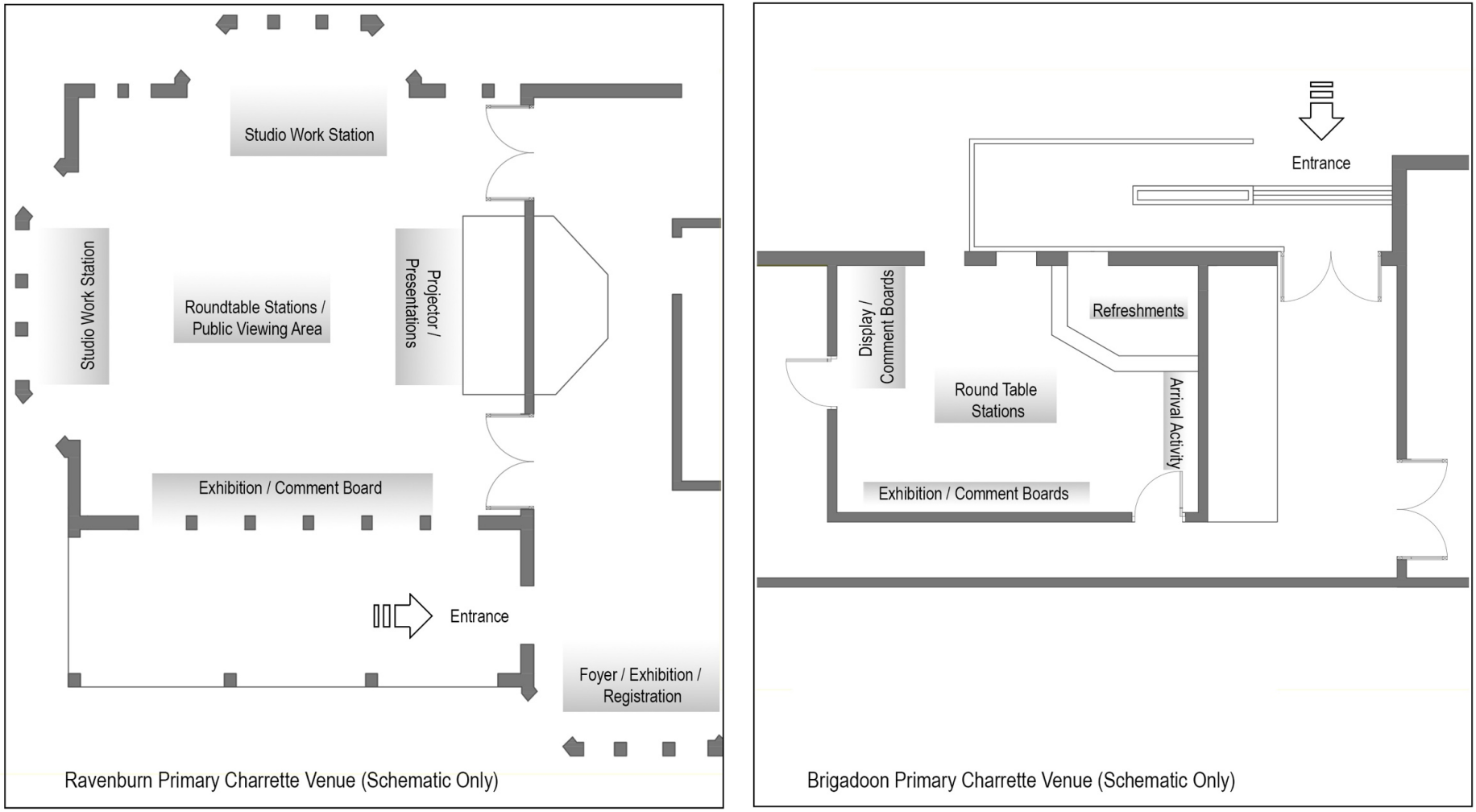

Figure 62: Schematic for Ravenburn and Brigadoon Primary Charrette Venue

10.3.2. Inhibiting and Supporting Factors

I identify nine factors relevant to Communication. Those marked with * in Table 68 were not recorded in Chapter Nine and signal a factor unanticipated; the others, more directly or by extension fall under one of the pre-empted categories. Each factor is italicised in the below discussion.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Community Deprivation	--
	• Community Relations	--
Process	• DT Skills	• DT Skills & Organisation
		• Workshop Management
		• Time Limitations & Timekeeping
	• Participatory Mechanisms	• Participatory Mechanisms
	• Outreach and Early Engagement	• Participants' Mandate
	• Inclusivity & Representative	• Diversity & Low Participant Turnout
	--	• Charrette Resources*
		• High Participant Turnout*
Objectives, Outputs and Outcomes	• Task Objective	• Issue Relevancy

Table 68 Summary of Anticipated and Unanticipated Influencing Factors

First, *low participant turnout* has undermined other process criteria (i.e., Inclusivity & Representativeness and Process Independence, specifically with reference to Brigadoon). Low turnout naturally curtailed *diversity* as multiple stakes or interests were not present in Brigadoon: 'there was more common ground among the people that were in there' (Elkfall Council Officer B, 2017). With greater diversity workshops could have 'been a lot better, however, you're dealt the card with whoever walks in the door' (Elkfall Council Officer Participant E, 2017). Therefore, there is only so much a DT can do when 'you only get a certain amount of people coming through the door, from a certain background, or a certain street or area' (Elkfall Council Officer Participant E, 2017).

Low resident numbers and high DT Volunteer numbers (Figure 63) led to instances charrette participants described Brigadoon to non-locals. Therefore, the conversation became a one-way flow of information rather than a discussion among vested individuals and/or stakeholders. However, contrary to this recorded observation is Shoregrove's Secretary's

reflection, suggesting DT Volunteers' external disposition and knowledge deficit did not inhibit exchange:

> We're probably a little more informed than a lot of the participants [i.e., DT Volunteers]. So, you could have a good conversation with anybody you talked to there. Whether they were particularly well-informed or not. So, I think it was a strong and diverse team from [DT's] side. They brought ideas and pointed out weaknesses. (Shoregrove Secretary, 2017)

Second, inconsistencies among interviewees on who should be involved and in what capacity was evident. With reference to Davies et al. (2005), were Elkfall Council Officers attending as representatives in an official capacity or as individuals? If the former, had they been asked or nominated to do so? Understanding *one's mandate*, may have clarified what contributions were legitimate; thus, enabling participants to reframe their role allowing multi-way communication. A lack of clarity led to many adopting a listen-and-provide-information position.

Third, Ravenburn and Brigadoon participants cited *time limitations* inhibiting fuller exploration of everyone's contributions during interactive sessions. A Ravenburn Survey Respondent and observations at Brigadoon, also underscore *poor timekeeping* eating into public sessions. That is, venue set-up incomplete at advertised session start-times, or the dismantling of the charrette venue starting before a scheduled session's end time:

> The presentations were on a timed slideshow. I felt they were rushed. (Ravenburn Survey Respondent 27)

> The space was still being set up when workshop was supposed to begin. (Ravenburn Survey Respondent 27)

> Time constraints - is it possible to return to concepts which prove to be sparking interest / comment / debate and getting more involvement from the audience that way? (Ravenburn Survey Respondent 17)

> I think maybe there were time constraints between the questions, and pressure on everyone to quickly discuss one point and then move on. So that was more of a timing thing. If you allocate two hours for the evening it's probably a lot to fit in. (Elkfall Council Officer Participant D, 2017)

> There wasn't enough time for discussion. You were in your group, got your post-its, put them up and then you moved on. There wasn't enough time to explore what you had meant. What you write on a post-it note might mean something to you but another person reading it might think, 'what do they mean by that?' There wasn't the time to explore anything like that. It was 90 mins and over with. There was no discussion taken. (Elkfall Council Officer Participant F, 2017)

> In the workshops, I really liked the Place Standard one. I thought the other two there was this time constraint. (Shoregrove Secretary, 2017)

Fourth, *issue relevancy* also inhibited fuller involvement; for example, Elkfall Council Officer Participant D would have had 'a lot more to say' if there was a greater focus on design specificity. Again, this individual misunderstood his/her role to include answering questions on council-led design proposals. One young person explained s/he was not local to Brigadoon: hence, little contribution in workshop discussion. Not unlike other studies finding *scale* influences interest level (see Baker et al., 2010), here the activity's focus affected perceived relevancy and level of involvement. As Professor Hamdi notes in Chapter Five and Chapter Six discusses the 'power to convene', recruiting many people is not as useful as recruiting the *right* (i.e., affected, relevant) people.

Fifth, inexperienced, 'green' Volunteers contributed to missed opportunities and undermined roundtable facilitation in Brigadoon. As other charrette participants fulfilled facilitation duties - interpreting behaviours, encouraging involvement, listening, paraphrasing and recording contributions- they removed themselves from the conversation. Inexperience not only inhibited but possibly unwittingly stalled or discouraged communication. For example, one young participant exclaimed, 'a dinny ken wit use are tryin' tae dae'[57]. Observation data recorded the roundtable facilitator talking abstractly -*creating a narrative, establishing longevity* and *usability*- which may not have been audience appropriate. However, the youth group's late arrival could explain this individual's initial confusion.

More directly, observation and interview data recorded another instance an inexperienced (originally front-of-house) facilitator[58] struggled with late arrivals, as s/he explained their lateness interrupted the discussion order. The youth leader apologised profusely, which other participants tried to recover. The roundtable facilitator struggled to salvage the conversation as s/he unsuccessfully adapted to the unexpected workshop change. As previously acknowledged, *CMP resources* were limited, and the DT's regular facilitator was not available.

[57] Colloquial terms meaning, I don't know what you are all trying to do.
[58] Document data showed DT Volunteers were assigned roles in advance. Observation and interview data showed Volunteers changed their role mid-session i.e., round table facilitator stepping back to front-of-house and vice versa.

On reflection, one DT Volunteer that stepped back to a front-of-house role proffered an alternate handling strategy that was not thought of 'at the time':

> On reflection, what could have helped, potentially, and I doubt I would have thought about it at the time, was [a] acknowledge the young people, [b] bring them to a separate room, [c] keep them together and [d] quickly delegate two facilitators to go with them, [e] keep them separate from the adults and even from the youth leaders, or at least get them to take a real step back and [f] use more experienced facilitators to draw them out. That would have kept the demographics distinct, which is not always the best, but it probably it would have been more likely they [i.e., young people] would open-up amongst themselves with good facilitators rather than with the adults. And it would have maintained the flow of existing conversations. (Brigadoon DT Volunteer A, 2017)

A relaxed approach to organisation appeared to heighten Brigadoon's *DT skill deficit*. Team meetings were informal and brief, held during charrette drop-in sessions and roles were casually decided among newly introduced Volunteers. Observation data recorded one instance, the DT Lead described Volunteers' task during the workshop's verbal introduction and prefixed Volunteer instructions with, 'they don't know this yet, I've not explained it to them <laughter>'. Further, occasionally new, unfamiliar but more experienced DT Members arrived later for specific sessions. Whilst DT Volunteers topped-up the available resources, the DT was generally disaggregated and unacquainted, with fairly loose role assignments or inexplicit instructions. Lennertz and Lutzenhiser (2017) provide recommendations for building a multi-disciplinary team that were not followed here. However, the DT deliberately distinguishes its approach from the classic 'charrette' and has Volunteers at its core. Nevertheless, a lack of skilled Volunteers was apparent and *on-the-day organisation* failed, at times, to maximise the available resources.

Highly experienced yet admittedly 'untrained', Ravenburn's DT similarly received criticism on activity management given the *high participant turnout*. Survey Respondents 17 and 23 suggested better *workshop management* practices were needed to ensure a balance of contributions (see below). More practically, others could not hear DT members suggesting 'bad acoustics' were to blame (Ravenburn Survey Respondent 13) or DTs needed 'some help from experts on voice projection' (Survey Respondent 07). More directly referencing proficiencies, Ravenburn Survey Respondent 30 suggested a skills-deficit:

> The one time I was going to contribute there were so many people with hands up that most got ignored and only one person selected, there seemed to be no mechanism to go back to others who had wanted to be involved to see whether

> what they had wanted to say/ask was covered in the reply. (Ravenburn Survey Respondent 17)
>
> Whilst it can be difficult to ensure that as broad a range of opinions are allowed to be put forward, it is imperative that a fairly firm chairing of sessions keeps the overall goal to the fore. (Ravenburn Survey Respondent 23).
>
> Some of the team members were good. However, those at more senior level have been shown to be wanting in terms of the presentations and delivery of promised events and outcomes. (Ravenburn Respondent 30)

Lastly, particular *participatory mechanisms* were associated with good communication. In Brigadoon, the activities across three workshop sessions were thought simple, easy to understand and kept conversation flowing relatively well. Despite the least well-attended, Brigadoon's Place Standard workshop was fondly described as the *best* and observation data recorded more instances of two-way communication compared to the other activities:

> Each question a different colour, put the post-it-note on the wall and that covers the good, the bad and way forward. I've seen that used before, it's quite an easy way. (Elkfall Council Officer Participant D, 2017)
>
> When we were doing the Place Standard at my table, there was, 'how safe do you feel?' It was really interesting because instantly a man said, 'I feel very safe'. Well, he feels safe, but a woman said, 'I don't feel safe, especially at night'. And he said that he hadn't considered that. (DT Volunteer B, 2017)
>
> I did quite like some of- like the very first workshop [i.e., Place Standard exercise] where there was very little from the community… I still thought that was very good. I thought it was the best workshop… Yet there was only me, Max, Ashley and Danni. (Shoregrove Secretary, 2017)

Both charrettes offered interactive drop-in and workshop-style sessions across different times of day; therefore, catering for a range of involvement preferences and availability. Nevertheless, there were still requests for 'better one-to-one' sessions opposed to group activities (Ravenburn Survey Respondent 14), and fewer presentations. Ravenburn Participant A suspected question-framing in open-forums discouraged alternative perspectives; thus, inhibiting exchange:

> They said there wasn't a single hand who didn't support it. Maybe if they asked the questions the other way around i.e., who doesn't support it asked first. Because you'd need to be quite brave to raise your hand after seeing a lot of support. Just shows you how you can manipulate a situation. (Ravenburn Participant A, 2017)
>
> Less PowerPoint; more genuine discussion; more space; small group discussion in a more inclusive setting. (Ravenburn Survey Respondent 03)

> See that question I had asked you: what is a charrette? That actually wasn't… you feel a bit ignorant, so you feel you can't ask that question if it's not explained at the beginning. (Ravenburn Participant B, 2017)

As is widely understood, findings here underscore interactive group sessions are not for everyone. Many workshop participants described themselves as confident, competent individuals. Whereas many of the young people attending an all-adult workshop (via their local youth group) were less eager to contribute; at least initially. The individual that spoke to the whole room, was an elected member of Scotland's Youth Parliament. I subsequently met one schoolchild whilst observing 'informal, in-situ' activities. S/he spoke much more openly on a one-to-one basis in a setting familiar to him/her. The observations and interviewee excerpts support the argument a variety of tailored mechanisms accompanied by quick-thinking to adapt activities, in the moment, is needed to best suit audiences and facilitate discussion:

> For me, easy. I'm not a shrinking violet <laughter> Spade is a spade in my book, you just say it. Also, there's no such thing as a stupid question, no-one should feel fearful to ask a question. (Shoregrove Volunteer A, 2017)

> You might be unwilling to speak because you might be flying in the face of adversity because everyone else is dead against something. [Interviewer] Did you ever feel like that in Ravenburn Charrette? No, I don't care really. I reckon I am fairly sensible. My outspokenness stems from nothing other than a total love for Ravenburn. I really love Ravenburn. (Ravenburn Participant A, 2017)

> I used to do child and adult protection and I have been the lone voice in meetings where everyone else would say 'yes, remove them from the register' and out of ten professionals I've went, 'no and here's my reasons why...' I'm happy to have a balanced debate with someone on my opinions. (Elkfall Council Officer Participant E, 2017)

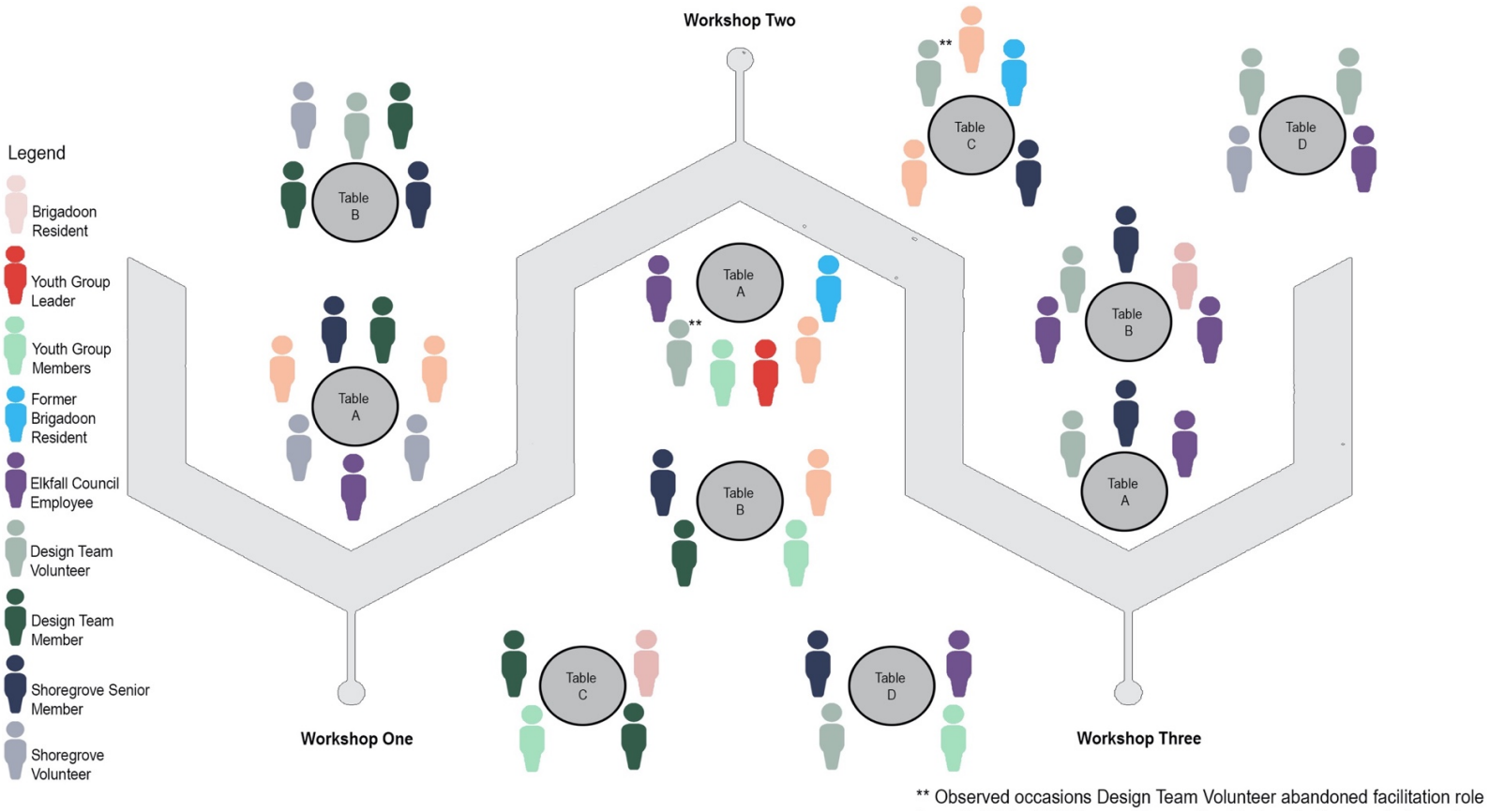

Figure 63: Workshop Attendees in Brigadoon

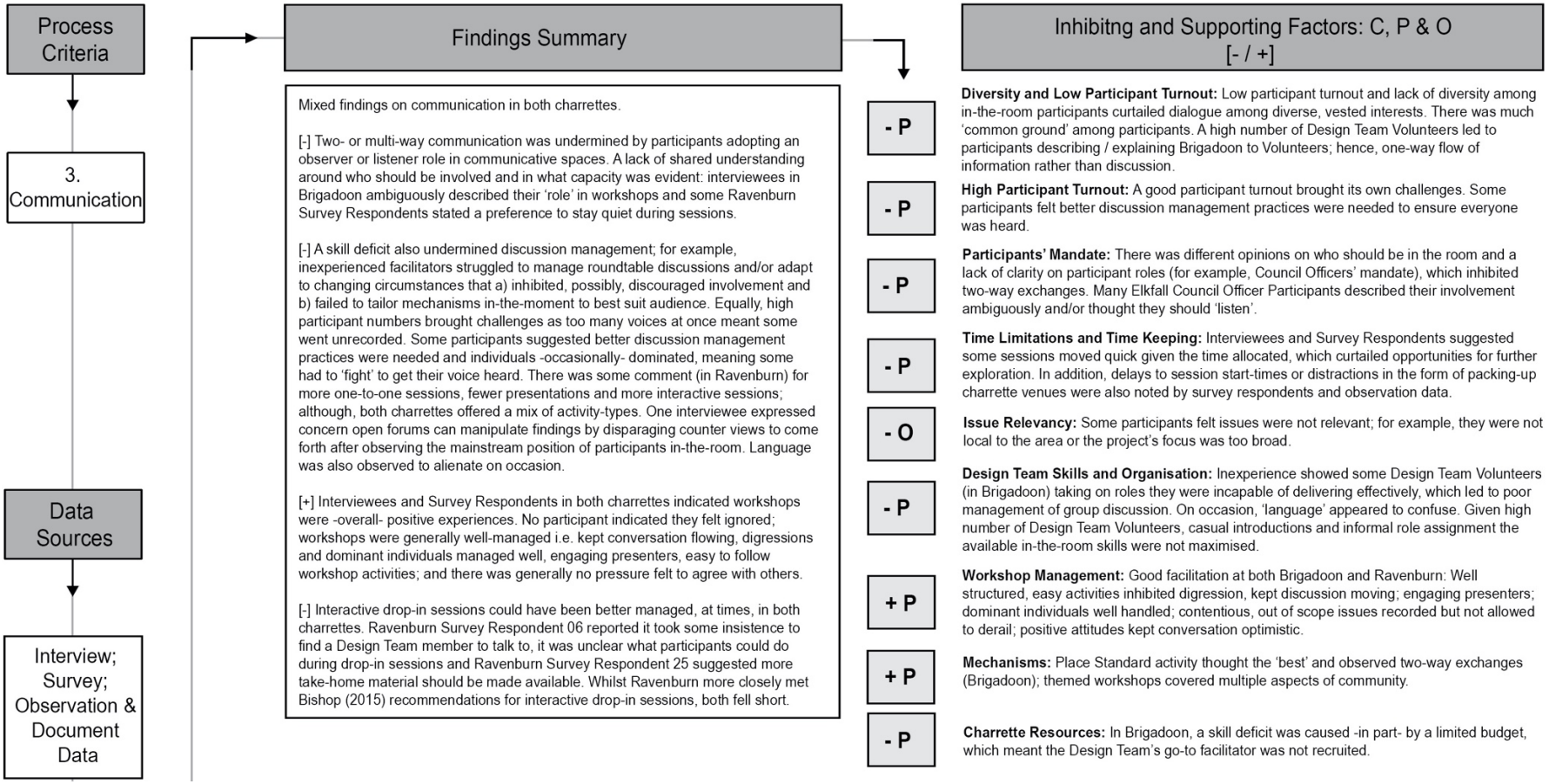

Figure 64: Communication Summary

10.4 Introduction: Outreach and Early Engagement

Chapter Eight suggests the charrette is an example of a composite process i.e., several mechanisms are used to construct an event that builds to an overall PE. The main charrette 'event' is just one component. Much work goes into the preliminary stage (see a comprehensive guide in Lennertz & Lutzenhiser, 2017). Guided by 'outreach and early engagement' indicators and questions presented in Chapter Nine Table 63, I first discuss how successful the preparatory phase was regarded. Then, I turn to supportive and inhibiting influencers, asking:

- What contextual factors could hinder or support outreach and early engagement?
- What other process factors could hinder or support outreach and early engagement?
- What objective, output or outcome factors could hinder or support outreach and early engagement?

Figure 65 summarises Step Three to Five and provides examples (only) of the theorised factors (see diagrams in Chapter Nine).

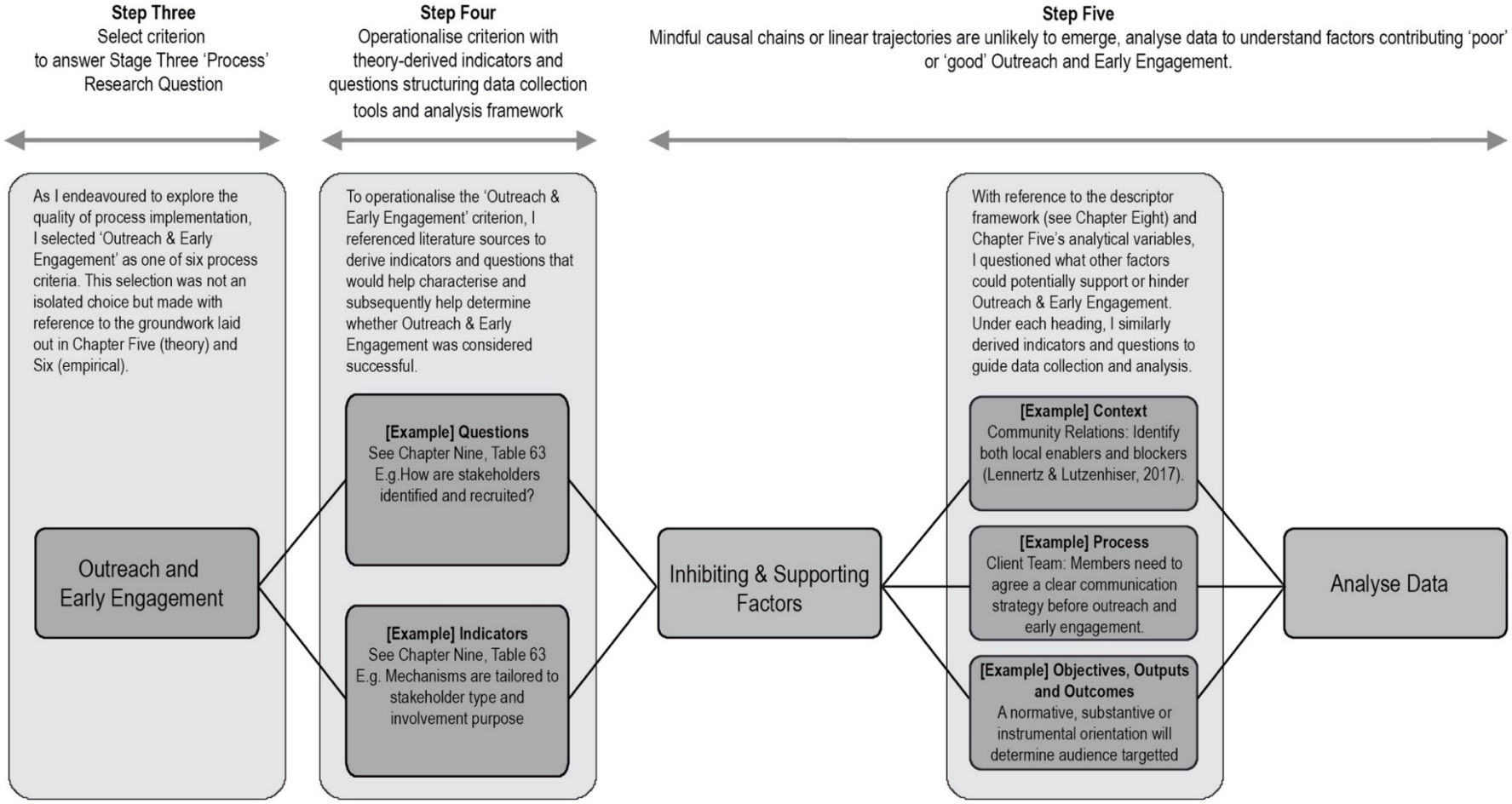

Figure 65: Visual summary of analysing 'Outreach and Early Engagement' criterion

10.4.1. Findings

Brigadoon's DT Volunteer A suggests pre-charrette i.e., the period of outreach and early engagement, is not subsidiary but equal or possibly a greater component than the main event. Whilst charrettes shared some typical pre-charrette aspects, their approaches differed. In Brigadoon, the DT had regular communications via email and telephone with various groups following an initial meeting and site visit: including council departments, eight local groups (inclusive of Shoregrove), several local businesses and all local schools, local councillors, MSPs and local media outlets. A community questionnaire was distributed (online and paper-based). Targeted school engagement and subsequent site visits were described as 'really positive':

> We had a couple of site visits that worked well. We had the initial one but also had a site visit with members of the council, with Shoregrove and volunteers. They all came together, before the charrette happened, which worked really well. The school workshops worked well too. I think, actually, that's going to be really good for Shoregrove because it made them establish a much greater relationship with the schools as well. The schools came along to quite a lot of charrette events too, which was really positive. (Brigadoon DT Lead, 2017)

Flyer distribution and social media posting constitute examples of in-breadth awareness building. Desk-based research into Brigadoon's town profile was evident through outputs presented at the charrette. Findings from early engagement were used to theme main charrette sessions. A similar mix of going-to and in-breadth mechanisms were used across cases.

Unique to Ravenburn (and a staple of the DT's core methodology), a team from the 'Artists / Designers' sub-consultancy spent two days, two weeks prior to the main event, delivering various planned and unplanned activities (e.g., street spectacle pop-ups and targeted school engagement). The sub-consultancy also recruited a former-local artist. Pre-charrette outputs included a short film. Second, and as recommended by Lennertz and Lutzenhiser (2017), two Specialised Consultancy Services collected secondary data (e.g. local plans and policies, census data), conducted business interviews and produced baseline reviews detailing existing conditions:

> So, from our side we do a market review, a base line review stating, not what could be done, rather, 'this is what retail units are there just now; this is the industrial

> units; here's how the market is doing in Ravenburn'. Very base line analysis of what was currently there. Then they do the same with, for example, the architecture etc. So, very baseline studies. This is pre-charrette. I think this was presented to the CT, and they worked out where they want to go with the charrette. (Ravenburn DT Member C, 2017)

The DT built a participant database and like Brigadoon's DT was active on social media, featured in local press and also used posters and banners around the town. However, both charrettes were criticised for pre-charrette publicity. Complaints centre round four issues. First, 'charrette' was an unfavourable term:

> It's the most ridiculous word. They choose a word that everyone has to look up, which indicates that they don't really have their feet on the ground and exercising common sense. (Ravenburn Participant A, 2017)

> I believe a lot of people are put off just by the word charrette! I had heard of the one in Thorness and had googled the word, prior to ours, but many people think it is just a pretentious talking shop, because of the use of a word which they have never come across before! Basic explanations and clarity are necessary to make people realise that they can get involved and are allowed to get involved! (Ravenburn Survey Respondent 25)

> I am criticising the name. The name would put so many people off because people wouldn't understand it. If I saw it in the newspaper, I wouldn't read about it. (Ravenburn Participant C, 2017)

> That question, what is a charrette? <laughter> People have been asking me and I'm saying, 'I think it's some kind of town centre planning thing but not exactly sure'. (Ravenburn Participant B, 2017)

An Elkfall Council Officer Participant offered an alternative perspective, suggesting against a Brexit backdrop borrowing foreign words was a good idea: 'local people quite liked the word. Otherwise, people here, how will they get access to new vocabulary and concepts? It's a popular term' (Elkfall Council Officer Participant A, 2017)[59].

Second, a clearer explanation of the event's purpose was needed e.g., its spatial remit, its relationship to on-going interventions. As discussed under 9.2.4 Ravenburn Context, this charrette sat alongside several other interventions. Hence, Ravenburn Participant D expressed confusion, as did Survey Respondent 21: 'Clarification on what a charette is and its end goal (e.g., funding). There was an assumption this was to do with the RAYS funding'

[59] Referencing Chapter Two, good practice requires including data contrary to the general finding and discerning the reasons for this anomaly. With reference to interviewee's demographic response s/he is not British. Perhaps offering an external perspective compared to all other British and Scottish interviewees.

(Ravenburn Survey Respondent 21). Whilst observation data recorded the DT's candid admission the charrette would unlikely impact other local interventions, complaints suggest this could have been clearer in advertisements. Ravenburn Survey Respondent 01 admitted it may not be easy, but tailoring information to individual preferences and/or needs would be helpful: 'knowing the purpose and content of session, and anticipated outcomes relevant to the individuals' requirements -not an easy objective' (Ravenburn Survey Participant 01). This is recommended practice in Lennertz and Lutzenhiser (2017).

Third, broader coverage was needed. Described as a generally 'shameful' publicity campaign by Ravenburn Survey Respondent 30, others too suggested broader awareness and different information formats. Ravenburn Survey Respondent 05 thought many people were unaware of the charrette and publicity relied too heavily on social media. Ravenburn Participant G heard about the charrette via their local Development Trust and commented, 'it wasn't well publicised, and a lack of posters that was one thing'. Several suggested promotional materials should have been posted and/or presented around town; observation data noted visible town signage near the primary venue. Survey Respondent 03 suggested information 'was only given to a very limited number of people'.

Fourth, two Survey Respondents thought the event could have made better use of existing networks; for example, more could have been published 'online through local organisations' (Ravenburn Survey Respondent 10), and Ravenburn Survey Respondent 09 suggested: 'Internal communications within the Community Council. Perhaps a specific ask of representatives of communities to inform their peers' (Ravenburn Survey Respondent 09). The CT and DT had liaised with local groups, but some internal senior members withheld information. Despite the CT confirming early Community Council involvement in DT procurement, interview excerpts suggest information did not trickle down:

> It was kept between the executive (the chair and secretary/vice chair really) for a wee while before it became public knowledge. (Ravenburn Participant D, 2017)
>
> I am a member of Ravenburn Community Council and heard about the charrette from the secretary. We were not aware the charrette process had been on-going, and an interview had taken place to vet DTs. We first heard about it the month prior to the first charrette event. (Ravenburn Participant F, 2017)
>
> We asked of groups [i.e., group of twenty contacted in pre-application] who would want to volunteer for the interview panel? We wanted volunteers on that interview panel. We got someone from the Community Council and a local entrepreneur, also Mx J Doe was on the panel as a representative of Organisation C. Mx J Doe

> was there from Organisation. B. I was there doing the facilitating. (Auchternairn Council Officer A, 2017)

Despite criticism of pre-charrette publicity, the majority of Ravenburn Survey Respondents heard about the charrette via 'Local Advertisement'. In Brigadoon, a consensus on how successful publicity raised awareness was not inferred. Whilst one DT Volunteer thought awareness was fairly high, another disagreed. Even those that were aware, did not attend:

> It got to the point everyone really did know it was happening. I don't know what the reasons were that people weren't coming. (DT Volunteer A, 2017)

> That session wasn't particularly representative I don't think. As I said, we spoke to people in the pub, the chippy, parents who were dropping kids off at clubs in the community centre. But no-one knew about it though. That's just people living their day to day lives and going up to them and saying, 'hey, do you know about this?' (DT Volunteer B, 2017)

> It was a shame none of the residents participated. Erin and I done a leaflet drop; we were pushing them. Not one of them came along. (Elkfall Council Officer Participant F, 2017)

Interview, survey and document data cast doubt on promotional material's quality. For example, Shoregrove expressed frustration event times were omitted from initial printouts. Given the 'short space' of preparatory time, clearer communication in one flyer would have been preferable. Some Brigadoon Survey Respondents concurred. Brigadoon Survey Respondent 13 suggested times s/he could have attended, which were covered by the charrette event, but arguably not clearly communicated:

> It was Lou that said that's just a remember-the-date-flyer but if you are going to do it, we could have nailed it down to produce the one [flyer]. So that was actually a bit confusing on the technical publicity. (Shoregrove Secretary, 2017)

> Times on leaflets. (Brigadoon Survey Respondent 24)

> I didn't go although heard about events wasn't sure of the timings. Perhaps a noon and evening session would have suited. (Brigadoon Survey Respondent 13)

I collected Brigadoon survey[60] data during the Community Fun Day, which offered an opportunity to ask people why they chose not to attend other charrette-specific activities. Brigadoon Survey Respondent 05 explained there was no 'access for the dog'. Social media posts described events as *free admission* and *child-friendly* and promotional material stated

[60] Here I refer to the survey I administered as part of this doctoral project not the aforementioned pre-charrette survey the DT administered. See Figure 9 in Chapter Three for data collection chronology.

everyone welcome. However, no information whether events were pet friendly was readily available.

The majority of Brigadoon 'participant' interviewees were Elkfall Council Officers that had heard about the CMP event from council colleagues. Thus, suggesting blanket promotion and some targeted outreach (discussed next) galvanised few 'local' interests outside of either CT agency. In addition to in-breadth outreach, Elkfall Council Officer Participants independently carried out a door-to-door campaign to encourage tenants' participation in the main event, which was unsuccessful:

> It was interesting for me in a way. Yes, parents were happy to have a moan at us at the door, and we did, we did get quite a lot of interest at the door. But the ones that promised they were going to come, never came. (Elkfall Council Officer Participant E, 2017)

Elkfall Council Officer B (i.e., the lead Elkfall Council CT contact) similarly targeted colleagues in different departments. Yet, 'planning department' colleagues refrained suspecting the project's scope was too narrow. Brigadoon Survey Respondent 10 was aware of the CMP events but felt his/her input was unnecessary given 'other representatives [i.e., council] were present'. Their absence disappointed Shoregrove's Secretary, especially because planning officers are perceivably 'quick to moan' about some of Shoregrove's unsanctioned actions and future plans. The charrette offered a chance to connect.

Introduced earlier (under Agreed Process), Brigadoon's DT piloted a new approach to engaging faith communities locally. Early meetings with Shoregrove's Secretary underscored their intention to 'enable a process of community organising that would, through the charrette process, connect community groups together as they co-laboured a vision' for Brigadoon (DT Volunteer A, 2017). Capitalising on one DT Volunteer's niche area of expertise, the DT initiated targeted, going-to early engagement with faith groups. Identifying five local churches, the DT Volunteer successfully engaged all and collected in-depth qualitative responses to the community questionnaire through personal visits. This partly redressed the balance of responses that tilted in favour of a young demographic -due to the DT's targeted school engagements- and unlocked responses from those likely to be otherwise unengaged:

> I was able to engage with some really marginalised people through the churches. They are exactly the kind of people that a charrette process usually doesn't connect with. Folk that- just really broken guys on methadone, coming along to play pool at community cafes. (DT Volunteer A, 2017)

Through targeted, faith-based engagement local churches opened several spaces for the DT Volunteer to engage with congregation members. Working collaboratively, the ecumenical service gave Shoregrove's Secretary an opportunity to present to a congregation and connect with those 'already meeting for associational life' (DT Volunteer A, 2017). Admittedly, DT Volunteer A did not observe congregation members attending the main events; however, faith leaders were involved 'not only in design workshops but also the final day' (DT Volunteer A, 2017). Overall, church leaders 'invest[ed] a lot of energy in the process, personally, and saw the value of it and enjoyed contributing to it' (DT Volunteer A, 2017).

10.4.2. Inhibiting and Supporting Factors

Here, I discuss three context factors and three process factors influencing successful Outreach and Early Engagement. Those marked with * Table 69 were not recorded in Chapter Nine and signal a factor unanticipated.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Scale	• Scale
	• Problem Complexity	--
	• Community Relations	• Community Relations
	--	• Local Reputation*
Process	• CT	--
	• Steering Group	• Gatekeepers
	• Mechanisms	--
	• Grant Award	• Charrette Resources
	--	• CT, DT Coordination*
Objectives, Outputs and Outcomes	• Participation Goals	--

Table 69: Summary of Anticipated and Unanticipated Influencing Factors

Shoregrove is generally well-liked. Even those sceptical of the 'charrette' attended not to support the charrette, but Shoregrove: 'I will keep supporting Shoregrove, not these events, I'll do it for Shoregrove. I want to know what happens now' (Brigadoon Survey Respondent 30). Thus, this *favourable, local reputation* and somewhat symbiotic relationship with some council departments primed participants for involvement, for example:

> Shoregrove's reputation with local churches, which includes five different churches (I connected with all of them) and all of them were extremely positive about Shoregrove. To me, they had a desire to get involved, had plans to collaborate with Shoregrove or they had already collaborated with Shoregrove. So, their reputation was extremely positive among the churches. I also spoke to local businesses and had general conversations with people, and I didn't hear anything but positive regard for Shoregrove. (DT Volunteer A, 2017)

> Probably there's more community buy-in given it was a community-led charrette. (Elkfall Council Officer Participant C, 2017)

> What we get now is our Parks Team go for a walk with Shoregrove and ask, what do you want to do here, there're trees here dying off etc. And Shoregrove said we can get funding for some of that, whereas we'd [i.e., Council] have to spend £400-500 on trees but Shoregrove could get external funding, so why not. (Elkfall Council Officer B, 2017)

> So, the fact the name Shoregrove had been connected with it, I'm not sure, but the number of people coming along that knew of us. Even the likes of Remi, Lonnie and Ali. (Shoregrove Chair, 2017)

However, the opposite also appears to be true. Planning officers, ostensibly quick to moan about Shoregrove's unsanctioned activities, refrained from involvement. Second, observation and interview data indicate another local community group (unfavourably discussed in a workshop session by one Shoregrove member) was not involved. DT interviewees tentatively suggested this group was 'a self-contained, potentially quite defended and boundaried' unit (DT Volunteer A, 2017), which was the 'the product of a lot of anti-social behaviour' (Brigadoon DT Lead, 2017). The group's niche social activity was suspected of limiting their broader community focus in comparison to Shoregrove or the receptive local churches:

> I managed to speak to that person [i.e., the disapproving Shoregrove Volunteer]. From what s/he was saying, actually they'd [the go-kart racing group] had been there a long time, and they are, kind of, a law onto themselves as well. There're regular fires there too, so it's the product of a lot of anti-social behaviour and I don't think a charrette is going to solve that and they're not all suddenly going to work together and come up with a grand plan. But I think we managed to put that into the action plan, hopefully, trying to speak to the go-kart racing community to try and come up with something. (Brigadoon DT Lead, 2017)

It was suggested the charrette was not the vehicle to drive forward this possibly sour or non-existent connection despite the charrette's history in negotiating contested terrain (Batchelor & Lewis, 1986; Walters, 2007; see Chapter One). However, an action involving the 'go-kart race site' (and therefore said group) is included in one output despite their non-involvement in deciding whether (as the output suggests) enhance / smarten site, communal huts or beginner programmes are needed (Brigadoon Output, 2017). Therefore, Outreach and Early Engagement is supported by warm relations and is inevitably easier with like-minded organisations. In its absence, forging connections evidently becomes more difficult.

The above finding coupled with observation and interview data suggest *CT and DT coordination* may have partially hamstringed Early Outreach and Engagement. Interview data

shows ‘two quite long steering meetings’ were held during the preparatory phase, in which the DT asked, ‘who should we involve?’ (Shoregrove Secretary, 2017). Both Elkfall Council Officer B and Shoregrove provided lists. Ravenburn’s DT describe a more independent approach to stakeholder identification:

> I'd say that's another thing about publicising the charrette. We do that in 3 or 4 different ways. The first one is we keep a database of who the main contacts are, so we spend a bit of time in pitching for the charrette understanding as to how many groups there are, and spending a day on the internet you can get quite a lot of information on that. But that becomes a database, contact names, not 'info@', but an actual person. That covers community council, civic groups, sport groups, arts, churches and young people so on and so forth. And suddenly the database has 250-300 names and that's normally what we have. (Participant B, Private Practice Professional)

DT Volunteer A admits s/he could be ‘completely wrong’ in their perception of the ‘defended and boundaried’ go-kart racing group; although his/her DT involvement started with meetings ‘exploring who to connect with in the community’. Whilst the above indicates Brigadoon’s DT continually revised their stakeholder identification (i.e., by endeavouring to find out more about the go-kart racing group) and organise ‘a separate meeting with the [racing] community but it didn't happen’ (Brigadoon DT Lead, 2017), these findings also indicate the group was perhaps missed in the first-round of stakeholder identification.

Further, observation data recorded discussions (prior to the first main event) in which Shoregrove members spoke of a particular stakeholder to invite. Shoregrove’s Secretary wondered if s/he had been invited and whether it was too late. Admitting the main event had ‘crept-up’, Shoregrove’s Secretary spoke about being ‘unsure if the [DT] should be doing that or if we [i.e., CT] should be doing that’ (Shoregrove Secretary, 2017). Alongside the aforementioned discrepancy on promotional material, findings indicate stakeholder identification, roles and responsibilities during pre-charrette may have been -at times- foggy. It appears unlikely a clear, robust stakeholder identification and analysis exercise was conducted, and developed into a widely agreed communication strategy.

More definitively, an Auchternairn Council Officer suggested Ravenburn’s DT and CT had no pre-agreed communication strategy and digital engagement was resultantly ill-managed. In short, communication amongst CT and DT agencies, appear to have been, at times, uncoordinated:

> We definitely did not agree a communication strategy other than speaking about Social Media - a Facebook and Twitter page was set up - but disappointingly not at all managed. (Auchternairn Council Officer A, 2017)

Arguably Ravenburn presented more robust baseline data in document outputs than Brigadoon and boasted a database of 200+ connections. Notably, the charrette's *scale* and *community relations* (see Chapter Eight's 'context' descriptor), could go some way to explain the figure boost in the former[61]. Ravenburn targeted the whole town (not a 'suburb, district or area of') and reportedly had more community forums and active citizens.

Penultimately, I refer to *CMP resources*. Whilst Brigadoon's DT recruited key specialisms,[62] Ravenburn had a DT exhibiting a broader set of expertise. The exception, however, was Brigadoon's DT had trained facilitation and mediation expertise. Simply put, Ravenburn was in a better position to produce more substantial baseline outputs because their DT comprised architects, landscape and conservation architects, urban designers, a regeneration and socio-economic consultant, social enterprise consultants, transport and traffic management experts, artists and creative regeneration specialists, and property market advisers.

Finally, as both charrettes made use of existing and non-existing networks during pre-charrette it was evident personalities and/or internal group dynamics inhibited, at times, the flow of information. Citing Ravenburn, the CT recruited involvement from existing community forums (the Community Council in this example) early in charrette design. However, arguably outside the CT's grasp, individuals acted as *gatekeepers* by withholding information from other group members.

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[61] Document data suggests over 200 connections were made in Ravenburn, whereas Brigadoon document data lists conversations with eighteen agencies and regular communications with thirty agencies, individuals and/or departments, with some repetition.

[62] See Figure 42 for Brigadoon's DT structure. To recap, the DT rely on Volunteers (front of house and facilitators) alongside Members, which are typically paid specialist services e.g., facilitation, urban design consultancy and so forth.

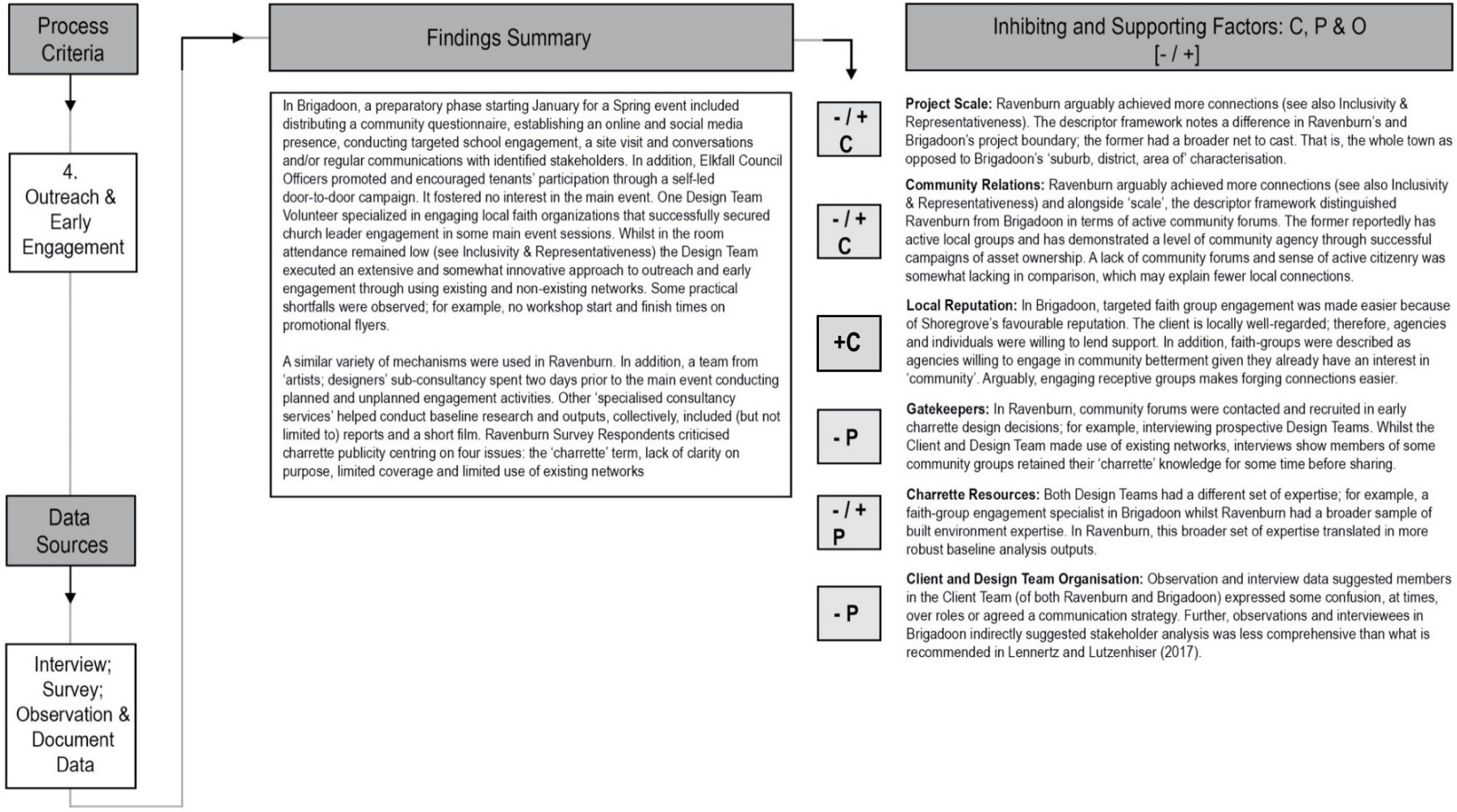

Figure 66: Outreach and Early Engagement summary

10.5 Introduction: Inclusivity and Representativeness

Engaging a broad spectrum of interests is championed to render processes inclusive and equitable; however, it is no easy feat and 'representativeness' as traditionally conceptualised has also been challenged (see Chapter Nine). Guided by 'Inclusivity and Representativeness' indicators and questions presented in Chapter Nine Table 63, I first discuss to what extent charrettes were inclusive. Then, I turn to supportive and inhibiting influencers, asking:

- What contextual factors could hinder or support delivery of an inclusive and representative process?
- What other process factors could hinder or support delivery of an inclusive and representative process?
- What objective, output or outcome factors could hinder or support delivery of an inclusive and representative process?

Figure 67 summarises Step Three to Five and provides examples (only) of the theorised factors (see diagrams in Chapter Nine).

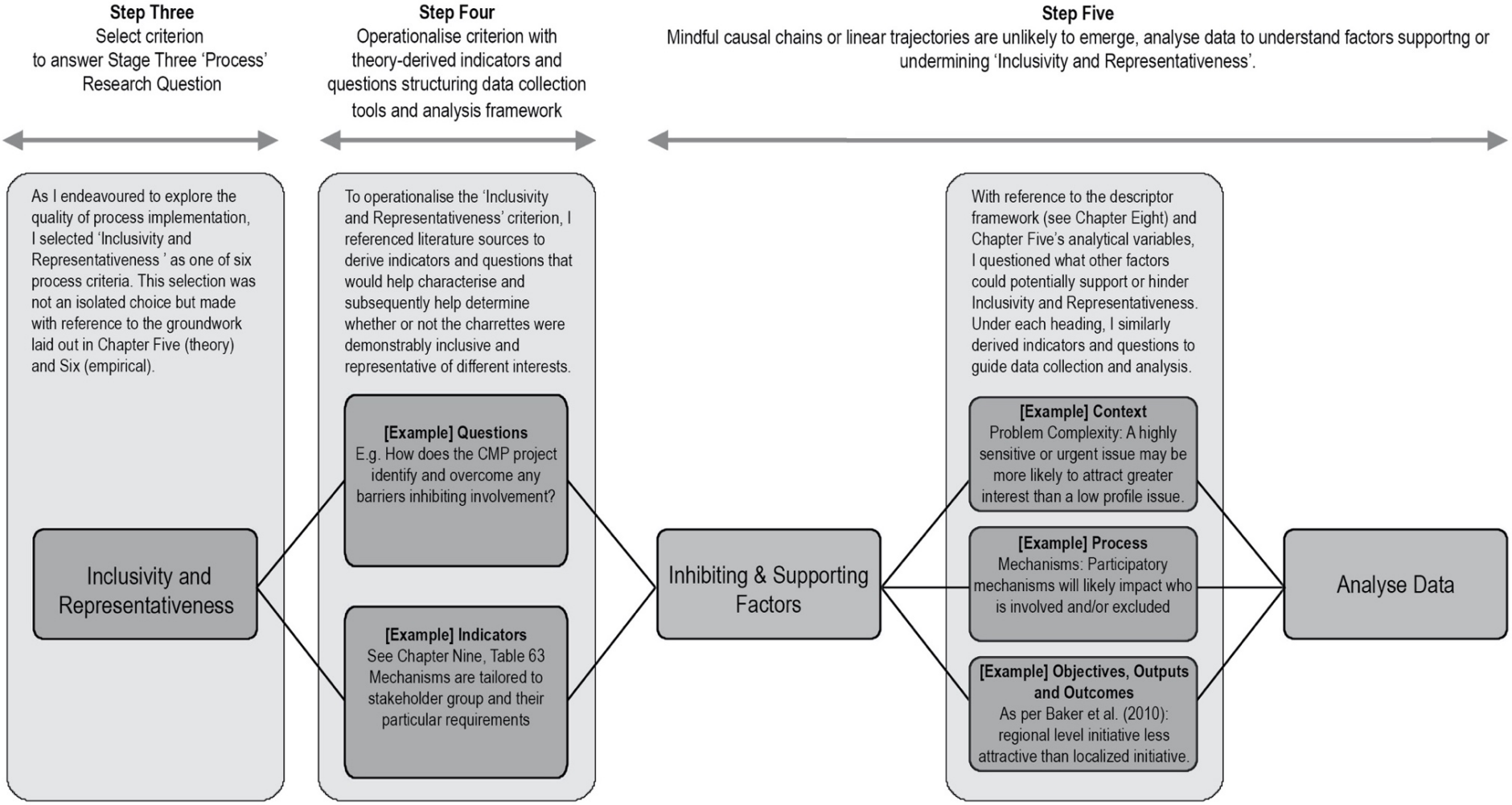

Figure 67: Visual Summary of Analysing 'Inclusive and Representativeness'

10.5.1. Findings

First, Ravenburn recorded higher participant turnout than Brigadoon. Drawn from database contacts and activity sign-in registers, Ravenburn recorded over 520 engagements: 285 attributed to pre-charrette. Although Brigadoon's weekly newsletter reported a 'steady stream of local people', document data reported approximately 340 engagements across pre-charrette, main event activities and a community survey: over 100 engagements were attributed to the latter (i.e., a 2.5% community return rate). Several Elkfall Council Officers felt the charrette was a success compared to previous PEs, as it managed to 'hit a reasonable percentage of the local population', which perceivably constitutes a legitimate evidence base for emerging proposals:

> The most pre-charrette questionnaire responses ever, over a hundred, more than you would expect. (DT Volunteer A, 2017)
>
> This was a rare exercise where I have seen every sector of this local community representing, there's a bit of all the community. We had gardeners, people with tough lives, tough cookies. At the table we had to become one, and it worked fine. (Elkfall Council Officer Participant A, 2017)

The majority of responses indicated disappointment regarding participant turnout, a lack of participant diversity and those most relevant to issues were notably absent. The general sentiment was workshop activities largely involved key and peripheral CT & DT members (see Table 70):

> Again, with the council, you know, it's important to have them part of it even if it's a local community group who are the client. Because the council are important for that connective tissue enabling the design to be realised. It is one of the grey areas. You get a lot of the participants in the actual charrette and in the Place Standard as being different people from the client body. (DT Member A, 2017)
>
> The overall experience of the design workshops wasn't very rich in terms of wider community participation, and I think Charlie would be the first to say that. S/he would have wanted a lot more. (DT Volunteer A, 2017)
>
> I'm asking tenants what their thoughts are because they're the ones living there and so I can know if it's a good thing or a bad thing before taking it on to others. I don't live there. Half the ones at the meetings don't live there. (Elkfall Council Officer Participant E, 2017)
>
> I think there were maybe other groups that could have been involved, it was really just Elkfall Council and Shoregrove and the [DT]. That was it. There's Queensday Housing Association in the area, there's children's groups, mother and toddler groups. (Elkfall Council Officer Participant F, 2017)

> I was thinking after having a quick scan round and sussing out who everyone is, that if you take out [DT], the council representatives, the community group [i.e., Shoregrove] then who is left? Not many there. (Elkfall Council Officer Participant D, 2017)

Survey Respondent ID	Did the CMP Activities Involve the Right People? Qualitative Responses
Respondent 19	More locals
Respondent 20	More community members
Respondent 21	More local people from hard-to-reach categories
Respondent 22	Perhaps more tenants
Respondent 26	More members of the public at events
Respondent 29	Needs to be widened out and made more fun; like today's fun day.
Respondent 30	Councillors, where are they? Should be here -it would be a lovely support

Table 70: CMP Activities Involve Right People- Survey Responses

Even as one session received a boost in numbers, some members of the youth group - described as a regional mix of young people[63]- explained they were not local to Brigadoon. Recalling a pre-charrette site visit, Elkfall Council Officer Participant F counted local authority representatives comprising one third of all in attendance. The final feedback session received the highest participant turnout with many participants returning from earlier drop-in and/or workshops. Overall, despite outputs describing busy sessions, those from the affected population were largely absent.

Observation, interview and survey data suggested charrette activities were fairly well attended at Ravenburn. Ravenburn Survey Respondent 31 commented 'good attendance' and Ravenburn Survey Respondent 17 complained the venue was too small for the turnout[64] making it difficult to hear. S/he also questioned inclusivity in terms of access for people with disabilities. Likewise, Survey Respondent 03 would have preferred a town-centre location:

> Hold the event in the town centre, not on the end of a pier. (Survey Respondent 02)

> There seemed to be no intention of involving the deaf community (accessibility with sign language) other than the overheads which of course don't answer, or repeat questions asked in the course of the display. (Ravenburn Survey Respondent 17)

[63] I recognise the affected population can often extend beyond the immediate geography (Rowe & Frewer, 2000); however, some young people explained they were unfamiliar with areas discussed and felt unable to contribute.
[64] I did not record attendance in any formal way (for example, an occupancy sensor or counter). To give readers some idea of the venue Survey Respondent 17 references, it has a ground floor net internal area of 189 squared metres. The DT regularly used one of two available rooms for public presentations; on occasion, small group discussions spread across both. Referring to Building Standards (2019) the venue, used as a conference space with no fixed seating, would have a maximum (ground floor) capacity of 189 people.

Similar to Brigadoon criticisms, participant diversity was questioned with some arguing: 'very few of the public were involved, it was mostly Auchternairn Council officers, paid members of Econoon and the consultants' (Ravenburn Survey Respondent 03); the event had been taken over by Auchternairn Council and outside business (Ravenburn Survey Respondent 29); and 'anyone with the power to do anything' had not been involved (Ravenburn Survey Respondent 19). Contrary to survey data, document data (i.e., Ravenburn's sign-in sheets) shows out of 108[65] recorded participants 19.4% could be considered either out-of-town, an Auchternairn Council Officer or from a wider Auchternairn (as opposed to local, Ravenburn) organisation. Figure 68 shows participants i.e., those that registered at one of the main activities, were mostly Ravenburn locals.

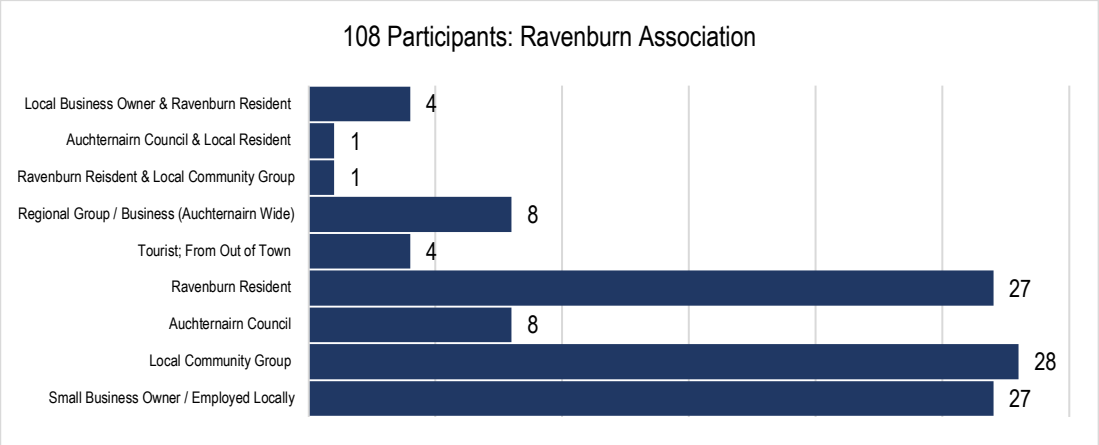

Figure 68: Summary of Registered Participants' Ravenburn Association

However, Ravenburn Participants and Econoon's Representative thought attendance could have been better given the early groundwork (i.e., Outreach and Early Engagement) and secured buy-in through the embryonic CC group:

> Yeah, I thought it was well-attended. There was one or two people who said, 'there's no-one here' and I'm saying, 'really?' Because we had a few CC group meetings beforehand and folk had said they wanted to do this, there was a bit of word of mouth. I gave [the DT] my mailing list and emailed ahead… It was also in the local press. The Scottish Government talk about pre-engagement strategy. We had a pre-pre-engagement strategy, so I thought we could have done better to be honest. (Econoon Representative 2017)

[65] Ravenburn used optional participant sign-in sheets for all main charrette activities. Together, these sign-in sheets registered more than 108 participants; however, a minority did not include organisation / association details or were identified as peripheral members of the DT. Given they were also optional, there is a discrepancy in the earlier reported figure of 520+ direct engagements and 108 included in Figure 68 analysis.

> I think not enough of them were there. Even though some members of Ravenburn Community Council were instrumental in bringing it here they only attended one session. I'm thinking, 'no! There's an opportunity here'. I find it really frustrating. There're also time constraints so people can't commit. (Ravenburn Participant F, 2017)

> I like the charrette set-up. I like it, thought it was user-friendly. It was a mixture of drop-in and presentations. It involved kids and all members of the public, but I didn't think it had a critical mass of attracting enough people. I think the name was wrong. (Ravenburn Participant C, 2017)

In both charrettes, findings suggested holistic, whole-community thinking was encouraged. For example, in Brigadoon, document data shows targeted, pre-event engagement with local schools asked young people to consider community improvements from a range of perspectives including elderly, people with disabilities and families. Likewise, Shoregrove Volunteer A was thinking outside of (or justifying more broadly) his/her cycling interest:

> My idea is to create a network of paths. This would be good for not just cyclists: families with prams, wheelchair users, pedestrians, scooters. Greater accessibility. (Shoregrove Volunteer A, 2017)

In Ravenburn, Survey Respondent 11 thought 'having different workshops relating to the different sections of our town e.g., business, retail, youth, sport etc. was a helpful way to look at the whole'. Although participants and charrette design may have encouraged attendees to consider interests other than their own, more contentious issues appear to be passively logged rather than unpacked and explored in-person.

For example, comments such as 'agree resolution / conflict over land with traveller community' and 'traveller issue e.g., access is easy, mark area' were transparently recorded in one charrette's process report. However, community action and spatial plan outputs, did not reference the contested nature of community green sites within the project boundary. Further, those that may sit on the other side of these arguments were not present or represented. Arguably, the Primary Task / Objective was more holistic, 'organisational' than 'action' oriented projects striving to mediate an identified conflict (see Chapter Eight). Therefore, it was simply not within this project's remit: conflict resolution was not a specified objective or participation goal. Nevertheless, it indicates a light touch when encouraging participants to challenge their frame of reference, and the narrow lens from which ostensibly 'shared' visions may develop.

10.5.2. Inhibiting and Supporting Factors

The DT Lead imagined 'it was going to be a dream to work in Brigadoon because [Shoregrove Secretary] was so active, the website was so active, and s/he's got all these volunteers'. However, Shoregrove Volunteers 'turned up in dribs and drabs' without much commitment: 'but they sort of turned up, stood there, giggled for a bit and then disappeared' (Brigadoon DT Lead, 2017). Interestingly, the similarly timed council-led CMP project in a comparable neighbouring community (Tignahulish), had far greater success in attracting in-the-room participants:

> So actually, in Tignahulish, interestingly enough, that was an Elkfall Council led charrette, we got loads more members of the community coming along. Lots and lots, which I thought was quite interesting, and less so in Brigadoon. (Brigadoon DT Lead, 2017)

Therefore, despite a seemingly conducive environment (in Brigadoon) and measures to agree the process with a wider group of people (in Ravenburn), what factors may have influenced Inclusivity and Representativeness? Here, I discuss seven context and five process factors. Those marked with * in Table 71 were not recorded in Chapter Nine and signal a factor unanticipated; others more directly, or by extension, refer to one of the aforementioned influencers.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Scale	• Scale
	• Previous Intervention	• Consultation Fatigue
	• Problem Complexity	--
	• Community Relations	• Civic Mindedness • Available and/or Lack of Capacity • Apathetic, Despondent Attitudes • Lack of Place Attachment
	--	• Weather*
	--	• Local Reputation*
Process	• Outreach & Early Engagement	• Outreach & Early Engagement
	• Access	--
	• Mechanisms	• Participatory Mechanisms • Unorganised Public
	• Grant Award	--
	--	• Purdah; Logistical Arrangements*
	--	• Agreed Process*

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Objectives, Outputs and Outcomes	• Primary Task / Objective	--
	• Participation Goals	--

Table 71: Summary of Anticipated and Unanticipated Influencing Factors

As anticipated *Outreach and Early Engagement* played a role. Given this is discussed at length above, along with *scale* differentiating Ravenburn and Brigadoon, I have streamlined the below. Auchternairn Council Officer A thought the good (rather than great) turnout was down to 'a lot of blood, sweat and tears that went into' pre-charrette awareness building:

> I was on the phone, emailing, cajoling. I've built up a professional network, not just of community people but my own professional network for example, a person from SNH. S/he was practically lobbying people on my behalf saying, 'you need to go along'. (Auchternairn Council Officer A, 2017)

In Brigadoon, stakeholder identification was found to be less robust, more dependent on CT and promotional material omitted details. Independent, going-to efforts to encourage tenant participation also failed. In brief, direct and blanket invitations struggled to garner interest. Whilst Outreach and Early Engagement activities may subsidise low event turnout through 'informal; in-situ' mechanisms -that Elkfall Council Officer Participants delivered independently from the DT via a door-to-door campaign- it may also contribute to *consultation fatigue*. Suggesting there is a 'fine line between how much pre-charrette' is done, Brigadoon's DT Lead wondered if participants question, 'what else can I contribute by coming along?'. Brigadoon Survey Respondent 08 exemplifies this: 'I was interested but told Shoregrove my ideas'. Others felt similarly exhausted with voluntary commitments and were satisfied they had already contributed, albeit indirectly:

> Working equals free time. I didn't go to those meetings, but I do help out Shoregrove in other ways e.g., weeding at the growing space. (Brigadoon Survey Respondent 11)

> Didn't go because working in Shoregrove all day, so timings. Couldn't go in the evening with work all day. (Brigadoon Survey Respondent 16)

Echoing fatigue, findings indicate those initially supportive of the charrette concept in Ravenburn may have regarded their early input as sufficient; thus, transferring responsibility for sustained involvement onto others:

> I met with the [community council] secretary the other night. S/he recognised that me and another community council member were keeping-up-to-date with

> [Econoon's Representative] and therefore said, 'since you're both on the committee you both can now be in charge of this process from the community council's perspective'. Both of us explained there's no committee, this is still early stages. In response, I said 'before anyone else gets volunteered I'm going to put this back on you, since you were instrumental in bringing it here, it's your baby, why not watch it mature and grow? Help that process out.' After a few minutes, s/he said, 'no, you guys can do it'. So, it's a case of, 'I've done my job, I've brought it here'. (Ravenburn Participant F, 2017)

> But since those very early discussion stages, the community council hasn't really had a part to play. I attend the Calls for Collaboration meetings off my own back, not as a part of community council although I do now report back to community council from the meetings. (Ravenburn Participant D, 2017)

Mirroring Newig et al. (2018), I infer activity attendance requires a sense of individual responsibility, self-capacity, available resources and 'enough curiosity to go along' (Ravenburn Participant F, 2017), given charrette participants generally described themselves as confident professionals with *capacity to engage*. Some with public participation delivery experience:

> I think it's very very difficult. I think people can be very reluctant to say things. I used to give talks to people and always ask for questions. I would say, the daftest question is the one that isn't asked. (Ravenburn Participant A, 2017)

> I like the concept of charrettes. I've done much facilitation work abroad so know what it's like to go through that group process work. For people not used to it, it's a completely weird experience because you're asking them to have a voice. (Ravenburn Participant D, 2017)

> There're perhaps other ways of engaging as loads of people won't come to meetings. I go along because I'm employed, and I get the value of them but if you really want to engage with people there are different ways of doing it. (Ravenburn Participant B, 2017)

All Ravenburn Participants casually described other community commitments, for example: 'I resigned, not from the organisation but as chair, because I joined the Community Council' (Ravenburn Participant F, 2017). In Brigadoon, one interviewee recalled a childhood campaign for outdoor play space and despite its partial success, the outcome was useful. Since eight years old, this individual has remained civically active. Thus, many charrette participants, prior to charrette involvement, were engaged in community life and could be characterised as *civically minded*:

> We fought for a football park and went down to the local council office on bikes every fortnight for months and months on end. Then the council really listened to us and built us a playground, which wasn't a football park. What was delivered was not what we wanted but it was useful. (Shoregrove Volunteer A, 2017)

> After some persuasion I joined [the Ravenburn Community Council]. I managed to convince another person to join, saying it was their civic duty <laughter> (Ravenburn Participant F, 2017)

> I'm the chair of the PTA at my daughter's school -can't seem to say no, get involved in everything. (Ravenburn Participant D, 2017)

However, the flipside is those already civically active may be less available for new projects. Ravenburn Survey Respondent 05 explained, 'I already have a number of commitments within the community', hence had no intentions on joining the CC group. Ravenburn Survey Respondent 18 similarly rejected CC invitation: 'I'm already involved with issues where I live and give up my free time to help out there, so really I just don't have the time'. And Ravenburn Participant C also said, 'I am involved in so many things anyway'.

Limited capacity undermines involvement; for example, Elkfall Council Officer Participant A was unsurprised at what s/he perceived to be a poor questionnaire response rate, which is at odds with DT Volunteer A's perception. S/he tried to overcome this involvement barrier the most tactful way possible. Further, Survey Respondent 12 admitted keeping up-to-date and replying to charrette correspondence was difficult:

> Illiteracy is a huge problem here; it affects many people in their 30s and 40s. We knew this and would never directly and in public ask, 'do you not know how to write?' Instead, we said, 'oh do you not like your handwriting, well let me write this down. What do you want to say?' So, we did it discreetly. (Elkfall Council Officer Participant A, 2017)

> A volunteer came to the church and spoke. S/he sent an email, but I couldn't reply because I didn't know how to. I couldn't remember the charrette details. Maybe Facebook would have been a better way to keep up to date. (Brigadoon Survey Respondent 12)

Whilst collecting survey responses, for this doctoral project, several respondents opted for an *interview-survey* led by one of the researchers. Further, DT Volunteer A observed Shoregrove's Volunteers struggling to gain 'traction' in a conversation with an urban planner:

> They [i.e., the charrette participants in question] don't particularly think conceptually on the level of a highly trained urban designer. So, they're coming in and you're asking very conceptual questions like 'what do you think of this map?' … Which is very difficult to get into. A conversation kind of started over one of the maps. I could see the folks were interested but didn't have the traction, but I had seen that Terry created a board of possible examples and I brought it over to the conversation and just put it in the middle… One of the first things someone said was, 'I could build that'. Suddenly s/he was engaged. (DT Volunteer A, 2017).

Together, observation, survey and interview data underscore *limited capacity* and *participatory mechanisms* can inhibit involvement if not framed with participants in-mind. Brigadoon's DT found the 'workshop' format and term was off-putting. Brigadoon Survey Respondent 11 wrote, '[I] would go to an event like this but not a meeting'. Respondent 16 similarly wrote they would have attended activities with a digital media element; that is, activities aligned with his/her interests. Respondent 29 epitomises the general sentiment that was: 'Fun!!! Why have meeting when you can have a party?' Learning from Brigadoon, 'workshop' had been replaced with *session* or *session events* in the similarly styled Tignahulish charrette:

> We learnt from Brigadoon when went to Tignahulish, because it's a similar community. We called them sessions, or session events. Rather than a workshop. Because if you tell an unemployed person they're going to a workshop, they're like, 'no, I can't do that, no, no'. (DT Lead, 2017)

Underscoring a lack of interest in local decision-making, Shoregrove cited a 40%[66] turnout in previous local elections. Others cited *apathetic, despondent attitudes* that would likely undermine deliverables. Table 72 shares a data summary for Brigadoon and Ravenburn. Comments reiterate sentiments expressed in Chapter Six: a prevailing sense previous intervention has 'sequentially failed', thus 'people really turn-off and think it's a talking shop' (Ravenburn Participant A, 2017); a lack of 'energy' and 'lack of interest' evidenced by dwindling numbers and group demise (Ravenburn Participant C, 2017; Ravenburn Participant F, 2017); negative attitudes as 'too many people stuck in the old ways' (Brigadoon Survey Respondent 26); an inhibiting undercurrent of 'dependency, deprivation and disempowerment' (Brigadoon Survey Respondent 21, 2017); all coupled with local authority frustration citing 'their backward thinking' (Ravenburn Survey Respondent 12).

During a session, one Shoregrove Volunteer exclaimed, 'you're all dreamers', thus, evidencing his/her cynicism. With some encouragement this individual participated, repeatedly. However, many other volunteers did not. Whilst Shoregrove's reputation went some way in attracting participants (see 10.4.2), they were equally met with dispirited attitudes from otherwise supportive locals. Although local apathy was a reoccurring explanation for low turnout, it should be noted others thought Brigadoon was not atypical of other post-industrial

[66] The electoral ward's turnout on May 4th, 2017 for Scottish local elections was 40.8%; national turnout was slightly higher at 46.9%.

Scottish communities. Therefore, whilst low turnout was unquestionably apparent, it was not entirely unusual:

> I felt Brigadoon wasn't an active place in terms of people being engaged. Having said that I don't think they are necessarily worse than any other places. In fact, they were better than some e.g., North Canwell, like I say, we had real problems. Knotville was probably a similar sort of process. We didn't get as many people as we wanted, even though it's a much bigger place. We actually had to go out onto the streets to engage them and talk to them. (DT Member A, 2017)

> They said, in fact, we had to go out onto the street, the green area, and try to drag people in. So, the turnout here has been better than previous. You know, we've got a tendency to say well it could have been better, and no doubt about it, it could have been better, but I think we've just to accept that's the way it is here. (Shoregrove Secretary, 2017)

Shoregrove described Brigadoon's mining heritage and felt the once evident *place attachment* had dissipated. Shoregrove's Chair and Secretary described a fragmented community characterised by high concentration of social housing; thus, the pair's prevailing perception was residents were less willing to invest locally given their desire for temporary residency:

> I think also the fact that there's social housing, to get people who are buying into belonging or maybe want to live in Brigadoon… So, there's a lot of movement, transient movement. People moving on and so forth. Whereas Silver Isle (I don't know it that well) but imagine they don't have the same amount of social housing that we have. (Shoregrove Chair, 2017)

Referring to process, *Purdah* may have played a role in keeping elected officials at bay. In both cases, the pre-election phase between local election announcement and date of election (i.e., May 2017), coincided with the main charrette event. Whilst Brigadoon's CT later reflected this had little felt impact, another commented a demonstration of Elkfall Council support would have been welcome. Thus, event timing -partially determined by grant spending stipulations (see Chapter Six)- may have undermined opportunities for involvement:

> Ravenburn was lapsing into Purdah in the pre-local election phase. I cannot recall if we had a meeting with all the councillors, certainly we offered to. But we had to take that into account when considering the pre-charrette phase. (Ravenburn DT Lead, 2017)

> We were also pre-elections as well. So, the timing was difficult because councillors couldn't be seen taking part in public activities, having photographs taken. It was purdah; they couldn't be appearing in publicity from the 12, 13 or was it from 14th. (Elkfall Council Officer Participant A, 2017)

> Less visible elected members. (Brigadoon DT Lead, 2017)

> Councillors, where are they? Should be here -it would be a lovely support. (Brigadoon Survey Respondent 30)

> I attended to see if the council cares and this was not clear. People were very disappointed. (Ravenburn Survey Respondent 30)

I have established Shoregrove is generally well-regarded, with notable success. DT Volunteer A speculated whether their *local reputation* -for success- inadvertently curtails wider involvement as there is no obvious need for broader involvement. Brigadoon Survey Respondent 25 admitted, 'I did not realise there was so much to be done by others'. Brigadoon's DT Lead suggested the reason for low turnout was unlikely because 'the community weren't interested' but 'they thought Charlie was doing it and Charlie would sort it out' (DT Lead, 2017):

> That can hamstring you a little bit thought. You can be so capable it can be difficult for other people to see how they can get involved, sometimes. It's difficult to create space for other people to take hold of another element. (DT Volunteer A, 2017)

More outrightly dismissive was the sentiment some people simply prefer non-involvement. As Baker et al. (2010) suggest and the earlier discussion supports, tailored mechanisms help overcome or minimise involvement barriers; however, the *unorganised public* (Baker et al., 2007; Denters & Klok, 2010) may simply prefer to opt-out, despite involvement's ease:

> I'm the chair of the PTA at my daughter's school… it's awful to get people to come along to meetings. Many will say they can't because 'I have the kids,' but also, that's why I am there. We've tried to cater for that, for example, we've tried it and said to people to bring along their kids who can play in the playground and older children are there to watch out. But still nothing… I think it's a very easy one to use, when really you might be away to do something else. (Ravenburn Participant D, 2017)

Penultimately, I question whether *Agreed Process* influenced Inclusivity and Representativeness. The drive for Shoregrove's charrette came from senior group members. Volunteers were demonstrably less committed with Council Officer Participant F describing some volunteers' presence as disruptive. Observation data recorded at most two non-senior Volunteers participating in workshops. The PE may have benefited from greater Volunteer buy-in if the decision to have a charrette was more inclusive. This helped Ravenburn establish a charrette-nest prior to its delivery; although, as described, it was not a panacea for sustained interest:

> At the presentation it was very hard to hear because the Shoregrove group were there in the background at the cafe bit, so I struggled to hear. That was rude. Very

> rude. So, I struggled to hear the ideas they were talking about, I could only look at the pictures. (Elkfall Council Officer Participant F, 2017)
>
> Working equals free time. I didn't go to those meetings, but I do help out Shoregrove in other ways e.g., weeding at the growing space. (Brigadoon Survey Respondent 11)
>
> Didn't go because working in Shoregrove all day, so timings. Couldn't go in the evening with work all day. (Brigadoon Survey Respondent 17)

Finally, Shoregrove Volunteer A suggested the *weather* possibly inhibited involvement. The indoor Community Fun Day -rather than an advertised charrette consultation activity- was less appealing on one of Scotland's rare sunny days. However, evening sessions that took place on what were typically colder, darker days in early spring were also low on numbers. Brigadoon Survey Respondent 24 suggested an eight o'clock finish time was 'too late for the motorbike'. The sentiments show time of day and time of year will nevertheless affect who is able and/or wants to get involved.

		Qualitative Survey Responses Evidencing Apathy
Brigadoon Survey	21	General apathy and the population as a result of dependency, deprivation and disempowerment. In general, severe neglect of Brigadoon and Croftmoor community, Elkfall's forgotten community.
	26	Too many people stuck in the old ways; negativity.
	30	Instead of making the charrette better, just do it. It's like every other idea, heard it all before. Then it's shelved after a year. I will keep supporting Shoregrove, not these events, I'll do it for Shoregrove.
Ravenbum Survey	04	I also would like to say that it is possible, that things have changed, but we are still in the old mind-set of that the council does not get things done properly.
	12	The council are renowned here for their backward thinking so let's hope with the old boys out this Council will have forward thinking insight and attitude. Small businesses here are a closed shop and attitudes much like the old Council. I've found the community too can be pretty negative, so you guys have a huge task ahead. Good luck. The forward thinkers and productive groups are many of the local artisans and especially those involved in Civic Rooms Trust.
	19	None of the ideas will come to anything. I'm not going to waste my time arguing the same issues with the powers that be.
	26	Nobody will be interested in an art group and how we help people especially older people out of isolation.
		Interviewees Evidencing Apathy
Brigadoon Interviewees (Client Team, Participants)		Now, I talked to the people who run the gas shop, I said 'have you been along to that? have you filled in the questionnaire?' Len, who is very good (s/he gives us water for our growing space) says 'ah, well, you won't see anything happening here'. You know, the usual. So, I said, 'well, if you don't do this you definitely won't see anything happening but if you do this there might be the opportunity'… But the idea people think something may be going on around Brigadoon and maybe a few of them may think I can have a say there. So, it stirs-up the stagnant pool as it were. (Shoregrove Secretary, 2017) Yeah, and the apathy was coming through when myself and other housing officers did the door-to-door, chap and chat, try promoting it (Council Officer Participant E, 2017). I think it goes back to what we discussed earlier. The voting, there's a 40% turnout. Now that same apathy is reflected in what we see going on here. I spoke to a number of people who said yes, I'll have to come along and share my views, but they never ever came along. (Shoregrove Chair, 2017) I have found in the Croftmoor area there is a lot of apathy, because it's run-down. It's like, 'what's the point? (Elkfall Council Officer Participant D, 2017) He later said to me, 'You're all dreamers.' I said the charrette was not about being a dreamer, and that I wasn't the 'charrette person' instead I'm here also. (Council Officer Participant A, 2017)
Ravenbum Interviewees (Participants)		With the best intent in the world and it might be brilliant, it just doesn't happen for one reason or another. Because they have sequentially failed, people really turn-off and think it's a talking shop. The big thing I think that doesn't go down well is that all these things are done at a cost. I would bet my bottom dollar, that for the cost of the Ravenburn charrette we could have built some nice toilets (Ravenburn Participant A, 2017) There was a charity, but it died from a lack of interest, which shows you how bad it can get here. They're so conditioned into thinking they can't do anything. One of the women who was on it is a friend of mine, and she's a great resource. She said the organisation just died. Nobody was coming along. So, this [i.e., the charrette] is like trying to kick-start that process again, which is great. There are things that have to get done. (Ravenburn Participant F, 2017) I think when things start happening it'll slay all the naysayers that it's another talking shop, the proof is in the pudding. (Ravenburn Participant D, 2017) A Danish friend of mine came over to East Croftmoor art centre when it opened, came with a crate filled with artwork. Once it was hung it needed to be moved, and s/he said that about here, 'there's no energy!'… There's just no energy. Why can't they find a little bit of energy and the whole town is like that. (Ravenburn Participant C, 2017)

Table 72: Data Summary Table Evidencing Local Apathy

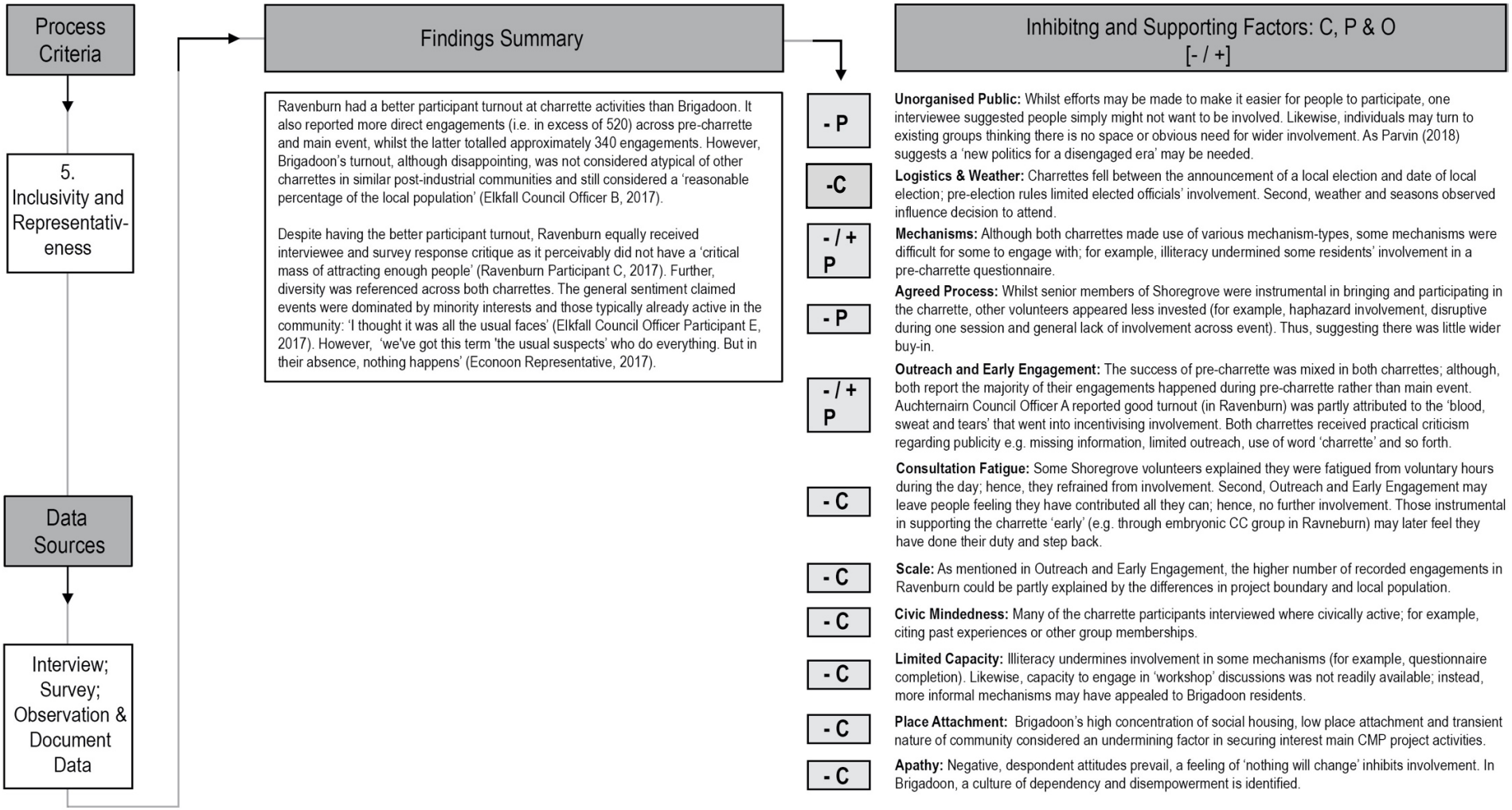

Figure 69: Inclusivity and Representativeness Summary

10.6 Introduction: Process Transparency

The NCI charrette system requires three feedback loops allowing DTs to get it wrong twice. The other reason for feedback loops is to maintain a chain of evidence that showcases decision-making progress. Here, I consider how and what information was shared during the charrette and its post-production phase. Guided by 'Process Transparency' indicators and questions presented in Chapter Nine Table 63, I first discuss to what extent charrettes were perceivably transparent. Then, I turn to supportive and inhibiting influencers, asking:

- What contextual factors could undermine or support delivery process transparency?
- What other process factors could undermine or support process transparency?
- What objective, output or outcome factors could undermine or support process transparency?

Figure 70 summarises Step Three to Five and provides examples (only) of the theorised factors (see diagrams in Chapter Nine).

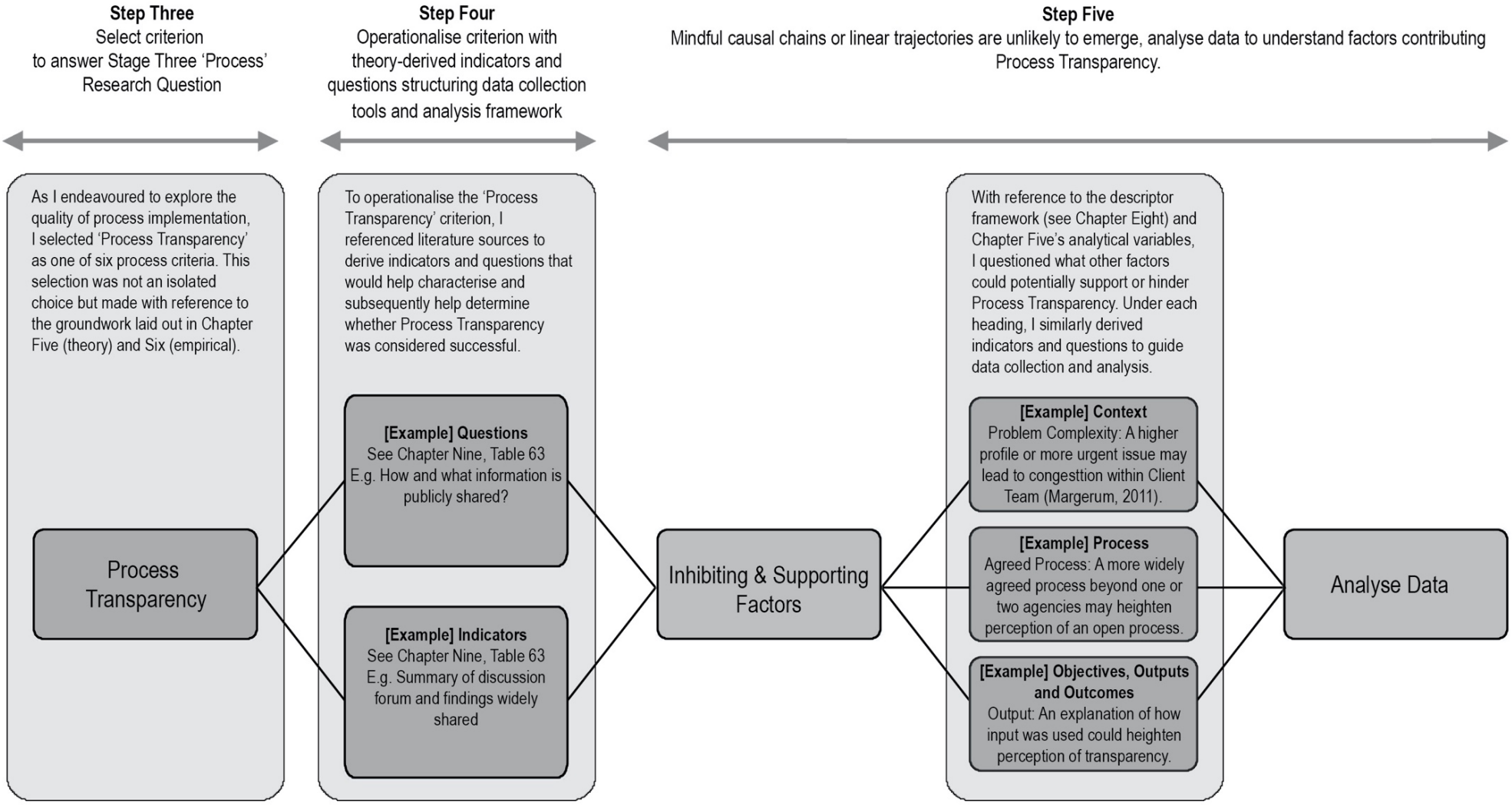

Figure 70: Visual Summary of Analysing Inclusive and Representativeness

10.6.1. Findings

This discussion follows PEs chronologically i.e., during the event, the post-charrette production interim and finally views on output(s). First, Brigadoon's DT shared five newsletters covering each charrette day (Figure 71). Participants that registered at sessions received digital copies and hard copies were available at sessions. This approach has 'always had good feedback' because it distils what can be a hectic process, 'particularly if it's a consecutive day charrette' (Brigadoon DT Lead, 2017). Elkfall Council Officer Participant E, received no other updates and presumed these were the main information source:

> I know emails have went out. There was a sign-in sheet at the meetings so as far as I know everyone at the meeting has got the same email with their newsletters. (Elkfall Council Officer Participant F, 2017)

The final newsletter covered the feedback summit session and explained:

- the DT would be 'busy working away on' a masterplan and community planning output from Spring 2017 till Summer 2017 (Newsletter No. 5, 2017; see Figure 71)
- how input would inform statutory community planning and local development planning outputs
- Elkfall Council and Shoregrove would contribute to proposal development until the final edit
- and how readers could get in contact post-charrette.

Overall, feedback suggested the DT 'have been pretty good at communicating, for example regular emails, newsletters' (Elkfall Council Officer Participant C, 2017), and the weekly charrette sessions had accurately reflected the previous week. Additionally, all Brigadoon Survey Respondents indicated 'aims and limitations' of the charrette 'were communicated' either *clearly* or *very clearly*:

> Friday after Friday I felt what I had heard, witnessed, what was written down; I seen everything there. I did not identify anything missing. (Council Officer Participant A, 2017)

In Ravenburn, participants were kept informed via regular emails, an online bulletin board and social media posts. Online platforms shared work-in-progress presentations and welcomed

feedback. Thus, communication was two-way and offered involvement from a distance. However, some suggested citizens 'missed a lot unless you were attending everything' (Ravenburn Participant D, 2017), and 'the only way to understand it was to go along and do it' (Ravenburn Participant F, 2017). Similarly, Ravenburn Survey Respondent 12 recommended 'information could be shared by web sites' given s/he 'was unable to attend many of the discussions'. Although the DT offered varied sessions and had a strong digital presence, feedback suggest the latter's outreach was limited (also see 10.4 Outreach and Early Engagement). Further, several respondents feared communications would falter and 'decisions will be made which are not transparent' (Ravenburn Survey Respondent 24):

> It will need to engage with people who expressed ideas and even if the ideas do not progress people need to feel they had a say. When people put ideas forward and they are not heard of again people become disillusioned so if any of the ideas put forward are not progressed the person who spoke for them needs to know why. (Ravenburn Survey Respondent 24)

In the absence of 'absolute transparency' one participant suggested 'people will look for an excuse to think things are being kept from them' (Ravenburn Participant B, 2017). Post-charrette, Survey Respondent 31 asked, 'what is going to happen to the Reimagine-Ravenburn Facebook page?', which was primarily used (from output publication to Summer 2018) to post notifications for upcoming CC group meetings only (also see 10.4.2).

Second, the NCI charrette system recommends an agreed, tailored communication strategy, per stakeholder group, in the post-charrette production interim. The charrettes employed different tactics during this phase (see Figure 71). Brigadoon's DT did not return for a public event during output development. Shoregrove became the primary source of information by posting on their e-bulletin for three of the four production months. Some of Brigadoon's participants felt 'confused about how many feedback sessions we[re] needed' (Elkfall Council Officer Participant F, 2017) and suggested they were 'really not sure' following the '27th I'm actually, kind of, at a loss on where we go' (Elkfall Council Officer Participant E, 2017). Evidently, there was some confusion:

> I actually asked Lou, what is the next stage? So, I'm not aware, perhaps I've not read it, but don't know a lot of information on timeframes and when things would be completed by and where to access this final document. That would have been helpful. (Elkfall Council Officer Participant D, 2017)

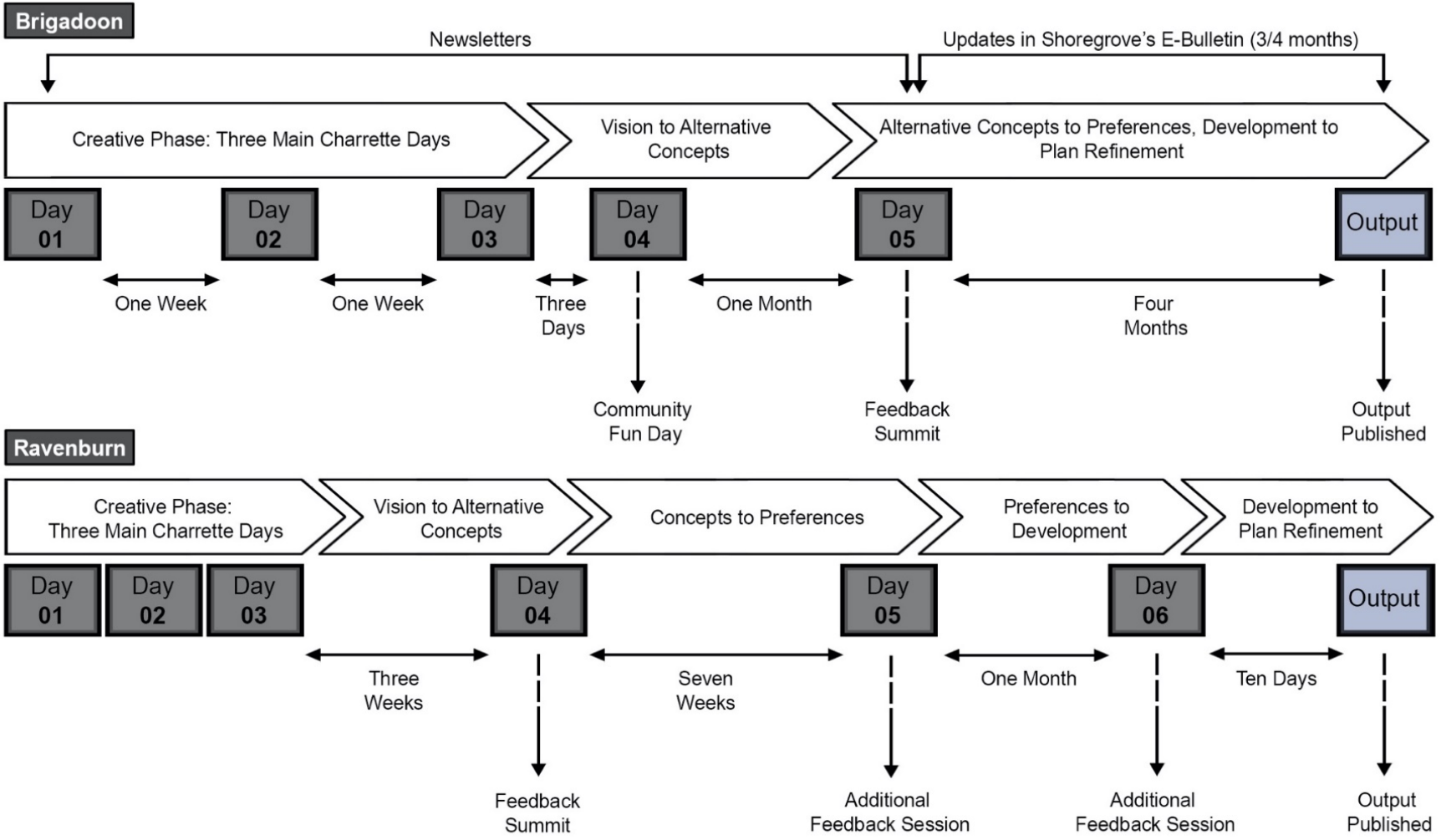

Figure 71: Focussing on communication, this figure shares charrette format for Brigadoon and Ravenburn

Ravenburn's DT hosted two additional public sessions during output development. However, twenty-five Ravenburn Survey Respondents similarly indicated a lack of clarity as they selected either *some* or *no understanding* (in the survey administered) of the next steps (Figure 72).

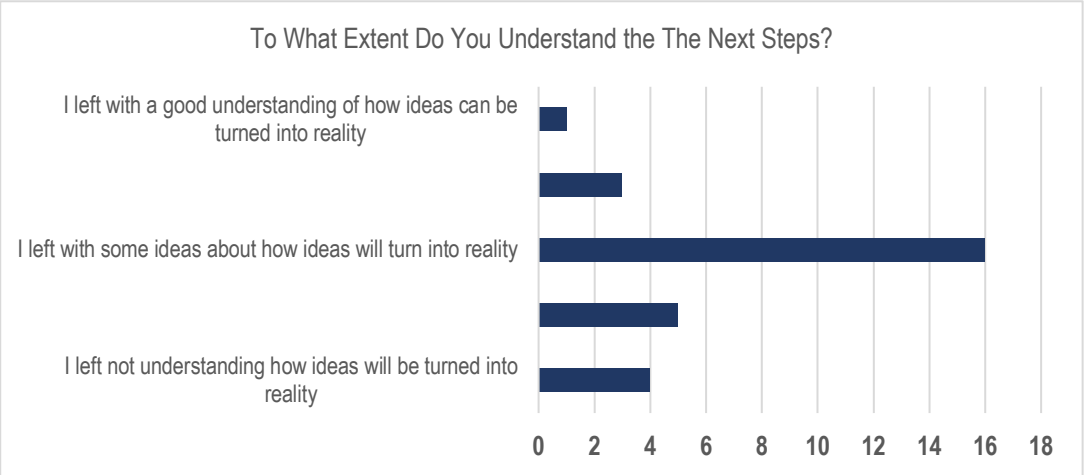

Figure 72: Ravenburn Survey Responses to Understanding Next Steps.

Ravenburn Participant G had little understanding of where to find the pending outputs as did several Survey Respondents appear confused upon charrette close. Interestingly, Survey Respondent 03 complained 'no forward planning group established, no mention of how to stay involved'; thus, questioning how well participants understood the charrette's role in the wider CC initiative. Others echoed this confusion:

> I missed the last session which I believe was to publish the action plan and to look at starting to form the committee that would steer this forward. I've not seen any communication following this meeting, so I don't know how this went or what the next steps are. (Ravenburn Survey Respondent 05)
>
> I'm asking you the questions <laughter> I've heard it's [i.e., charrette report] coming out imminently but not sure where, to who or how to get it. (Ravenburn Participant G, 2017)
>
> I need more information about the projections to make a commitment. As I earlier said perhaps a public website would enlighten me or advertising your projections in the local paper. (Ravenburn Survey Respondent 12)

Rather than shining a light on developments back at the office, these additional sessions may have complicated proceedings for some. Observing 'there was nothing new to come out of it', thus, not thought to be 'very worthwhile' it was perceivably 'a box being ticked' (Ravenburn Participant D, 2017). Another, advocated for a more streamlined process, and Ravenburn

Participant F directly criticised late input, which indirectly highlights the disadvantage of a compressed PE format:

> There's been quite a lot of repetition, which I've not quite understood. It's been looking at the outcome, then looking at the draft outcome now there's a… it needs to be simplified because you're expecting people's buy-in and time. So just needs to be a bit of simplification. (Ravenburn Participant B, 2017)

> Old input because they weren't at the charrette. So, we had already been over this, intensively for three days so it was like, 'come on, why weren't you there?' (Ravenburn Participant F, 2017)

However, the sessions were somewhat useful, at least for the DT: as proposals were shared, one participant was 'getting agitated', claiming 'to know the people who own the site' and complained, 'no-one has been and asked them or told them anything about this' (Ravenburn Participant D, 2017). This participant provided additional details; however, the exchange starts to unpick the quality of pre-charrette base data research.

Finally, findings turn to what was reported and how participants reacted. In Brigadoon, the DT produced the intended outputs alongside a process report, which 'show[s] all the way through there is a clear and transparent process, you're not hiding different results' (DT Member A, 2017). Thus, candidly sharing contributions over an evolving process:

> One thing we always do is document the pre-charrette conversations and it's something we put in the process appendices. We done that in Brigadoon… we also have it on the table at the start of the charrette process, so people can see what happened, what the conversations were pre-charrette. Because it is a process and you might find what happens pre-charrette (in terms of what people are saying) carries on in the actual charrette. Often it evolves. (DT Lead, 2017)

However, two respondents claim their personal contributions were missing at the Community Fun Day, as they were unable to 'see anything from us, which was disappointing because we paid particular attention to some' of the topics (Elkfall Council Officer Participant F, 2017). Suspicious, the pair re-wrote and photographed contributions. Further, the same Elkfall Council Officer Participants suspected comments attributed to certain demographics were disingenuous. Although, the additional sessions were not all positive in Ravenburn, the silent gap in Brigadoon's process resulted in some questioning where proposals had *come from*:

> I don't know what happened in between the meetings. Between the [Community Fun Day] and the 27th. By the 27th all their drawings were up and things, it's like, 'where's that come from?' Before it was presented to us had it been presented to

> someone else to get the go-ahead before it's presented to the public to view? You don't know. (Elkfall Council Officer Participant F, 2017)
>
> When I was looking at the kids' stuff, some of the answers didn't sound like it was from a kid. You know, when you saw stuff like skate parks, murals, graffiti art, I thought that's a kid… Then it was, we want something done with those big horrible rocks along beach, something to hide them, maybe some plants or wildflowers and I went, 'that's not a kid! I'm sorry, but that's not a kid'. I said, 'Ines, come look at this. What is this?' S/he went, 'No, that's not been a kid, certainly not a kid from Brigadoon'. There was a couple of them thrown in and I'm just far too suspicious. (Elkfall Council Officer Participant E, 2017)

In Ravenburn participants implied the outputs bore relation to the process. Participants suggested they 'could relate' and 'formed the impression that was something that [they] might have mentioned' (Ravenburn Participant A, 2017); the DT 'were being very much led by what people were saying' (Ravenburn Participant D, 2017); and the 'bigger vision for the town' was broadly informed as 'they [i.e., DT] really seemed to have listened to a lot of people' (Ravenburn Participant B, 2017). However, not all agreed.

Survey Respondent 29 -an outrightly critical respondent- suggested the exercise was all a hoax, enabling the 'council to control people and business of Ravenburn and Dovecote' whilst providing an opportunity to funnel 'money to other organisations'. Echoing this cynicism, another reflected the charrette had been 'a terrible wasted opportunity, as though the outcome had been decided before the charrette began' (Ravenburn Survey Respondent 03). Suspecting 'the usual committee' were 'making the decisions supported by their business contacts with minimal input from the ideas from the community', Survey Respondent 17 doubted the charrette was ever truly influenceable.

Lastly, an Auchternairn Council Officer wondered how one project made the final edit: 'How do we get from no need, no desire to one of the projects being another community-built playpark?' (Auchternairn Council Officer A, 2017). Despite early discussions suggesting a surplus of unused recreational space, and feedback on draft outputs from Auchternairn Council reiterating this point, perceivably needless proposals were included. Whilst there may be an evidence base, the complaint is that it was not conveyed. Hence, weakening transparency through hazy output development.

10.6.2. Inhibiting and Supporting Factors

I reference six process factors inhibiting and/or supporting Process Transparency. The * in Table 73 signals factors unanticipated; the others, more directly or by extension fall under one of the pre-empted categories.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Problem Complexity	--
	• Community Relations	--
Process	• Agreed Process	• Agreed Process
	• Participatory Mechanisms	• Participatory Mechanisms
	• Information Provision / Agreed Communication Strategy	• Communication Strategy
		• Technical Problems
	--	• Process Format*
	--	• Process Independence*
Objectives, Outputs and Outcomes	• Output Content	--

Table 73: Summary of Anticipated and Unanticipated Influencing Factors

Chapter Eight found Scotland's charrette has been extremely malleable and the Scottish Government has not been strict on implementation: 'I noticed on this [interview schedule] was like: 'What is the form of a Scottish charrette?' and there is really no definition' (Participant C, Scottish Government Representative). Brigadoon's DT Lead suggested the disaggregated approach is the 'best kind of charrette because it allows you time to gather your thoughts and do things properly'. The 'staggered out' model better harnesses the 'the principles of good ASSET based community development', compared to the typical 'implementation, language and parts of the design charrette' (DT Volunteer A, 2017). Evidently, a one-size fits all approach does not work.

However, the non-consecutive *process format* played a role in undermining Process Transparency in Brigadoon. Given participants' stop-start involvement and a perceived contribution omission, some grew distrustful of CT and DT behind-the-scenes interactions:

> Wondered what discussions were going on behind closed-doors between Shoregrove and Lou [i.e. DT Lead], if there was any communication there? Which we weren't involved in. (Elkfall Council Officer Participant F, 2017)

The same Council Officer Participants felt the charrette although not 'written in stone' officially, observed the project becoming 'Shoregrove's baby' (Elkfall Council Officer Participant E, 2017). These Elkfall Council Participants -unsure of their mandate (see 10.3 Communication), absent from defining problem and PE objectives (*10.1 Agreed Process*) and observing

Shoregrove's heavy hand in workshop sessions (*10.2 Process Independence*)- were not convinced the PE was demonstrably transparent. This was further compounded by weeklong gaps between sessions and relative quiet during output development. With reference (again) to Agreed Process, an Auchternairn Council Officer struggled to comprehend project justification given their feedback was perceivably discounted. Without agreement on what to expect from the start, the PE remains hazy for some in the latter stages.

Next, *participatory mechanisms* played a role in Brigadoon. The Place Standard tool guided the first workshop, whilst the second and third recorded likes, dislikes, gaps, known actions, known future actions and improvement needs for different areas of Brigadoon. The fourth session included a manned exhibition of emerging, draft actions (see Figure 71, 73 & 74). Workshop activities extracted information but did not progress to participatory weighting, ordering or generally narrowing-down content, which is typical of an NCI Charrette (see Figure 73). Despite more interactive, participatory opportunities in Brigadoon than a typical NCI charrette (see Figure 73 and 74), there was less progression.

Respondents noted the event was primitively cumulative. Almost one year later, Shoregrove reflected the 'opportunity for further rounds of screening, sifting, ranking and grouping of recommendations' was 'a critical area' (Shoregrove Secretary, 2018):

> So, you need a more laboured process with all your little post-it notes to say, right which ones?... which, you do see in some good facilitation e.g., which ones seem to be similar? And the people themselves say 'well that goes with that'. So, you get this grouping and then beyond that, you need something more than that to say, right, how would these fit together? Are some superfluous? So that sort of filtering. (Shoregrove Secretary, 2017)

> Although our editing brought greater focus to the final plans, a further pre-implementation round is probably necessary. This might involve further grouping, linking and prioritisation of individual and groups of recommendations. It might even be useful to start identifying costs for different constituent sub-projects. (Shoregrove Secretary, 2018)

As interviewees expressed a preference for a more progressive, cumulative process they too struggled with imagining an appropriate *process format*. Building in a 'slightly longer break in between the ideas getting formulated and maybe two weeks later coming back with a whole series of visuals' may 'have been more useful' (Shoregrove Volunteer A, 2017). However, the same interviewee was concerned 'you want to also build momentum' and 'there is a finite time to keep people' interested (Shoregrove Volunteer A, 2017); nevertheless, a session to 'get

some weighting between the ideas' would have been helpful (Shoregrove Volunteer A, 2017). Arguably, days four and five offered an opportunity to revise and comment on emerging ideas but it leapt from predominantly idea-generating sessions, whilst production was arguably managed back at the office (see Figure 74).

Communication strategy was seen to play a role. In Ravenburn, some felt additional sessions had no real value, complaining 'this is just going over all the stuff, you could have sent an email' (Ravenburn Participant D, 2017). In Brigadoon, Elkfall Council Officer Participant F was hoping to understand output content quickly before making bid decisions in his/her professional capacity. However, struggled with communication and timescales:

> The work I'm wanting done, it's quite a quick-paced thing for me. It's not just going to be a couple of days-worth of work, for me, it'll be months-worth of work. So, I need to know from them quite quickly what their outcomes are, their objectives are so I can chip-in if possible. If you've got an answer for that that would be great. (Elkfall Council Officer Participant F, 2017)

With many Ravenburn Survey Respondents indicating uncertainty over next-steps and an absence of communication creating uncertainty in Brigadoon, it would be difficult to conclude more communication is the answer. As the NCI charrette system warns, without a tailored communication strategy per stakeholder group heresy may manifest leaving some a little lost:

> Tonight's meeting, I believe there's twenty-three action points to be discussed. This is what I've heard through someone else who seems to know more about this than I do. But I don't know what their sources of information are. It's all about trying to keep in the loop. (Ravenburn Participant G, 2017)

Lastly, *technical snags* inhibited communication in Ravenburn as Econoon realised late in the process, their 'account cannot send to more than twenty folk at one time', hence, a 'lot people weren't getting told about meetings in advance' (Ravenburn Participant B, 2017). Despite '90-odd people on the email list' it came to light 'many do bounce back' (Ravenburn Participant D, 2017). Ravenburn Participant F was likely one of the affected participants: 'I don't think I'm on their email list. I have given my email, but don't get emails from them. So, CC group, I have no idea' (Ravenburn Participant F, 2017).

Even when emails reached participants some may have missed notifications amongst many others: 'I have an iPhone and I lose my emails in it' (Ravenburn Participant G, 2017). Participant G also found downloading content on their phone difficult, which is especially relevant when digital dissemination takes precedence. Given there was a 'limited number of

paper copies available' in two town locations (Econoon Representative, 2017), accessing output(s) in an audience-friendly format was evidently difficult for some. In Ravenburn's case, the full charrette report was just under fourteen megabytes [i.e., 14 MB], whilst the summary report was over 4.5 MB:

> I've heard the charrette report is so big they cannot share it directly through email. It's too large. Instead, it's to be uploaded to the cloud, then you can download it. (Ravenburn Participant F, 2017)

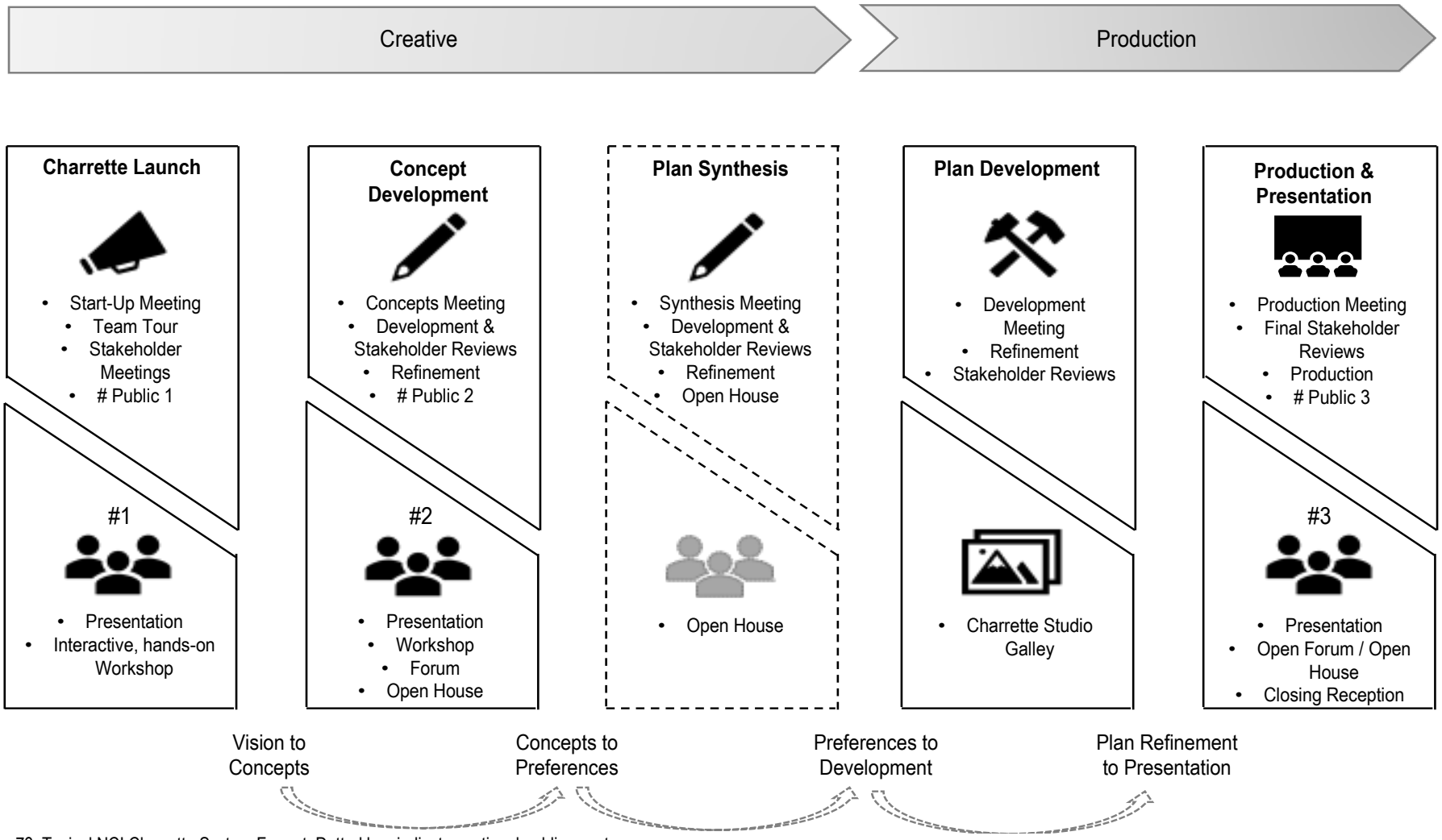

Figure 73: Typical NCI Charrette System Format. Dotted box indicates optional public event.

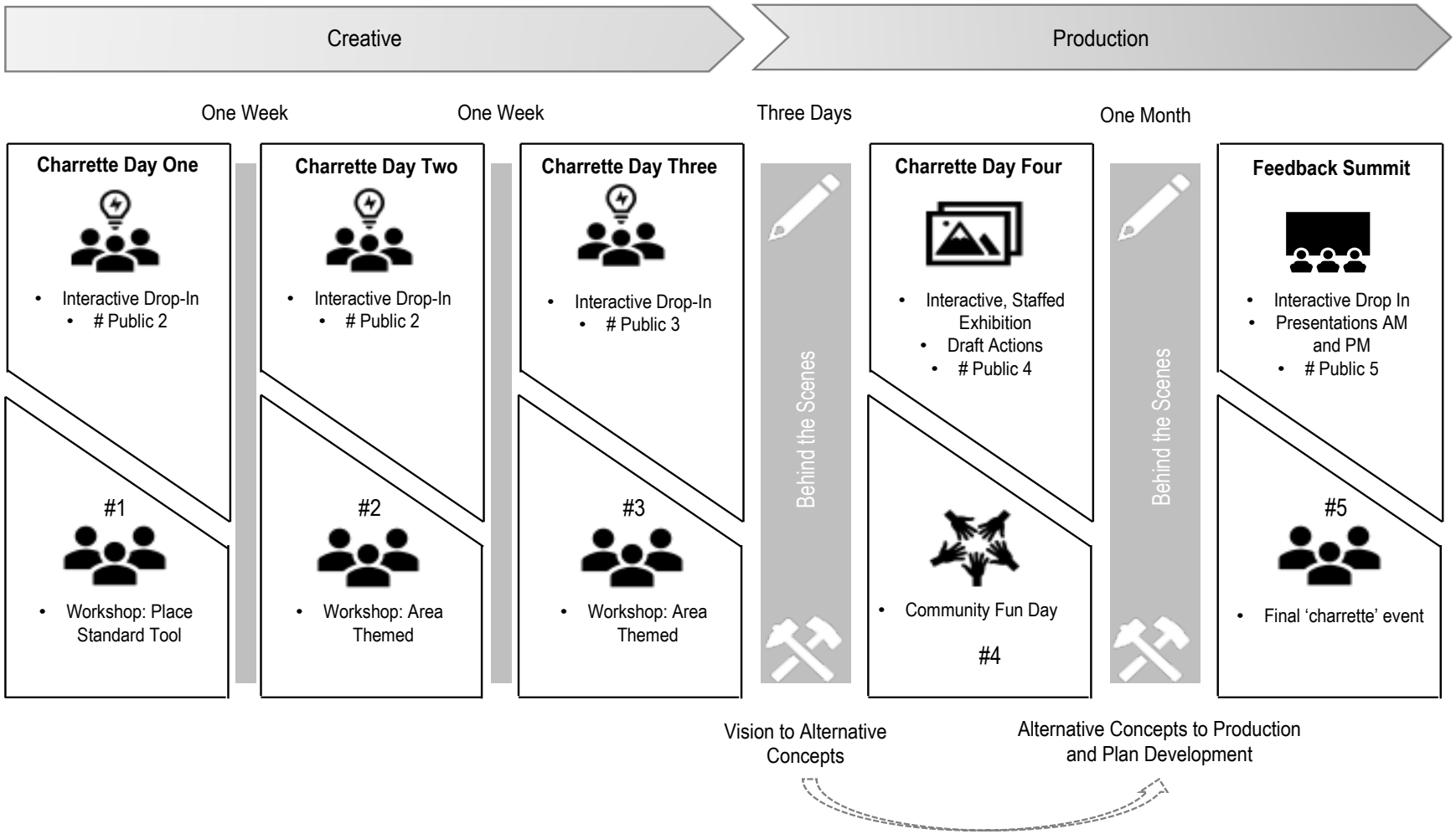

Figure 74: Brigadoon's CMP Process Format.

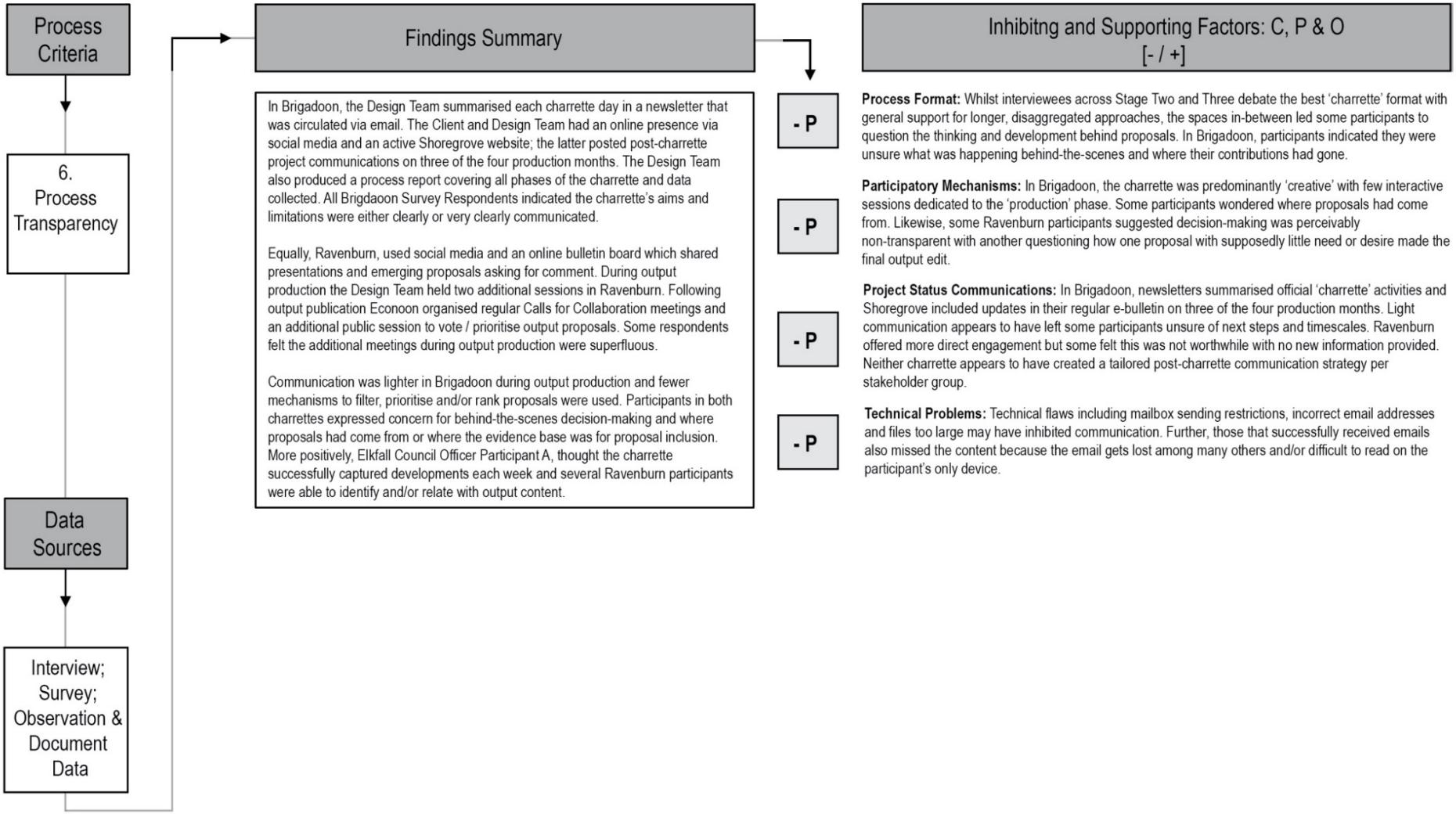

Figure 75: Process Transparency Summary

10.7 Introduction: Output Endorsement

The CMP grant award requires a charrette output; typically, a report. With no official weight, the contents may endeavour to inform statutory policy documents (see Chapter Seven and Table 29). Therefore, valid questions include who endorses outputs, to what extent is wider buy-in secured and what impact or influence is evident? Guided by Output Endorsement indicators and questions presented in Chapter Nine Table 64, I first discuss to what extent outputs received wider buy-in beyond the primary CT. Then, I turn to supportive and inhibiting influencers, asking:

- What contextual factors could hinder or support output endorsement?
- What process factors could hinder or support output endorsement?
- What objective, output or outcome factors could hinder or support output endorsement?

Figure 76 summarises Step Three to Five and provides examples (only) of the theorised factors (see diagrams in Chapter Nine).

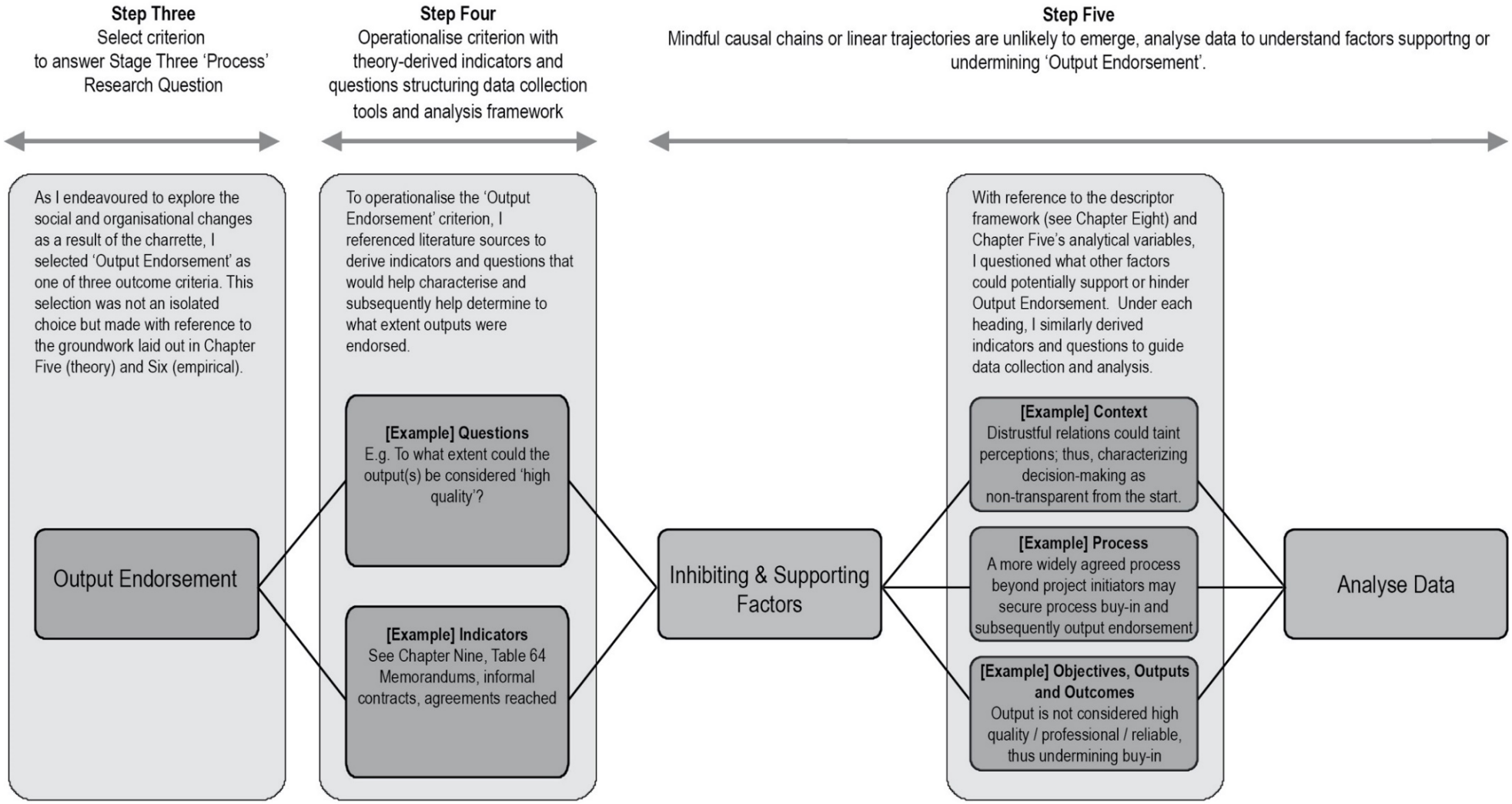

Figure 76: Visual Summary of Analysing 'Output Endorsement'

10.7.1. Findings

Brigadoon published three reports - a spatial masterplan, a community action plan and process appendix- approximately four months following the feedback summit. Output endorsement was evidenced in several ways. First, the DT's trademarked charrette methodology always endeavours to find a legislative home for outputs. Therefore, the DT consider their outputs to, almost always, have 'influence' as they embed in local policy:

> Hoping, not hoping, it will feed into the community planning process and the planner will take note and feed it into the LDP. I like to think this is something about [our trademarked model] that is a bit different, we definitely make sure it feeds into something. (DT Lead, 2017)

Second, on receipt of draft outputs, Elkfall Council Officer B reported there was 'nothing to frighten the council', and emerging outputs would be 'an important input into the LOIPs now' statutorily required by all Scottish authorities (Shoregrove Secretary, 2017). Follow-up communications in 2018, confirmed the final outputs had influenced 'local planning arrangements for the area and ha[d] effectively become the foundation document for a neighbourhood planning approach for Brigadoon North' (Elkfall Council Officer B, 2018). The documents were also shared beyond this council department and thought widely referenceable with 'partners from the third sector and voluntary groups all taking the responsibility for aspects of the final charrette report' (Elkfall Council Officer B, 2018). The action plan reports Elkfall Council's Community Planning Partners have 'signed up' to four local plans: one is the charrette's action plan.

Third, Elkfall Council Officer D that attended the charrette with the impression s/he would answer questions on council-led proposals, indicated the charrette doubled-up as a consultative exercise helping to revise and ratify site proposals; however, during the charrette 'people didn't really pay too much attention to them' (DT Lead, 2017). Acknowledging there was little scope for major change and outputs successfully 'tied into earlier draft designs', the outputs have nevertheless been impactful:

> Clarification of what people wanted has led to the earlier designs being used/amended, as a consultation process of some sort would have had to be carried out anyway, so the charrette was a superb help and well timed. (Elkfall Council Officer Participant D, 2018)

> The process has also resulted in a more detailed design proposal for the beach proposal. (Elkfall Council Officer B, 2018)
>
> The Council have been reworking Phase 1 plans for the beach with some wok [sic] by Parks due to take place this month. (DT Lead, 2018)

Fourth, Elkfall Council Officer Participant F in 2018 described using charrette outputs for their in-departmental publications. Therefore, as anticipated, charrette findings are broadly referenceable as departments 'can come along and draw information out' because discussions were not 'shoehorned in' (Elkfall Council Office B, 2018). Fifth, as a new Community Council was established, the group 'expressed a desire to use the output initially as part of their statement of priorities for the area' (Elkfall Council Officer B, 2018). Overall, plan endorsement is evidenced as local government and non-governmental agencies use charrette outputs. With reference to Margerum (2011, p 127, 129), it appears there is 'adequate stakeholder commitment' as the identified 'objectives link with plans and approaches of other entities'.

With reference to output quality, Shoregrove was 'reasonably happy with the end product' but would have preferred 'further rounds of screening, sifting, ranking', as mentioned (Shoregrove Secretary, 2018). Although a process appendix describes 'the process for developing the plan' via a compilation of all materials shared and input collected (Margerum, 2011, p 129), proposal development was largely expert-driven (see 10.6 Process Transparency). Therefore, despite openness around what input was collated, how citizens were involved and the charrette's procedural implementation, the rationales behind proposals and '*how* data was used' seems less clear (Margerum, 2011, p 129; emphasis added).

With reference to Margerum (2011, p 126), the action plan identifies objectives with supporting priorities and actions; thus, narrowing down the often 'feel good' nature of objectives and maintaining continuity as they can be traced back to the report's major themes. However, actions remain general without evaluative measures, a timescale, an expectation of effort or identified resources and agencies (and/or individuals) to progress proposals (see Table 74's example). An earlier draft action plan considered action timescales, partners and funding sources; although, the majority of draft actions were blank against 'partners' or 'funding' headings. Therefore, final reports appear strategic and indicative in nature; a collection of ideas rather than actionable items supported by a proposed intervention strategy and an M&E

plan. However, the masterplan is clear: the document should 'guide' proposal development and 'allow discussions to take place' in the coming months and years.

Theme and Objective	Priority	Action
Wayfinding: Improving access and use of town centre; connection to beach; and around and beyond Brigadoon.	Improve Public Transport.	Increase frequency of buses and improve access routes; for example, to new Euanbriggs Railway Station.

Table 74: Example of Modified Objectives presented in Charrette Report

Further, as the outputs link to community and spatial planning -therefore describing how input will be used in local planning arrangements- they are light on the 'political, legal and administrative contexts' (Margerum, 2011, p 129). Although, 'background information' is presented via the inclusion of posters shared at the charrette and several factual bullet points, the reports do not include a wider, historical, socio-economic analysis or review of previous and/or on-going initiatives. The focus remains procedural and on input gathered. The 'information input' is also limited to local views; although, the breadth of local views is discussed in 10.5 Inclusivity and Representativeness. With reference to Lennertz and Lutzenhiser (2017); Margerum (2011) and Chapter Six's *power to convene*, outputs do not rest on a multiplicity of knowledge sources i.e., a mix of local and expert. The process and its output rely heavily on local perspectives drawn from church leaders, a community questionnaire, school engagement, local businesses and groups, Shoregrove and Elkfall Council. Reference to a broader set of service providers, national stakeholders or 'experts' was not found.

In Ravenburn, less than two weeks following the official feedback summit, a full and concise charrette report was published (see Figure 71). Like Brigadoon, the reports explained the process for output development, identifying who was involved and input collated. The reports included an analysis section presenting findings from expert-led input; therefore, the 'information input' was broader -bringing the project more in line the charrette's ethos of fusing expert and lay perspectives- and 'context' was more thoroughly explored (Margerum, 2011, p 129). Overall, comprehensive outputs; however, they do not escape criticism (see 10.6 Process Transparency). As the full report neared two-hundred and fifty pages and the summary report just over seventy, striking a balance between a 'publicly accessible' and professionally impactful piece was expectedly challenging:

> We want a publicly accessible report but also want a report that will be influential with professionals. Those two things are in tension with one another; the more details you put in the less publicly accessible you make it and the less detail you put in the less professionally credible it is. (Econoon Representative, 2017)

Further output quality was questioned as was its evidence base. In near final iterations *Ravenburn* was reportedly misspelled consistently[67], references to a missing appendix appear in the final (full) report and one interviewee felt data collection remained light. That is, limited to research conducted part of pre-charrette. Ravenburn Participant D felt local terms were missing in project descriptions, underscoring the 'outside' authorship and a local knowledge deficit:

> I noticed that they've referred to East Marina as East Quay. So, people reading that will go, 'where is East Quay?' It's the East Marina, that's what it is called locally. There was another thing. They've referred to Fort Commons as Fort Greens. It's things like that. No-one would have referred to those places using those terms… it's just silly little things like that makes you aware it's not a local, there's not local knowledge. Which is re-assuring, when there is local knowledge. (Ravenburn Participant D, 2017)

As discussed under 10.6 Process Transparency, 'the rationales behind the decisions' (Margerum, 2011, p 129) was not clear to all. Auchternairn Council Officer A struggled to 'see' justification, which was left unresolved when questioned:

> It's a fully kitted out glass-blowing studio, and in the first iteration of the report I emailed Mx J Doe at DT A to say, 'regarding this project in question, did you know that the third sector interface, who were at the charrette, have opened a Glass Studio?' I didn't get a reply to that. (Auchternairn Council Officer A, 2017)

However, with reference to 'plan communication', the report's fifty-nine projects organised via four themes are preceded by a discussion on strengths, challenges and aims that link to qualitative excerpts from charrette participants (Margerum, 2011, Ch. 5). Thus, outlining the problem and goals that led to project proposals. Proposals were also accompanied by project descriptions and visual project sheets, recommended delivery partners, possible funding sources, anticipated timescales, current priority listing and suggested next steps. Ravenburn placed greater emphasis on delivery proposing a possible route map with starting recommendations.

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[67] As noted in Chapter Three, draft outputs were not made available. Hence, some details are drawn from interviewee data only.

Although a comprehensive output, Ravenburn Participant F felt ‘there are aspects that they didn’t cover, which need to be covered, for example, the railway situation’. Omission of important issues ‘will be the problem with the report’ (Ravenburn Participant F, 2017). Document data shows whilst the report does not make a biased argument to inform railway operator decision-making it nevertheless includes residents’ qualitative excerpts, and physical improvement proposals related to the railway terminal.

Further, at the time of Econoon’s independent community consultation to vote and prioritise output proposals, Auchternairn Council departments that had been identified as key delivery partners had reportedly not sanctioned output contents (see 10.1 Agreed Process). The full report recommended Auchternairn Council recognise the ‘fit’ between outputs and relevant planning policy. Together, it appears outputs did not receive sanction as quickly or the same level of enthusiasm as reported in Brigadoon. Survey data and personal communications in 2018 suggested some individual Auchternairn Council Officers were keen to incorporate charrette output findings into local planning policy; for example, future iterations of the LDP:

> As a planning officer working for Auchternairn Council, I attended a few of the events as an observer and to see where we might incorporate any appropriate outcomes in the next Local Development Plan which we have now started preparing. (Ravenburn Survey Respondent 22)

Follow-up communications further suggest ‘there has been significant buy-in’ from ‘new’ councillors ‘and some more engagement with local officers’ (Econoon Representative, 2018). Another Auchternairn Council Officer has been able to ‘reengage’ with the monthly CC group meetings and since been ‘helping to move a Ravenburn Rafting project forward’ (Auchternairn Council Officer A, 2018). Lastly, demonstrating a degree of output endorsement is others’ use of the report(s) as an evidence base to pursue external funding for their agency’s interests. Therefore, the outputs’ credibility is perceived to satisfy funding eligibility requirements:

> I'm sure to be able to back anything up, to say, 'well, it's came out of a charrette, we need it! The people have spoken’. So, it probably will be helpful for that. (Ravenburn Participant D, 2017)

> I've asked for snippets because I've put in a funding application and spoke to them asking if they would give me some supporting evidence for something. Actually, that's going to be a really useful document for me to get other funding. (Ravenburn Participant B, 2017)

> I'm really interested in it [i.e., output] because there's aspects I have contributed to, and also aspects of it I can use. Especially on cycling. (Ravenburn Participant F, 2017)

10.7.2. Inhibiting and Supporting Factors

I conclude Brigadoon received greater output endorsement than Ravenburn and identify four factors influencing Output Endorsement. Those marked with * in Table 75 were not recorded in Chapter Nine and signal a factor unanticipated; the others, more directly or by extension fall under one of the pre-empted categories.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Community Relations	--
Process	• Agreed Process	• Agreed Process
	• Process Independence	--
	• Inclusivity & Representative	
	• Process Transparency	
	--	• Lack of Ownership*
Objectives, Outputs and Outcomes	• Output Quality	• Output Quality
	• Internal Communications	See Agreed Process
	• Participation Goals	See Agreed Process
	--	• Professional Gain*

Table 75 Summary of Anticipated and Unanticipated Influencing Factors

First, output endorsement was undermined by diverging workstreams. Although a joint client, an Econoon Representative said it was 'iffy to say' but Auchternairn Council were 'strictly speaking' not a joint partner, whilst Auchternairn Council felt they had a fairly important role: 'We believe that by not consulting us, there was a basic flaw at the heart of the whole process. Without us how are they going to pull forward some of the potential projects?' (Auchternairn Council Officer A, 2017). This disjointedness, harking back to *10.1 Agreed Process*, appears to have hampered charrette development, delivery and subsequently, post-charrette timescales.

As Econoon laid out a 'game plan' (Econoon Representative, 2017) for further public consultation after output publication, Auchternairn Council Officer A expressed concern. Concern projects lacked infrastructure, resource and economic development logic, which could stunt progress and dilute projects to a hollower Wishlist. Both CT agencies were well-intentioned. One wanted to maintain momentum via the CC group and community-led projects -which many reports note is the biggest post-charrette challenge- and the other wanted to legitimise projects through administrative structures. This is arguably an example of different

internalisations of public participation unpacking within the same episode. It underscores a need to better understand partners' concerns, needs and intentions however loose the partnership may be.

Second, there is a concern for *output quality* that links to 10.1 Agreed Process and understanding what would and would not be included in DT services. Base data research was conducted pre-charrette, which Auchternairn Council anticipated to be further developed over the course of the charrette. Acknowledging a finite budget, 'resource implications, [and] lack of peoplepower', the research was considered primitive: 'But you can't possibly include economic development in the report if you're not going to properly research it' and the output never 'never changed from the first draft to the last. That was hugely disappointing' (Auchternairn Council Officer A, 2017).

Finally, within the Ravenburn context, there may have been a *lack of ownership* over charrette outputs that could be attributed to the CC group's embryonic status. For example, one participant part of the still-forming CC group admitted 'it would not have entered my head to make that [i.e., report] public', instead assuming 'it's up to Mx J Doe from Econoon to do this [i.e., share the report], but it's not, that's very silly of me to think s/he has to do it <laughter>' (Ravenburn Participant D, 2017). Additionally, a takeaway point may be to include explicit instructions e.g., 'it should be in the email i.e., please share this report' (Ravenburn Participant D, 2017) in these early days.

In Brigadoon, the process was found to lack wider buy-in from the outset, be influenced by both CT agencies, to attract a limited set of interests and to not include three feedback loops as part of a cumulative, progressive project (see 10.1 – 10.6). However, the outputs were widely endorsed. Why?

The charrette was a relatively inexpensive PE -Elkfall Council Officer B said, 'couldn't do that again' for the same cost- which would deliver some useful findings that could be incorporated into statutory planning outputs. Previous charrette outputs had proven valuable grounding other local authority policy documents and leveraging funding:

> In a previous larger charrette, it was a town centre which was threadbare, needing upgrading… It [i.e., the charrette] gave us a general direction of travel. We started to take that on, moved it forward into an urban design strategy, which drew from the charrette too. It was done by UDDS. So [they] thought rather than us produce a design strategy before the charrette, can we ride along with the charrette?... July

> we should be kicking off. It's a few years down the line but as I say it's a £1.1million project, managed to get the money together, and it's got the backing of the charrette from 2013-2014. (Elkfall Council Officer B, 2017)

Similarly, Elkfall Council Officer D saw an opportunity for the charrette to serve as the consultative process that would be required for his//her department's proposals. In Ravenburn, Survey Respondent 22 attended because it could help with his/her LDP development. Hence, a willingness to endorse findings. Even at draft output stage i.e., before subsequent editing to bring 'greater focus to the final plans' (Shoregrove Secretary, 2018), Brigadoon's content usefully informed the newly statutory LOIP. In short, the charrette is preferably generic: 'the broader the conversation, I think, the better' (Elkfall Council Officer B, 2017). Therefore, it is pliable enough to satisfactorily tick-off several requirements and offer several participants *professional gain*.

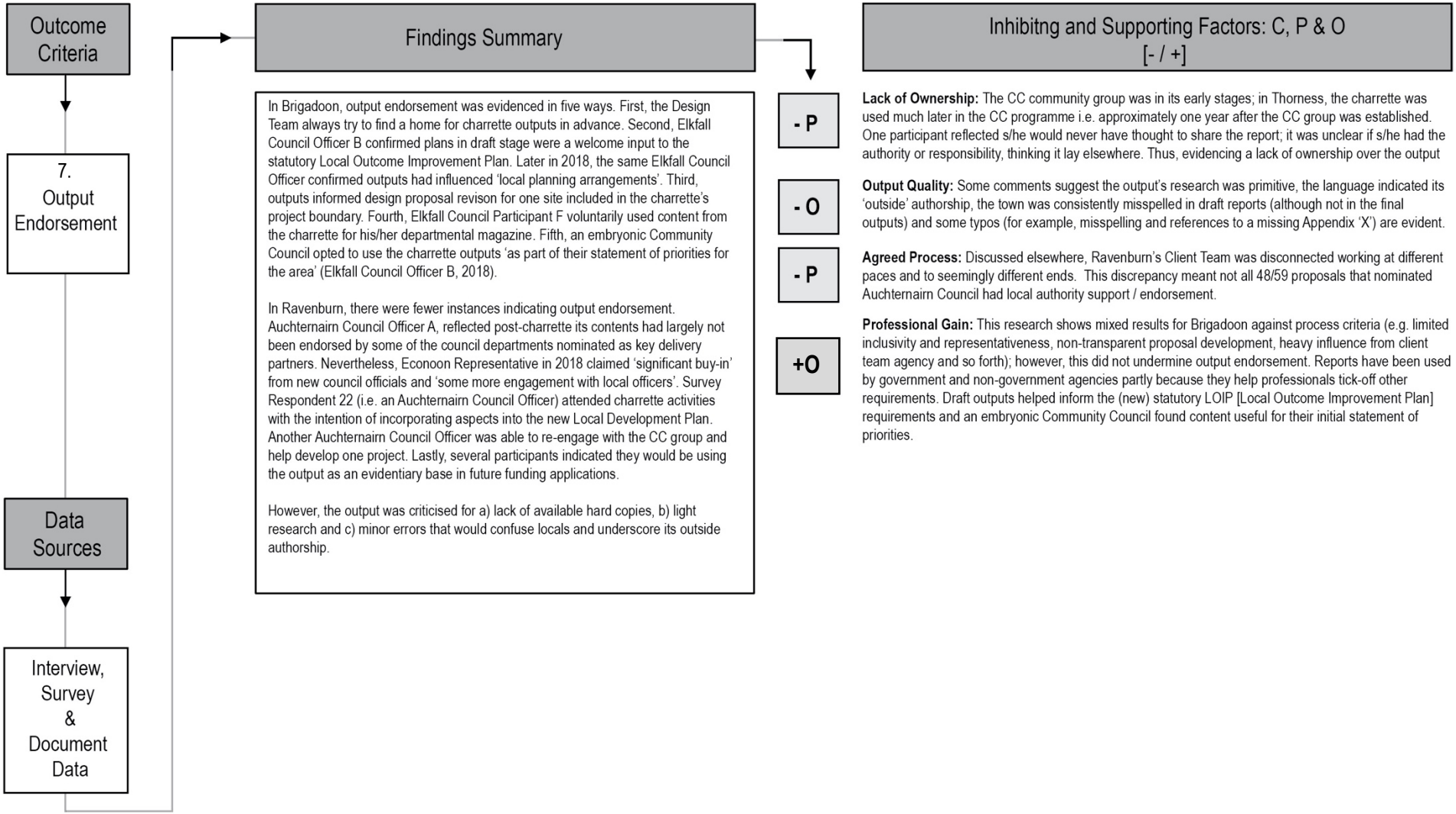


Figure 77: Output Endorsement Summary

10.8 Introduction: Emerging Arrangements

As discussed throughout, asking 'come Monday morning how do things change? (Professor Sanoff, personal communication, 2017) is one of the most poignant questions in determining a PE's value. Guided by Emerging Arrangements indicators and questions presented in Chapter Nine Table 64, I first discuss to what extent emerging arrangements can be identified and attributed to the charrettes. Then, I turn to supportive and inhibiting influencers, asking:

- What contextual factors could hinder or support emerging arrangements?
- What process factors could hinder or support emerging arrangements?
- What objective, output or outcome factors could hinder or support emerging arrangements?

Figure 78 summarises Step Three to Five and provides examples (only) of the theorised factors (see diagrams in Chapter Nine).

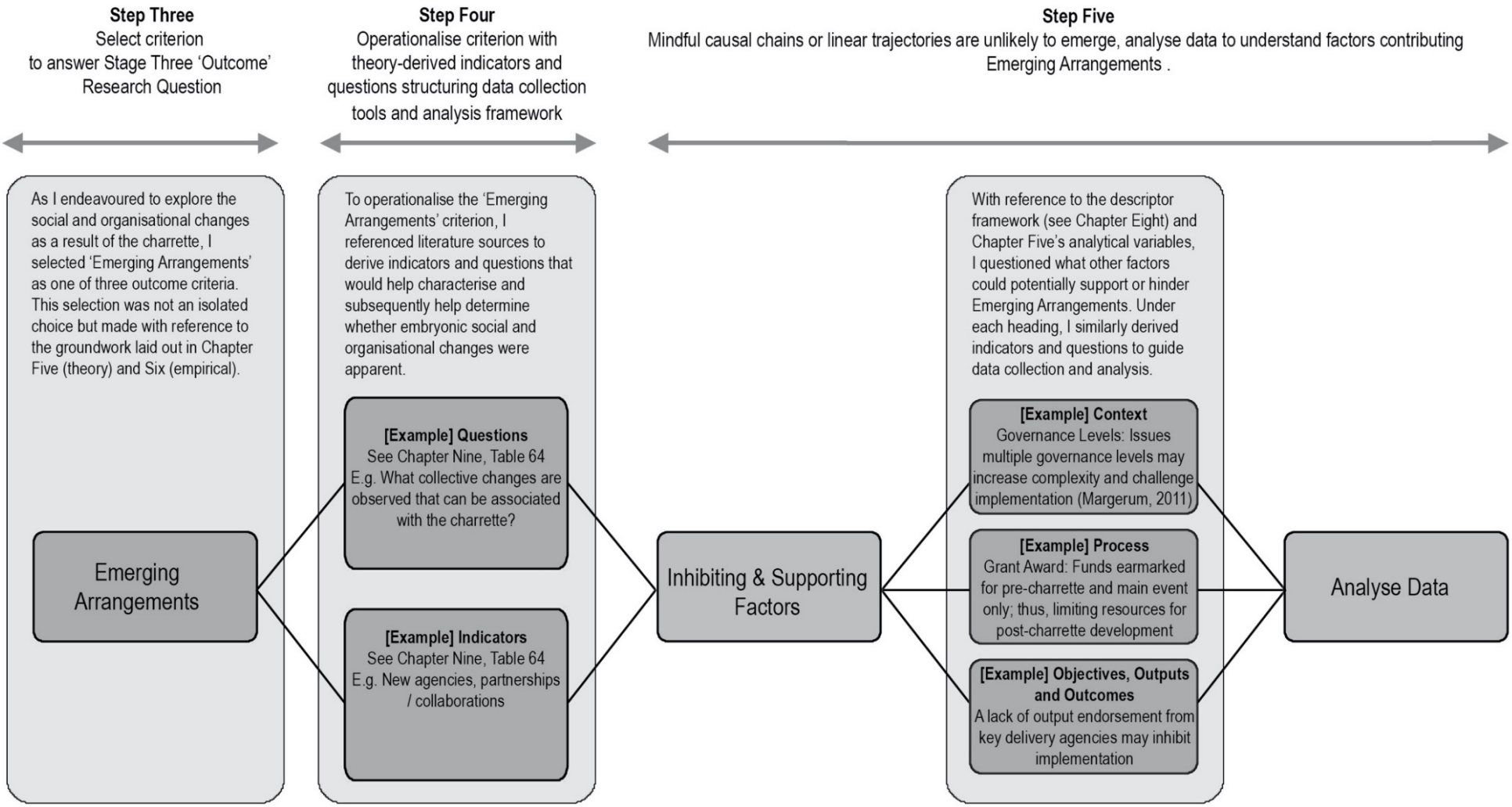


Figure 78: Visual Summary of Analysing 'Emerging Arrangements'

10.8.1. Findings

Follow-up communications, interview and survey data suggest informal, speculative changes can be cautiously attributed to the charrette. These are not definitive wins but slow growing green-shoots only. In Ravenburn, a CC group member writes, 'things are moving pretty slowly, as suspected, but still moving! I haven't given up all hope yet!' (Ravenburn Participant D, 2018). Slow progress was similarly reported in Brigadoon as Shoregrove's Secretary reflected the charrette has to a 'very limited extent' identified new local champions (i.e., new Shoregrove Volunteers), secured commitment (e.g., funding) or assigned project responsibilities (Shoregrove Secretary, 2018).

Nevertheless, charrette involvement has sparked connections: 'You might not see the relationships quite yet but further down the line you'll see if that didn't happen then these people wouldn't have met (Ravenburn Participant F, 2017). Charrette involvement helped one participant better understand 'there're agencies there I could work with' (Elkfall Council Officer Participant F, 2017); another spoke of a professional link with one DT Member that 'is going to be a good contact for the next ten years' (Elkfall Council Officer E, 2017); an inter-departmental connection was evident, as another referenced 'networking out of it, Terry, I hadn't met him/her before' (Elkfall Council Officer Participant D, 2017); and Shoregrove Volunteer A said the experience 'was very useful' as 'your network becomes part of their network'.

In Ravenburn, twenty-two (of twenty-eight) survey respondents indicated they had either met *some* to *lots* of new people as a result of involvement (Figure 79). Ravenburn Participant B said, 'I didn't know him/her before this' and since the charrette 'I've been trying to speak to him/her a lot'. Similarly evidencing new connections, Auchternairn Council Officer A reflected involvement had helped to get 'a lot closer to the community organisations in Ravenburn, from a professional perspective I have made a lot of contacts' (Auchternairn Council A, 2017).

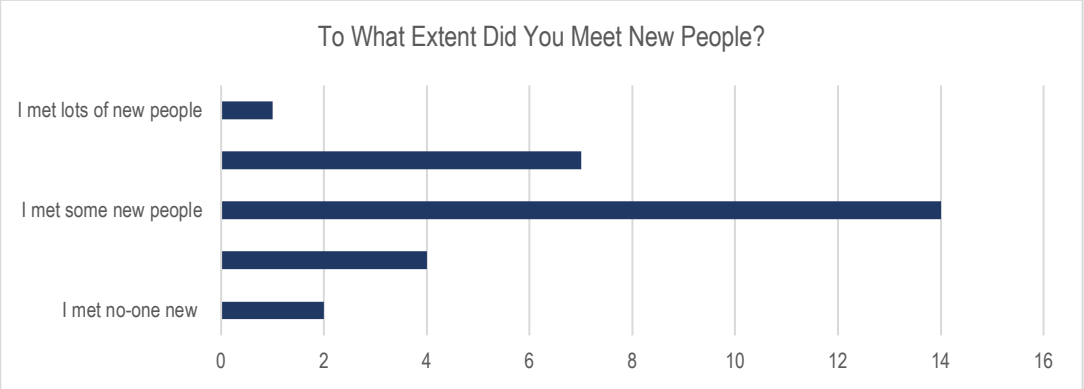


Figure 79: Ravenburn Survey Responses to New Connections

Benefiting local residents, Elkfall Council Officer A helped several Brigadoon residents following one serendipitous workshop encounter. This connection generated greater awareness (amongst some residents) of council assistance available:

> Yes, it has already happened from the table. Two, three people with an idea project and I said, this is not relevant to the charrette, but contact me because I know there is a source of funding available soon for sports. Since the charrette I have found three funding sources for people and they got the money. It's small amounts, £200-800, but for them it means the world. (Elkfall Council Officer A, 2017)

Shoregrove Volunteer A reflected on occasions outside the charrette participants have recognised him/her: 'There have been a few members of the public that I have met at other events that remember me from the charrette, so it helps in that way' (Shoregrove Volunteer A, 2017). S/he was hopeful this could help break down barriers; for example, re-characterise adults as 'neighbours' not 'people in suits', which could 'get them going passed you saying, 'oh, hiya, I remember you from the meeting'' (Shoregrove Volunteer A, 2017).

Working toward strengthened relations, Shoregrove appear to have built on their already positive connections. DT Volunteer A inferred church leaders were 'much more connected to the community than they had been before'. Particularly two built stronger ties with Shoregrove and one church leader 'became a volunteer with Shoregrove' carrying-out pre-charrette activities. One Elkfall Council Officer, said his/her local authority department was now 'very involved with Shoregrove and 'we are looking into various funding avenues, planning related… developing priorities and proposals' (Elkfall Council Officer Participant A, 2018):

> We previously had a relation with [Church A] and to some extent [Church B] but the charrette brought us in closer contact with [Church C] and [Church D], both with bases very close to our Nursery Street Hub. Shoregrove is now renting space

> from [Church C], we planted an orchard in their grounds and used their hall for our volunteer Christmas Lunch. (Shoregrove Secretary, 2017)
>
> Jess became a volunteer with Shoregrove and done some pre-charrette questionnaires. I was able to recruit him/her as a volunteer to the charrette process. S/he went around and actually met a local businessperson (from Brigadoon Bites). They had a wonderful conversation, s/he enjoyed meeting her/him, and so s/he made a new conversation there. (DT Volunteer A, 2017)

Further, those involved in the neighbouring Tignahulish CMP project reportedly wanted to learn from Brigadoon i.e., 'learn from Charlie. Want to have a meeting, understand how s/he set-up Shoregrove, what it was all about' (DT Lead, 2017). Therefore, evidencing the DT's role in cross-fertilising knowledge and establishing networks across communities. Budding connections were similarly evident in Ravenburn.

Econoon's Representative observed a 'group of four had never met each other before but came together because they're interested in this [idea], now they're thinking, how can this model be developed?'. Ravenburn Participant F said s/he 'would not have done this rowing initiative alone if I hadn't met Kit'. Participant G met with the Econoon Representative to discuss possible project development; although, s/he observed 'others who initially showed interest have dropped off' (Ravenburn Participant G, 2017):

> It's like an echo chamber, which is good actually, because you can bounce ideas off each other and we thought we're pretty much on the same page. How do we make that real? You come out that chamber and into- so yes, that's been a real positive thing for me. I think that's probably happening in little bits around the area. (Ravenburn Participant F, 2017)
>
> The last charrette meeting I had with Mx J Doe [from Econoon] was to discuss our group project objective. It was only me and [another] Mx J Doe there. [Another] Mx J doe and his/her partner were on holiday, I think. [Another] John Doe was in Glasgow, I think. So, it only left me and the first Mx J Doe. Some of the others who initially showed interest have dropped off. (Ravenburn Participant G, 2017)

Finally, there are new communicative forums post-charrette; however, Ravenburn's CC group was in embryonic form pre-PE. The CC group had -around the time of the charrette's launch- approximately 'twenty interested parties' (Auchternairn Council Officer A, 2017). Six months later the group settled with a core closer to eleven. Some participants only became CC group aware because of their charrette involvement and have continued, one year later, with the meetings. In 2018, the CC group successfully secured MP funding, and Econoon announced support for a part-time two-year post.

In Brigadoon a new forum, BPU, was established to develop output deliverables. As with Ravenburn, attendance reportedly dwindled from twenty-eight to fourteen. Although, to their slight dismay, Shoregrove is the primary organiser, typically chairing all meetings: 'Shoregrove is still having to take the full lead, which was not our intention' (Shoregrove Secretary, 2018).

In 2018, Elkfall Council Officer B described the BPU and the aforementioned embryonic Community Council as 'the main non-physical responses' from the PE, which 'could be seen as direct legacies of the charrette as a catalyst'. DT Volunteer A has since sustained some personal involvement -although described limited BPU meeting attendance- and reports BPU members will likely self-select preferred projects to progress independently. Emerging arrangements perhaps fall short of evidencing reflexive, reframed positions to work on shared actions (see Chapter Eight's list of Social, Political outcomes). Nonetheless, Elkfall Council Officer Participant A highly commends the BPU as a 'joint project' that has helped speed-up introductions that 'otherwise [would have] taken time to meet in this vast area' (Elkfall Council Officer Participant A, 2018):

> I helped Charlie and Tess think through how to take all the action points and try and explore with people how to deliver. I think, basically, a process in which different groups cherry pick what they want to deliver will happen, rather than 'let's take this area and work to deliver them all together'. (DT Volunteer A, 2018)

> Meetings took place soon after the reports were ready to start working together (local community, stakeholders, Shoregrove and Elkfall Council) to develop the plan and start implementing the charrette. A new group made of 28 members has been formed to deliver post charrette and is called BPU -Brigadoon Process Unit. The group meets every 6 weeks and is very active, working on project sheets and allocating tasks and works. (Elkfall Council Officer Participant A, 2018)

In addition, some small-scale tangible developments were underway in 2018. Although Shoregrove's Secretary caution 'no specific implementation resources have really been allocated', a 'number of small wins have been achieved and others are in progress'. For example, one church leader was heading the search for a community café space, whilst another local group received Elkfall Council funding to commission artwork for disused shopfronts.

In Ravenburn, there was little evidence to suggest the CC group had secured agreement to work on shared actions as other local groups e.g., Ravenburn's Community Council, has 'not

been fully engaged'[68] despite their early role in supporting the CMP application (see 10.5.2). Nevertheless, the CC group is still operating one year later with some evidence of success in securing operational funding.

10.8.2. Inhibiting and Supporting Factors

Here I discuss three process and one context factor as inhibiting and/or supporting Emerging Arrangements. Those marked with * were not recorded in Chapter Nine and signal a factor unanticipated; the others, more directly or by extension fall under one of the pre-empted categories.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Community Relations	--
	• Governance Levels	--
	• Scale	--
	• Problem Complexity	--
	• Previous Intervention	--
	• Embedded Cultures	--
	--	• Key Individuals and/or Anchor Organisation*
Process	• Participatory Mechanisms	• Participatory Mechanisms
	• Grant Award	• Grant Award
	• DT	
	--	• Outreach and Early Engagement*
Objectives, Outputs and Outcomes	• Output Endorsement	--
	• Participation Goals	--

Table 76: Summary of Anticipated and Unanticipated Influencing Factors

First, Brigadoon's strengthened church connections was driven by the DT's innovative and targeted pre-charrette approach. This required the DT's willingness to trial something new and one individual with the skills to facilitate rapport-building. Undoubtedly, this outcome has been a particularly 'positive feature' from the process (Shoregrove Secretary, 2018), which owes its origins to *10.4 Outreach and Early Engagement*.

[68] This communication came from Econoon Representative in 2018 who also underscored at time of communication it was not yet beyond the one-year anniversary of the charrette, implying it was still early days and therefore too early for evaluation.

Second, *key individuals* have been integral to starting and maintaining the new communicative forums. For example, Shoregrove's continued enthusiasm is another key driver as they spearhead the BPU; albeit, with some reluctance. One DT Volunteer (independent of DT) later joined the community in a way that was a little more permanent, thus, remains in-the-field to some extent. Notably, Ravenburn is an example of a longer-term PE committed to community capacity building. The charrette was a tool designed to plug into this wider initiative: 'Just remember, this is not about the charrette, this is about the Calls for Collaboration' (Econoon Representative, 2017).Thus, Econoon's continued support in Ravenburn has been the connective tissue holding the CC group together:

> I do have confidence in the charrette, because Mx J Doe is still here. If s/he was to leave, I would lose confidence very quickly <laughter> But because s/he's still involved, I do have confidence. (Ravenburn Participant D, 2017)

Participant I1 notes in Chapter Six, 'the best thing about a charrette, is the charrette' (Participant I1, Private Practice Professional). Used as a steppingstone, the quick-fire (Pecha-Kucha inspired) session sparked connections. Observation data recorded participants meeting during the first community presentation session and collaborating for the second. Therefore, this *participatory mechanism* contributed to the emerging arrangements observed during and shortly after charrette close:

> We had folk down from the school talking about how the school space could be used as a testing model. Things like that happen because the charrette offers an opportunity to engage in a way that is different. (Econoon Representative, 2017)

Participant I suggests the point-in-time charrette makes sense when used to direct 'a surge of conversations' or 'a catalyst to drive the conversation' (Participant I, A+DS Representative). In both charrettes, the mechanism has been used to stir conversation and convene action where there was perhaps limited co-ordination beforehand.

Lastly, whilst Brigadoon reported on some small physical changes a lack of readily available funds to support quick wins was identified as an inhibitor. Leaving Shoregrove's Secretary to reflect: 'charrettes in areas of deprivation should be accompanied by some immediate funding resources to enable delivery' (Shoregrove Secretary, 2018). The short-lived AI initiative with its 'seed money' (see Chapter Six), is still a relevant recommendation in the re-structuring of charrette *grant awards*.

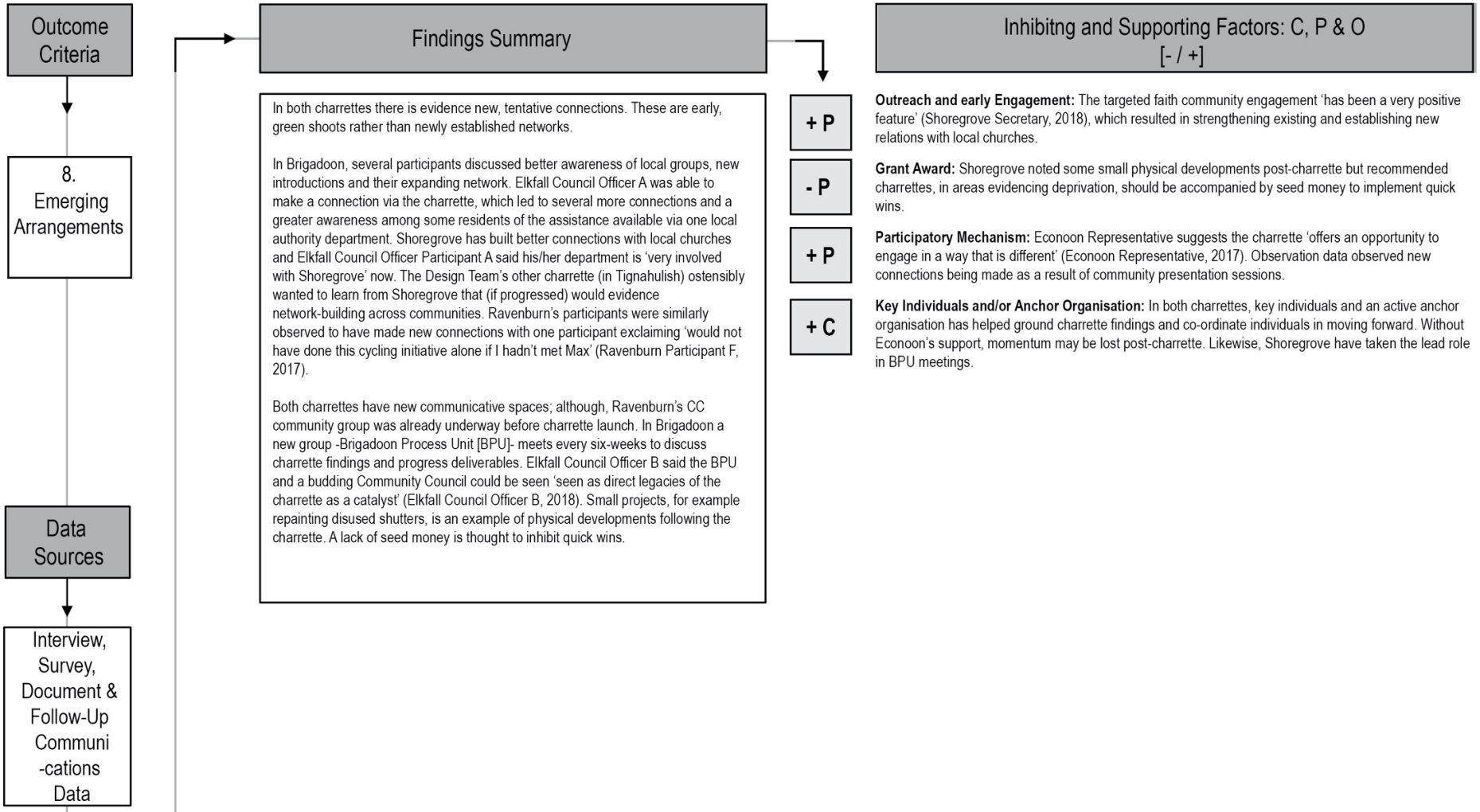


Figure 80: Emerging Arrangements summary

10.9 Participant Gain: Introduction

Referencing Chapter Eight's 'Process, Substantive Goals', this criterion assesses to what extent participants gained from their involvement; for example, evidence of self-reflexivity, greater understanding of issues and/or others' perspectives. Guided by 'Participant Gain' indicators and questions presented in Chapter Nine Table 64, I first discuss to what extent *gain* was evidenced. Then, I turn to supportive and inhibiting influencers, asking:

- What contextual factors could hinder or support participant gain?
- What process factors could hinder or support participant gain?
- What objective, output or outcome factors could hinder or support participant gain?

Figure 81 summarises Step Three to Five and provides examples (only) of the theorised factors (see diagrams in Chapter Nine).

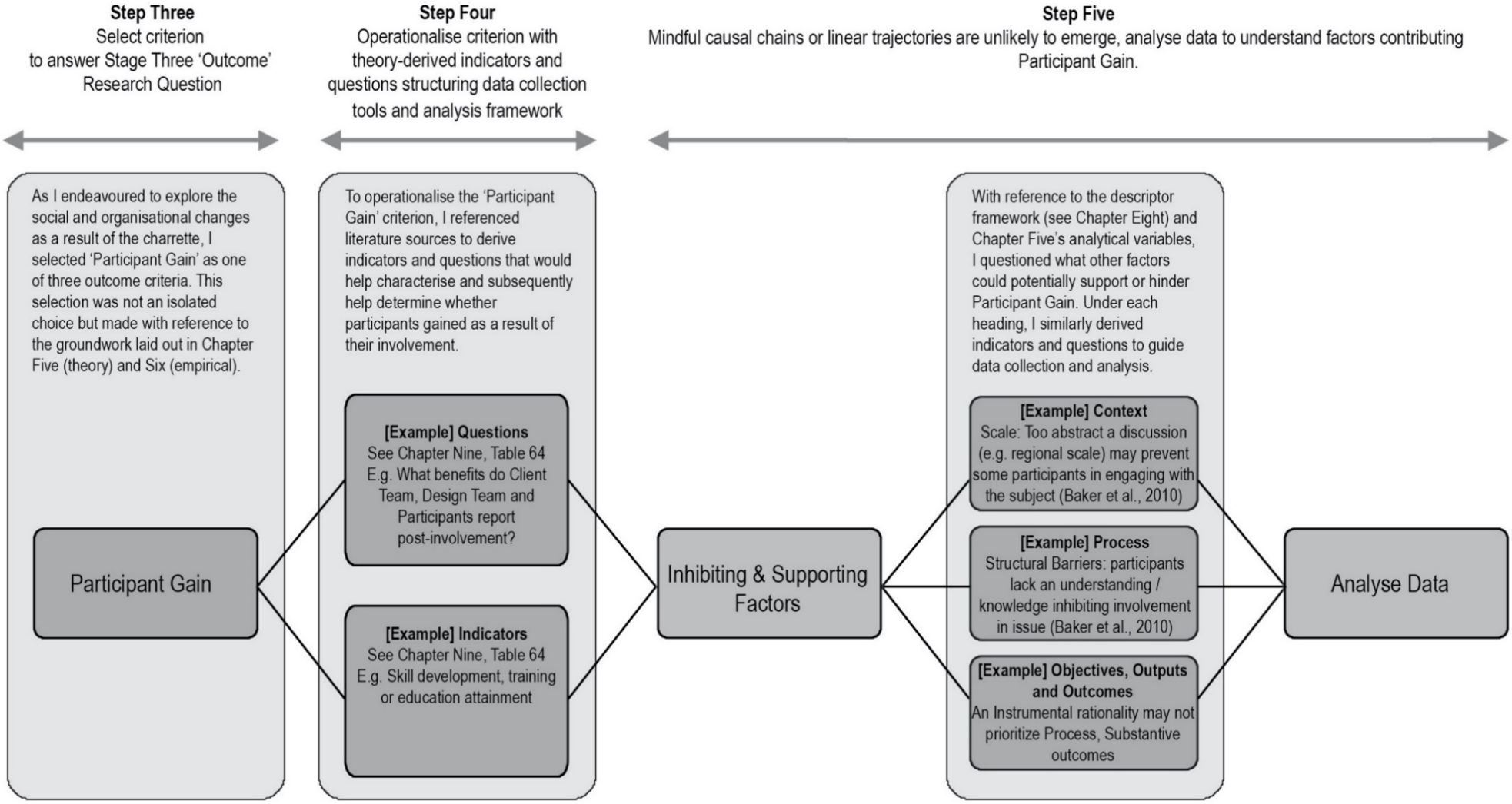


Figure 81: Visual Summary of Analysing 'Participant Gain'

10.9.1. Findings

First, Elkfall Council Officer B, described the charrette as a 'nice wee bomb' of attention that 'breaks the bubble' and surfaces issues that have lay dormant. Shoregrove too, suggested the charrette 'stirs-up the stagnant pool as it were <laughter>' (Shoregrove Secretary, 2017). Likewise, the 'immersive process brought an energy to the town', which Ravenburn Participant F thought had a role in stimulating interest in a separate community consultation that was surprisingly 'a full house' (Ravenburn Participant F, 2017). Auchternairn Council Officer A reported '99% of the feedback' received 'directly after the three-day event from the community was that everyone was blown away, it was amazing' and had left an optimism: 'it's positive that people are hopeful' (Ravenburn Participant B, 2017).

In a somewhat placatory sense, Ravenburn's DT Member A, thought the first outcome -in any charrette- is likely 'people feeling they've been involved in the process, they've been engaged and they're aware of what's happening. Beyond this, but also falling short of improved democratic competencies or active, engaged citizenry (Table 59), participants appeared fired-up, excited post-charrette:

> I think it's created a little bit of a stir in the area, which is probably a good thing. The other thing is the possibility to activate... council depts., like Parks, Housing and the general locality were involved in that. The housing people took quite a strong interest. So, there might be options to work together in the future. It maybe sort of unblocks a little from their side. (Shoregrove Secretary, 2017)

> Then we re-design Ravenburn, based on the charrette and its report. So, we're looking at complete infrastructural change. It can be great fun, exciting, I've never done this before. (Ravenburn Participant F, 2017)

Ravenburn Participant F also observed individuals normally in the background becoming more involved in interactive sessions nearing the PE's end. Another interviewee observed a local resident with high charrette attendance, returned to writing letters to the local newspaper post-charrette.

> I've noticed that s/he's now writing more letters, about the signage and things. S/he's picked up on the signage thing. I think it's encouraged him/her to air his/her views more… S/he always did write to the local paper from time-to-time, but I see more traffic from him/her after these meetings. (Ravenburn Participant E, 2017)

> There were a few people that I have seen at other groups who tend to sit back and watch. I think by the third day they realised if I don't say something then they won't

> hear it. I think they gained more confidence in coming forward to say something. It's good the way it's done; it's concentrated and allows people that chance to shift. (Ravenburn Participant F, 2017)

Econoon too played a role in inspiring members of the embryonic CC group as a key individual from Thorness's CC group paid a visit. This knowledge transfer and offer 'to keep in touch' was 'good to hear' (Ravenburn Participant D, 2017). It inspired Ravenburn Participant D to think 'this time next year we could be doing this, which is good' (Ravenburn Participant D, 2017). It also gave reassurance numbers typically drop:

> I think Mx J Doe said not to worry about having lower numbers at the start in the CC meetings. I think it was a good idea to have him/her come over. (Ravenburn Participant B, 2017)

As Participant I1 earlier advocated (see Chapter Six), the 'intensive, hyped, artificial, spectacular circus of a charrette is wonderful for certain things', although 'absolutely crap at other things' (Participant I1, Private Practice Professional). In this instance, the attention-grabbing nature of the charrette has helped direct some deserved attention to community issues and energised -possibly instilled some confidence- in a few participants.

Additionally, there was evidence of learning in both cases. For new and more experienced Elkfall Council Officer Participants, the charrette was useful to gather 'first-hand' information on residents' expectations, to bring local knowledge 'up to speed' and to understand how local people feel about their community:

> As an officer quite new to the area, it was a very proactive and efficient way to meet with local people as I got first-hand information of what they wanted out of the area and what their expectations were. (Elkfall Council Officer Participant A, 2017)

> My local knowledge of Brigadoon has definitely been brought up to speed because I've not been in that area for a long long time. (Elkfall Council Officer Participant E, 2017)

> There was quite a lot of that, being negative, saying keep going, don't bother stopping here. It told me a lot about what people thought of their area. (Elkfall Council Officer Participant D, 2017)

In Ravenburn, Auchternairn Council Officer A praised the charrette for it had 'bolted on a lot more knowledge... about regeneration processes' (Auchternairn Council Officer A, 2017). Likewise, two local residents suggested the charrette had successfully 'tapped into things' that, despite their connectedness, were new to them:

> I've lived here all my life and there were groups I had never heard of and had no idea they existed. So that was quite interesting. So obviously they tapped into things that I didn't know about, which is good. (Ravenburn Participant D, 2017)

> Also, I found out something interesting that I did not know. I'm not saying they're right but can tell you what they reported. For a long time they've spoken about Nithsdale Street becoming a conservation area. I often wondered if it was already or whether it was proposed to be a conservation area. Ravenburn report says it is a conservation area. (Ravenburn Participant A, 2017)

Further, Ravenburn Participant B was inspired by another community group and thought, 'how do I not know about you?' The group was 'a perfect example of what I've been trying to get my artists and makers on board to say' (Ravenburn Participant B, 2017). In Brigadoon, one participant became aware of a local foodbank delivery service after connecting with an Elkfall Council Officer; observations recorded exchanges and moments of learning during the Place Standard workshop (see 10.3 Communication); Brigadoon Survey Respondent 25 realised 'there was so much to be done by others'; Shoregrove Volunteer A 'realise[d] there's actually a lot of people that give a damn... I think it was useful in that respect' (Shoregrove Volunteer A, 2017); and Brigadoon Survey Respondent 22 similarly gained 'knowledge that people are interested to help Brigadoon develop'. Young church leaders reportedly better appreciated the relevancy and interconnectedness of church and built environment issues as a result of involvement:

> Ally went through a learning process himself/herself, to understand built environment issues are important to the church. S/he's quite a young leader and s/he realised questions about quality of space, people's well-being are actually things s/he and his/her church should be interested in. (DT Volunteer A, 2017)

Brigadoon Survey Reponses were generally very positive in response to questions on gain (Figure 82 and Table 77). Survey Respondents motivated to *learn* and *discuss Brigadoon with others* responded more positively to the statement 'I learned a lot about other people's opinions'. Two negative Brigadoon Survey Respondents indicated they attended to *share knowledge, thoughts and ideas* as well *ensure their voice was heard prior to decision-making*. Ravenburn Survey Respondents were also generally positive, although more nuance was observed (Table 78).

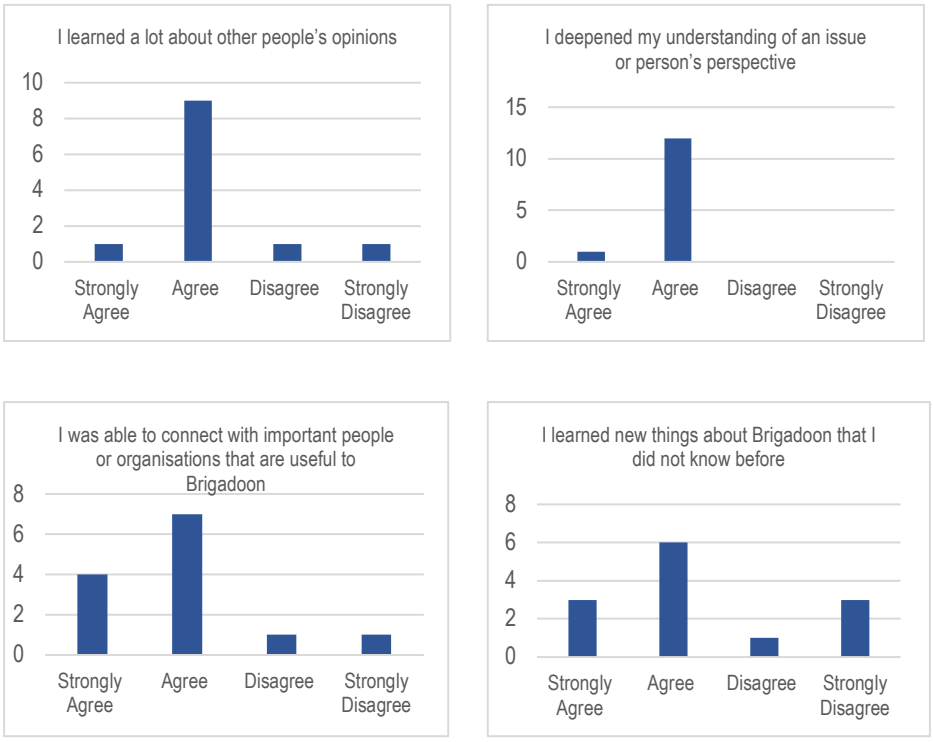
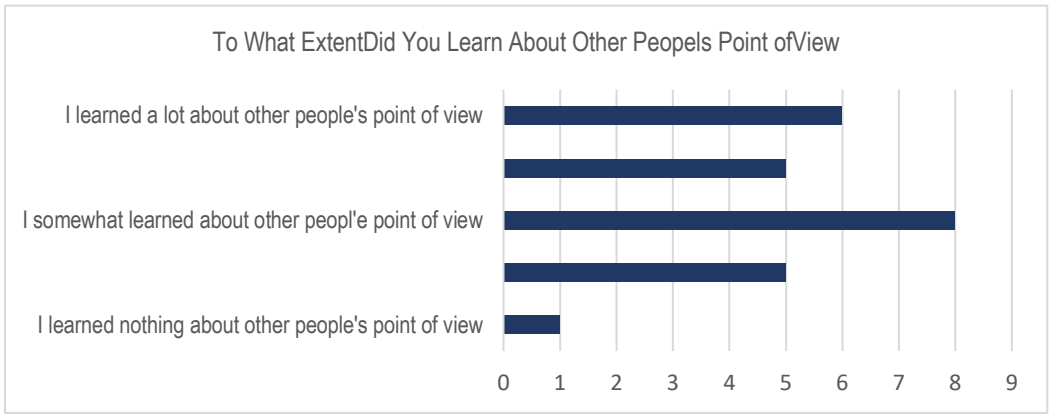


Figure 82: Survey Respondents Indicating 'Gain' from CMP Project Involvement

Respondent ID	I learned a lot about other people's opinions	I deepened my understanding of an issue or person's perspective	I was able to connect with important people or organisations that are useful to Brigadoon	I learned new things about Brigadoon that I did not know before
**Respondent 19	-	Agree	Agree	Strongly agree
*Respondent 23	Disagree	Agree	Strongly Agree	Strongly Disagree
**Respondent 25	Strongly agree	Agree	Strongly agree	Strongly agree
**Respondent 28	Agree	Agree	Agree	Agree
**Respondent 29	Agree	Agree	Disagree	Strongly Disagree
*Respondent 30	Strongly Disagree	Agree	Strongly Disagree	Agree
**Respondent 32	Agree	Agree	Strongly Agree	Strongly Disagree
*Motivations limited to 'I wanted to share my knowledge, thoughts and ideas with people' / 'I wanted to make sure my voice was heard before decisions are made'. **Motivations included: 'I wanted to learn'				

Table 77: Participant Gain linked to Motivations for Attending Brigadoon CMP Project



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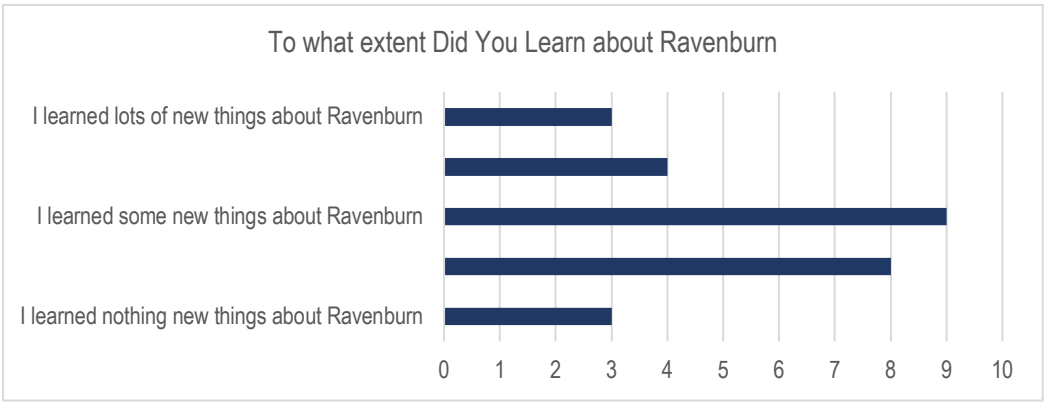

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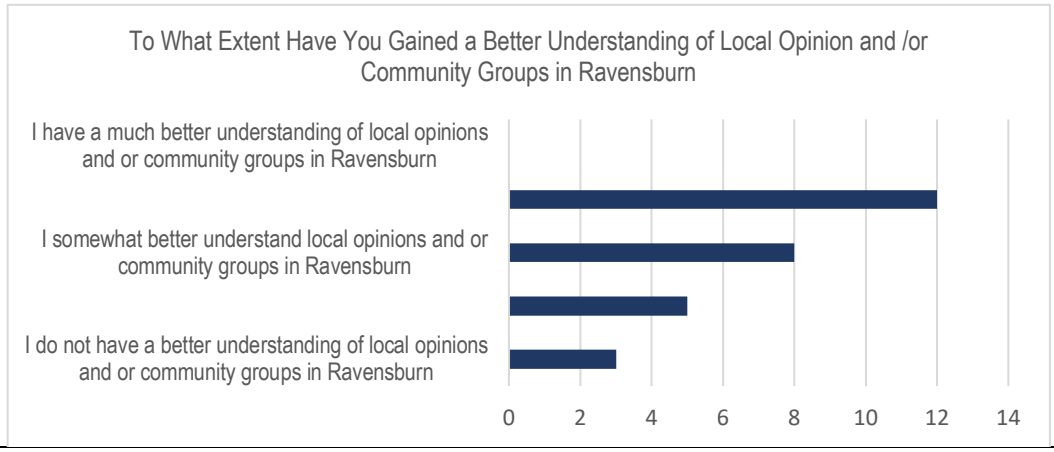

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Table 78: Ravenburn Survey Results Related to Participant Gain

In Brigadoon, learning was not limited to council officers and participants, but evident among the DT. Brigadoon's DT is largely and very intentionally comprised of Volunteers, which resonated with Shoregrove as they identified a 'cultural affinity' with the charity (Shoregrove

Secretary, 2017). The DT Lead underscored their organisational structure and trademarked charrette-like model is a unique offering (see Chapter Eight's Process Case Description):

> Whereas this is about building skills and capacity and passing on those skills. And it's really powerful when you have volunteers from [DT] and volunteers from the community coming together working out a solution. It's just really powerful and really great, I think a lot of communities appreciate that. (DT Lead, 2017)

Shoregrove expressly stated their appreciation for this structure believing 'it was good for' them to have 'people coming in, people like Kris from Venezuela' because it gave 'a new perspective… what we'd hope for' (Shoregrove Secretary, 2017). DT Volunteers had 'different backgrounds so picked up different things', which was 'really very interesting' (Shoregrove Secretary, 2017). For DT Volunteer B that arrived with very little local knowledge and charrette experience, s/he felt more confident after a more experienced Volunteer took him/her under his/her wing. DT Volunteer A voluntarily led an unplanned site visit and canvassing activity on the charrette's first day that helped familiarise DT Volunteer B: 'After I went out with Jan, I felt more confident because we tried to flyer people as well' (DT Volunteer B, 2017). Later in the workshop session, DT Volunteer B felt apprehensive of his/her workshop role; however, grew in confidence finding the experience very rewarding:

> I was taking down the points and clarifying any points. Then I felt really really good after that. I really really enjoyed that and felt like I had a proper role then. (DT Volunteer B, 2017)

In another example of gain, Shoregrove benefited from a rare expression of thanks. The community group learned how widely their efforts were appreciated as a result of the ecumenical service. Not often are explicit opportunities for residents to express gratitude available. This pre-charrette activity became a 'special moment' to 'experience the warmth and support from local members of the community', which was 'extremely encouraging' (DT Volunteer A, 2017): 'And we got a blessing for Brigadoon, delightful' (Shoregrove Secretary, 2017).

Finally, I found (more so in Ravenburn) some references suggesting ideas were novel, creative and generally grounded in charrette input. Ravenburn Participant B thought the charrette generated 'a few really interesting ideas', and the majority of Survey Respondents agreed the charrette *definitely* created or *led to some* new and unique solutions (Figure 83). Alternatively, Ravenburn Survey Respondent 23 suggested proposals would be implemented

'with difficulty as some of the ideas are impractical. To my mind the horse is being put before the cart'. Likewise, Shoregrove's Chair earlier questioned whether -under the substantive rational- participation generates better quality solutions as s/he felt some participants offered whimsical ideas under pressure:

> I think that's one of the key things. There's a number of thoughts, initiatives coming out of this and for example one of them was let's have an open-aired cinema. I think some people go to these charrettes and think, what will I say here? (Shoregrove Chair, 2017)

> Many good ideas discussed but having been a Planner in Development Management in Ravenburn for 14 years, I have seen a lot of good ideas come and go without any physical works taking place and others aborted or poor town centre improvements. (Ravenburn Survey Respondent 28)

> I think there is a core 10-12 proposals within that project. If they left it at those, I think we would have been happy. (Auchternairn Council Officer A, 2017)

> I think another Mx J Doe was an interesting one, I didn't know him/her before this... been having meetings, because s/he's interested in the Producers Plot [project]. Think it's a great idea and would really like to support it. (Ravenburn Participant B, 2017)

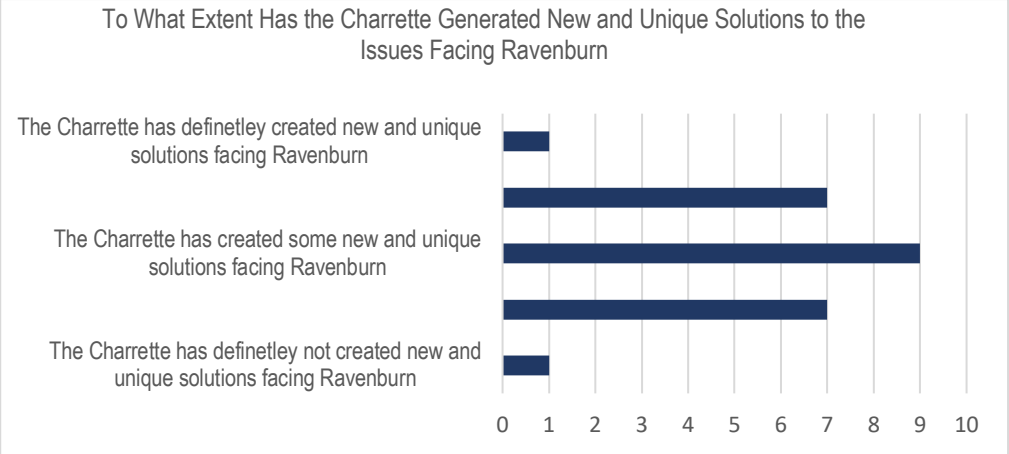
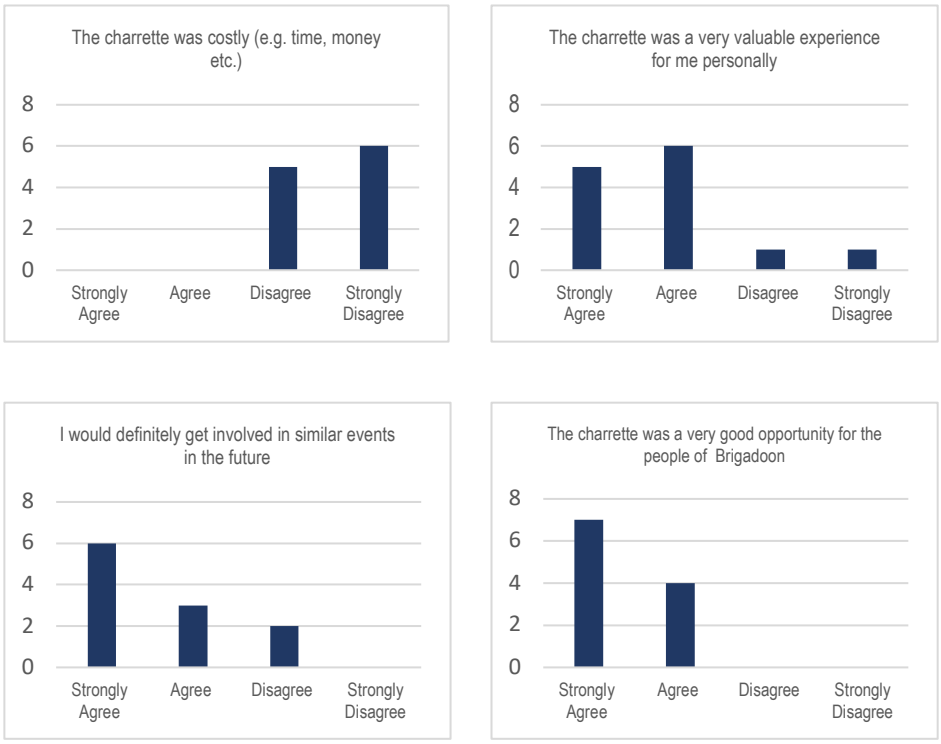


Figure 83: Ravenburn Survey Respondents respond to new and unique solutions statement.

In summary, findings show there was evidence of gain; namely, in the form of renewed energy, improved knowledge, an opportunity for thanks, greater volunteer experience and possibly the creation of new and unique solutions. Elkfall Council Officers in Brigadoon suggested there will be 'better ones' (Elkfall Council Officer Participant E, 2017) and another reflected (almost one year later) 'it wasn't a worthwhile exercise' (Elkfall Council Officer Participant F, 2018). However, remained hopeful 'that in time we will see work starting to develop' (Elkfall Council Officer Participant F, 2018). Ravenburn Survey Respondent 29

remained critical throughout, writing the charrette 'was a poor experience, disappointing, and a waste of time and money as a citizen'. Generally, comments were more lukewarm to positive: 'it was a good use of money, it was ok' (Elkfall Council Officer Participant C, 2017). Respondents were satisfied involvement was worth the effort in comparison to cost. In Brigadoon, it was a valuable experience for most Survey Respondents; the majority would likely re-participate.



Ravenburn (below); Brigadoon (above).

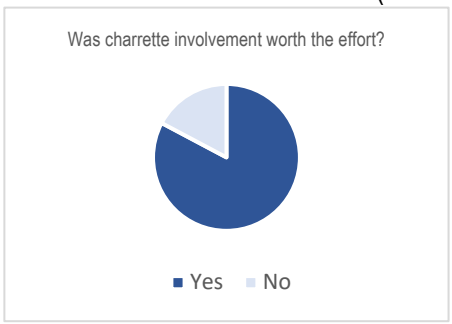


Figure 84: Survey Respondents Indicate Charrette Involvement Value

10.9.2. Inhibiting and Supporting Factors

Here I identify participatory mechanisms, inclusiveness and representativeness, DT organisation and participants' attitudes as factors inhibiting and/or supporting participant gain.

Those marked with * were not recorded in Chapter Nine and signal a factor unanticipated; the others, more directly or by extension fall under one of the pre-empted categories.

Three Areas	Posited Factors (Chapter Nine)	Factors Explored in Chapter Ten
Context	• Community Relations	--
	• Scale	--
Process	• Participatory Mechanisms	• Participatory Mechanisms
	• Structural Barriers	--
	• Communication	--
	--	• DT Organisation*
	--	• Inclusiveness and Representativeness*
Objectives, Outputs and Outcomes	• Participation Goals	• Participants' Attitudes
	• Participation Level	--

Table 79: Summary of Anticipated and Unanticipated Influencing Factors

First, in 10.3 Communication Ravenburn Participant E was deliberately unwilling to hear other points of view on the basis s/he was always right. In Brigadoon, I tried to understand why two Survey Respondents responded negatively to 'I learned a lot about other people's opinions' and found these two respondents -in comparison to the more positive responses- did not include the motivation 'I wanted to learn' as a reason for charrette attendance. I suggest a likely inhibitor undermining participant gain could be explained through *participants' attitudes* for attending: if not oriented toward learning and/or participant exchange it is plausible individuals will be less receptive to others.

Next, several *mechanisms* were thought to contribute to participant gain. More two-way exchanges were observed in the Place Standard workshop in Brigadoon; a Ravenburn participant learnt from a fellow Ravenburn resident leading a site tour; an Elkfall Council Officer refreshed their local knowledge through a CT-led site tour; several participants made connections or gained an awareness of groups through the community presentations session (inspired by a Pecha Kucha format.); and the targeted Outreach and Early Engagement had a significant role in strengthening relations. A combination of formal and ins-situ mechanisms is cited alongside positive comments or examples of learning.

Third, Inclusivity and Representative plays a role. Exchanges and moments of learning rest on a diversity of interests present. Diversity among DT Volunteers was notably very helpful for Shoregrove in eliciting different insights, especially in the absence of broader participant diversity. Ravenburn's DT had 'discovered 40+ plus groups in Ravenburn' (Econoon

Representative, 2017); a subset was involved in Pecha-Kucha inspired sessions, which was often cited as a source for learning:

> So absolutely, if you get involved in that and the likes of all the group things that turned up at the presentations [i.e., Pecha Kucha inspired event] and although I'm not looking to join any of them, but I didn't know about them. So, if I was interested in mountain biking then I might have gone along to the club. It opens doors to you that maybe you didn't know were there. And you meet different people involved in different things. (Ravenburn Participant D, 2017)

Finally, Brigadoon's DT structure -as intended- contributed to peer learning as more experienced Volunteers and/or Members partnered with less experienced. Although better on the day organisation of DT Volunteers may have maximised opportunities for learning (see earlier discussion 10.2 Process Independence and 10.3 Communication).

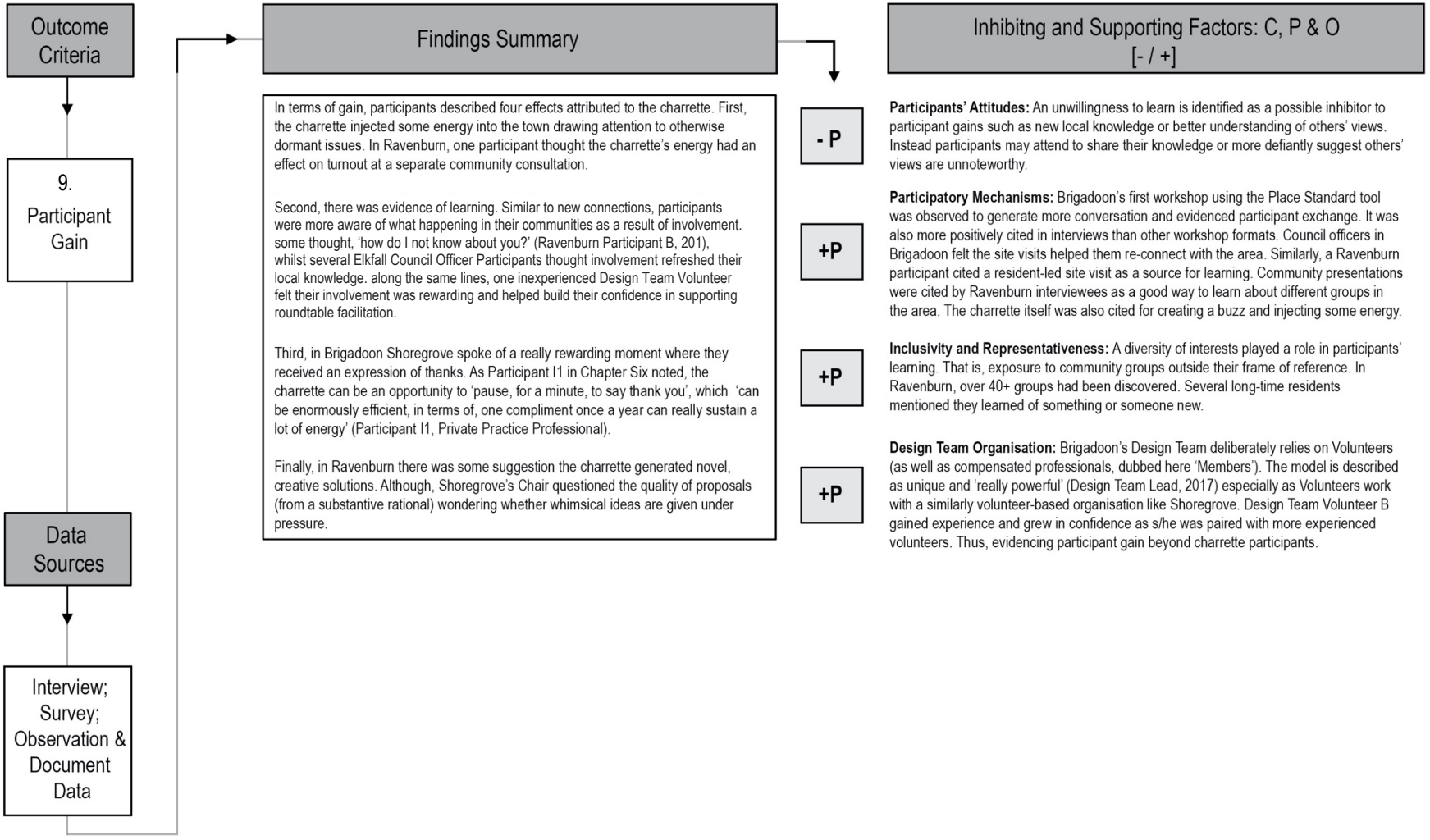


Figure 85: Participant Gain Summary

Chapter 10 Conclusion

Instead of a summary, readers are referred to the nine summary figures presented at the end of each criterion. A more holistic discussion, drawing on all data collected for this thesis, can be found in Chapter Eleven's discussion of each criterion as I revisit Stage Three research questions.

Chapter Eleven: Discussion and Final Reflections

Here, I revisit my earliest research question that guided Stage One of this doctoral project: *how effective is the Scottish charrette as a means to deliver an inclusive, participatory project in community and/or spatial planning?* I conclude there is no Scottish 'charrette' and the reflection on 'effective' is ambivalent and nuanced. To support my response, I revisit Stage Two and Three's research questions in this final chapter.

My findings derive from what I have dubbed a *sequential, qualitative multi-method case study* approach. I have privileged a chronological retelling of my research activities that started with Stage One's early rounds of data collection to inform the development of a preliminary evaluation tool. An evaluation tool was thought necessary to support systematic research into Scotland's participatory projects in spatial and/or community planning, as I considered their *effectiveness*. I relied on a literature review and conducted empirical analysis of participation-evaluation examples, which resulted in a four-part evaluation framework. I then conducted a pilot test and expert review before using it to evaluate participatory projects. Findings identified areas for development, which subsequently framed the 'case-study' approach comprising an:

- in-breadth, extensive review of the CMP, AI and MP 'case' (i.e., Stage Two)
    - Methods: Document review, semi-structured interviews, QGIS Spatial Analysis and directed content analysis of 110 charrette reports.
- in-depth, intensive review of two charrette cases (i.e., Stage Three)
    - Methods: Document review, semi-structured interviews, charrette-participant surveys and charrette participant-observations.

Stage Two was guided by four research questions[69] and findings informed the preliminary evaluation tool's upgrade. With reference to Figure 86 (below), this stage also resulted in an

[69] Why did the Scottish Government decide to trial and the support the charrette model in the context of community and/or spatial planning? How do CTs, DTs and commissioners describe their rationales for using a charrette? How have successful CMP, AI and MP award recipients used their funding grants? At a local level, how dissimilar or similar are charrette applications across Scotland?

original contribution by tracing the charrette's ascension in Scotland, questioning the political drivers for its expansion and describing how it played-out on the ground [C2]. Notably, what followed DPZ's Charrette Series in 2010, which were framed by the National Charrette Institute's directives, was markedly different. Thus, leaving very little connection between New Urbanism's typical charrette delivery and the delivery observed in Scotland. The moniker carried forth -only for a while, it must be noted- whilst the New Urbanism charrette edicts did not take root.

Taken together, the outputs from Stage One and Two's learning -that resulted in a case characterisation descriptor (Chapter Eight) and a Five Phase Sequence for Evaluation (Chapter Nine)- comprise my main contribution that is tailored for use in the Scottish context. This doctoral thesis collates a broad knowledge base [C1], develops a framework to assist participatory project evaluation [C3] and demonstrates its use [C4]. Thus, it directly addresses the M&E knowledge and practice gap identified in Chapter One.

Broader research offers similar outputs (Akbar et al., 2020; Bellamy et al., 2001; Blackstock et al., 2007; Hassenforder, Pittock, et al., 2016) and given Hedelin et al. (2021) recently used the Comparison for Participatory Processes developed by Hassenforder, Smajgl, et al. (2015), I argue such frameworks are in demand and have use beyond their originator. Thus, this is a timely thesis enabling researchers in Scotland to both join an international conversation and start a more local one. Unlike this stock of broader sources, my contribution is uniquely situated and tailored to the Scottish context and addresses the more specific M&E deficit identified in relation to government funded participatory projects via the CMP, AI and MP.

Using this purposefully developed Five Phase Sequence for evaluation, I reflect in this chapter on Stage Three's evaluation objectives exploring process quality and early outcomes to provide a further contribution i.e., an empirically informed commentary on the reality of state-endorsed but supposedly 'community-led' participatory projects through two charrette cases [C2]. Whilst I focus on Ravenburn and Brigadoon, I assimilate findings from all stages and charrette cases to discuss criteria more holistically than in Chapter Ten. In the closing section of this chapter, I present my personal position and situate findings more broadly in a discussion on the general topic of formal public participation projects in community and/or spatial planning by detangling five reflections from my doctoral journey.

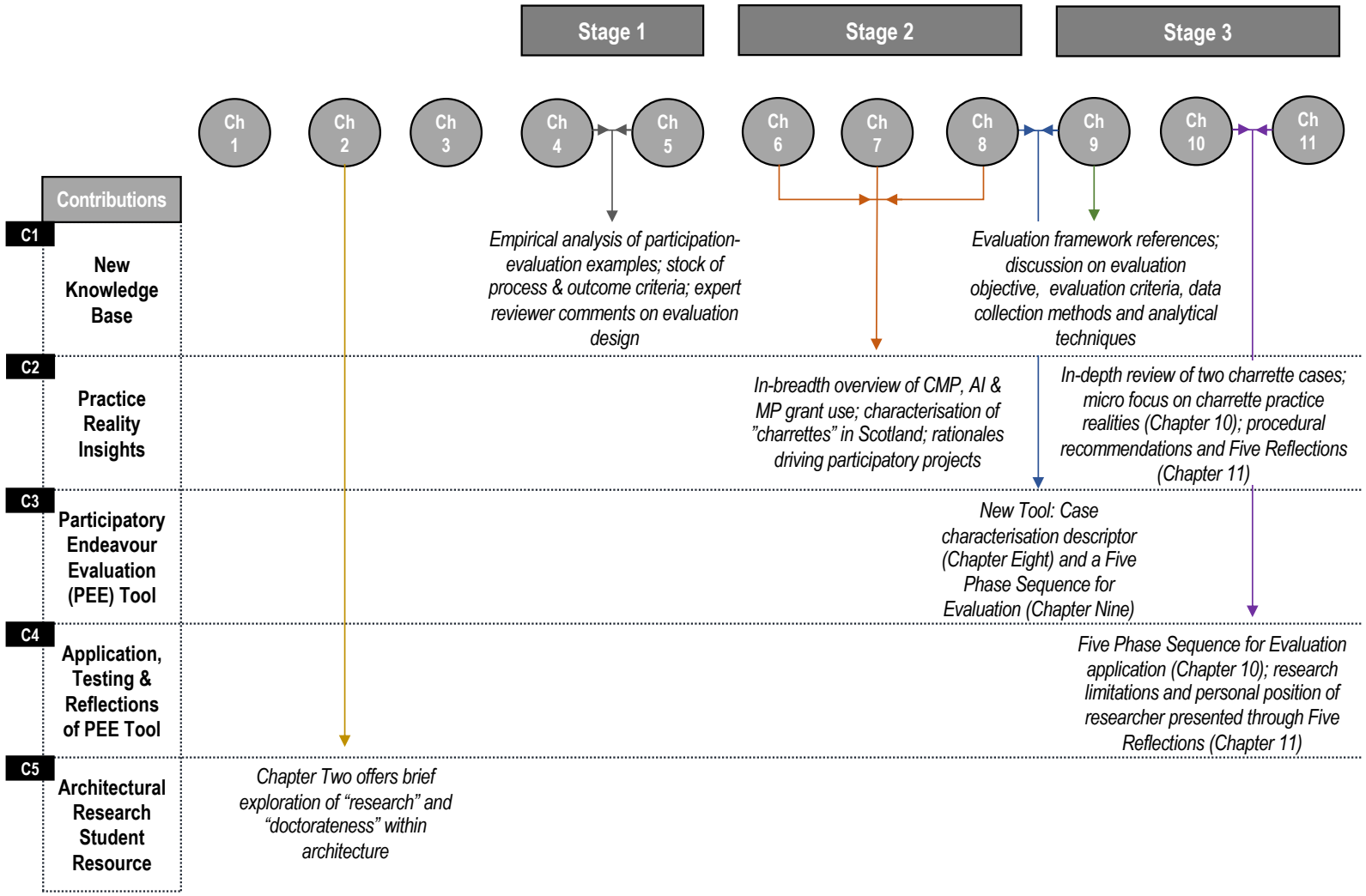


Figure 86: Summary of Contributions in Thesis and Chapter Location

11.1 Revisiting Stage Two's Research Questions

I present an original contribution with Stage Two's output by tracing the charrette's legacy in Scotland following its formal introduction. I found Scotland was primed to welcome a government-supported series of charrettes given the mechanism (and EbD) had been practiced in preceding years and policy documents revered these approaches as best practice. Further, Scotland was concerned with design quality; it wanted to incentivise development; increase opportunities for greater citizen involvement in planning processes; and encourage people involved in planning 'to welcome and influence change' (Scottish Government, 2017b, p. 17). New Urbanist charrettes tick all boxes. These priorities are set against a political backdrop championing greater participation that has reigned for decades and found in discussions ranging from the fine art tradition to community and spatial planning discourse (Bishop, 2012; Christie, 2011; Parker & Street, 2018).

Scotland had all the key ingredients to position herself as the receptive host: key political figures, global consultancy associations and knowledge transfer opportunities. Hence, the Scottish Government was non-averse in supporting a Charrette Series, which was subsequently celebrated as an 'immensely powerful mechanism' wedding local views with professional expertise (Scottish Government, 2010, p 2). Within a placemaking agenda, the response was, 'just mainstream the idea of charrettes, popularise them' (Participant D, Scottish Government Representative). The Empowering Communities Fund financed the rollout as the basis for expansion centred on community empowerment. I argue participation, in charrette form, has largely been instrumentalised in a pursuit for a mobilised, self-reliant citizenry given rationale was frequently tied to identifying community-led projects. It was not the only benefit extolled, although this instrumental rationale was more prevalent among interviewees describing the motivations driving the CMP, AI and MP.

Egalitarian 'features' were discussed as Scotland's professionals remain committed to minimising barriers, engaging as broadly as possible and tailoring mechanisms. Additionally, the language of *Places, People and Planning* (2017b) implies charrette involvement equals 'influence', suggesting local 'views [are used] to *form* proposals which are explored and tested in a collaborative way' (Scottish Government, 2017b, p 20; emphasis added). Rather than *inform*. In Chapter Six, I state an explicit interpretation and definition of democratic decision-

making is not available from interviewees and whilst this is an important observation it is not a surprising one. Taken together it shows Scotland similarly adopts a nebulous definition of participatory and community empowerment, allowing it to comfortably live alongside other, less compatible, political commitments without too much trouble.

Reflecting on my data and revisiting literature, I find there is enough evidence to characterise the CMP, AI and MP -at its broadest level- as an example of a carefully orchestrated experiment in community participation that poses no real threat to the status quo (Kamols et al., 2021; Parker & Street, 2018). It has invited individuals and organisations inside, and when their outputs harmonise with other local government priorities and statutory requirements they are quickly enveloped (e.g., Brigadoon). When they do not, they are either revised into a more conservative format (e.g., charrette case three), left outside until ratified (e.g., Ravenburn) or more coldly put on ice (see Chapter Eight 8.2.4). In either scenario, charrette outputs are very unlikely to drive forward new directions of travel or destabilise local institutional arrangements. It is difficult therefore to not view the CMP, AI and MP as a, disconnected participatory innovation that often produces generic, sometimes indigestible outputs that later struggle with delivery and implementation. A lack of resource, dubbed a distancing technique, further inhibits progress, which contributes to participant disillusionment (Fernández-Martínez et al., 2020; Parker & Street, 2018, see Ch. 2). As I have written elsewhere, the charrette projects in Scotland have not been entirely fruitless as positive effects are harvestable, but this does not detract from their position or status within the broader political administration.

Across the case, projects strayed deliberately from their patented DPZ-led exemplar. In Chapter One I etymologise the word *charrette* and introduce New Urbanism as the adoptive parent that embedded the community design tool into their methodological repertoire. As described, it was not an entirely original format with predecessors using similarly styled collaborative events; however, there is a National Charrette Institute that puts forth a set of commandments distinguishing the charrette, as delivered by New Urbanism, from other variants. Thus, I should make clear my research has observed Scotland paying very little attention to these directives, which leaves a very fragile connection between Scotland's charrettes and those delivered by New Urbanism that uphold certain values. To be blunt, I conclude, after reviewing the case, there is no *Scottish charrette* for two reasons.

First, Scottish Government interviewees put some distance between the DPZ-led exemplars and mainstreaming, claiming the earlier works were 'quite insignificant' having moved 'enormously', 'much further away from creating New Urbanism masterplans and toward community empowerment' (Participant D, Scottish Government Representative). Therefore, the focus had changed as 'a movement of community empowerment has grown across Scotland' (Scottish Government, 2017b, p 17). Chapter Eight found project issue-types were more holistic and used in earlier strategic stages of spatial and -given the community empowerment influence- community planning processes. Outputs were softer, with indicative physical and non-physical concepts, rather than detailed masterplans for identified development sites complete with design codes. Others have similarly cast the net wider, referring to practices as 'collaborative design-led events' or 'community-based design led events', of which the 'charrette' is one example (Alwaer & Cooper, 2019, 2020). The ICF Application Guide (Government, 2019 - 2020, p 8) refers to 'design activities' including 'a Community-led Design event (Charrette), community consultation/engagement'. In Scotland, the 'charrette' moniker has become a footnote, although not before its loose application has come to denote a myriad of participatory strategies.

There is a commendation here. The CMP, AI and MP did not prescribe a method or expect strict adherence to a one-size-fits-all process; thus, a greater commitment to context or Scottish distinctiveness is implied. However, and secondly, there is an ambivalence in wanting to mainstream, popularise and embed the charrette approach in Scotland and the wedge being driven to distinguish practice from the trademarked NCI charrette system. The *design-led* component was an important hallmark, and arguably remains so given the 2019-2020 ICF guide. Further, *Places, People and Planning* states planning's modernisation must move 'from just informing or consulting people to involving them' (Scottish Government, 2017b, p 17):

> The approach is design-led – it allows options for change to be clearly visualised, and in turn this has helped to inspire a much wider range of people to get involved in planning. (Scottish Government, 2017b, p 20)

> We want to make sure people are being genuinely involved and participating, we want to see the design element or the earliest design component to this, there is a place making component. (Participant M, Scottish Government Representative)

Interviewees did not reference the NCI charrette system's key strategies, the design-led component or the necessary feedback loops for output progression. Instead, the Scottish Government gave very loose parameters, which evidences a commendable openness to

tailoring bespoke approaches. Yet, it is unclear what charrette-edicts Scotland was trying to embed. A former Scottish Government representative considered whether their stance, 'it can be whatever you want it to be' was 'at fault' (Participant H, former Scottish Government Representative). The small group of local professionals that replaced DPZ, began implementing their unique interpretations; of which, some were already in play prior to the 2010 exemplar charrette series. Hence a changeability across sites and a discrepancy among professionals on what constitutes a good 'charrette'. For example:

> Charrette*plus*® is actually Charrette**minus**. A lot of the Charrette*plus*® [events] there was no design work; people weren't getting any designs because they didn't have any designers. It was basically a planning charrette, well we can all do planning charrettes, the bit the government was funding was the design work so there was these kinds of issues. (Participant J, Private Practice Professional)

> It's not consultation that uses design, it's a design process that uses consultation. (Participant D, Scottish Government Representative)

Overall, the variability (see Chapter Seven, Eight and Appendix B), lack of parameters and absence of guiding principles suggest what has been funded via the initiative are variants of a participatory, sometimes more consultative, event. They have become, 'just a series of workshops' (Participant U1, Private Practice professional). However, to more directly address my question on similarities and differences, Chapter Eight's characterisation did find some parallel traits among the Scottish cases.

CMP, AI and MP projects have worked at community and local level, rather than informing regional or national strategies. The majority (i.e. 63%) of projects have worked in communities evidencing greater need, as Places, People and Planning intended for future planning processes (Scottish Government, 2017b, p 19). On a broad level, Chapter Seven shows areas evidencing greater need have more often benefited from the initiative than more affluent communities.

Unlike the original three charrettes, project teams[70] rarely included identified landowners and private developers. The 'site development' scale featured less, with an SNH Representative suggesting it 'would be nice to see charrettes for small scale developments or private sector developments' to help 'bring people on board with change before it happens' (Participant G, SNH Representative) i.e. a return to the original concept. A community-led focus from

[70] I use project team to describe the CT and DT combined.

ministers shifted CT structures to include third sector-led charrettes or joint commissions partnering with voluntary agencies working, more commonly, at the 'town / village' and 'suburb, district, area of' scale.

Another notable change lies in costs. Budgets have gotten much tighter: average awards (covering approximately 50% of project costs) ranged between £17,000 and £25,500, the first six CMP awards totalled almost £229,000, and the original three DPZ-led charrettes took £150,000 of grant funding (Hunter, 2015, p 172). Some private practice professionals suggested there is little incentive in tendering:

> A lot of people are stopping doing them of course. The value of the charrettes is dropping. The Lochmuir one was £16k split between three firms over 6-9 months, that's a minimal amount of money. (Participant U1, Private Practice Professional)

I found a core group of five firms that either lead, lend sub-consultancy services or offer both: Wave Particle, Ryden, Kevin Murray Associates, Nick Wright Planning and Willie Miller Urban Design. Firms providing 'Architectural, Urban Planning Services' more often take a lead role with participatory activities rarely outsourced. Although, facilitation support and/or engagement specialists are frequently recruited. Whilst there is little consensus on format, DTs tend to structure citizen and stakeholder engagement via pre-charrette and the main event. Unlike other UK-based studies reporting an overreliance on passive, one-way, come-to-us, 'traditional' mechanisms (Baker et al., 2010), I found events to be typically well-structured with multiple involvement opportunities i.e. a variety of informal and formal mechanisms scheduled at different times. In-situ, 'innovative' mechanisms have been widely used, almost to the point of necessity.

However, some argued these approaches unfold mechanically regardless of context; a critique which is also waged at New Urbanism (MacLeod, 2013). Therefore, reflecting claims in broader literature (Blue et al., 2019), some of these episodes may be creating an illusion of inclusivity (also see Chapter Six, 6.3.3.3):

> They didn't go to any pubs. They just picked off the community groups that the council had recommended, as far as I know… They engaged with the organisations the council had on their books. But some of these people wouldn't even belong to any of these groups. (Participant U1, Private Practice Professional)

> Very often people have a very very thoroughly worked-through template they are going to use come hell or high water… I have done some work with them and formidably impressive in some ways, entirely professional and skilful. But it felt to me a highly manipulative process, it is designed to do it in exactly the same way

> Duany worked in five different places across Scotland and came up with the same solution for all. He steers them to it. It sounds unkind, but I think it's true. (Participant K, Private Practice Professional)

Scotland alongside many others across the global North and South has firmly cemented a commitment to strengthening community involvement -in spatial and community planning processes- via more opportunities for participation and via more creative, innovative methods. Formal participation is undoubtedly normalised. The bundling of participation and empowerment is not unusual (Parker & Street, 2018), and I would argue the latter -the Community Empowerment Act- has been a notable influencer on the charrette's evolution in Scotland. It has broken the exemplar mould, taken the charrette out of its natural home and recast it as a more generic community participation tool in the development of newer statutory outputs (i.e., LOIPs and LPs) and identification of community-led projects. In summary, through Stage Two I found:

- Scotland was well situated to welcome this mobile policy and it had, in years preceding the exemplar Charrette Series in 2010, revered similar participatory methodologies as best practice; additionally, the methodology showcased in the Charrette Series in 2010 helped satisfy several political priorities.
- The Scottish Government commendably welcomed local, contextualised variations of the charrette and imposed no strict adherence to an external participatory logic; although, gave little principled direction on the breed of participation it was trying to cultivate.
- The charrette cases and/or participatory projects supported by the CMP, AI and MP strayed deliberately from the exemplar charrettes in 2010; thus, I conclude there is little trace of the typical 'charrette' as delivered by New Urbanism.
- The charrette cases and/or participatory projects supported by the CMP, AI and MP typically worked at the 'town / village' scale or smaller; were considerably cheaper projects than their 2010 exemplars; had a different type of project team; worked more often in areas evidencing deprivation; worked more often in urban areas; and used a suite of participatory methods often combining come-to-us with going-to tactics.

- The community empowerment narrative had a notable impact on CMP, AI and MP project evolution as they turned increasingly toward the third sector in a pursuit to identify community-led endeavours.
- The CMP, AI and MP is an example of a safe participatory experiment at the national level that promotes citizen involvement and empowerment whilst simultaneously tempering its products.

11.2 Revisiting Stage Three's Evaluation Objectives

Chapter Ten presented findings from two charrette cases but does not situate the findings in a broader discussion on participatory process in community and/or spatial planning. Therefore, I discuss Chapter Ten's criteria more briefly and holistically by drawing on literature, Stage Two interviewee data and all Stage Three data. For each criterion I have included a summary diagram, which can be read -unlike Chapter Ten- not as a data summary but my interpretation of the findings and areas I think warrant consideration in the design and delivery of future participatory practices. These are lessons-learned from practice realities.

11.2.1. Agreed Process

Ravenburn was the most successful in seeking 'input from participants in how they participate' (Brown & Chin, 2013, p 565; Sarvašová et al., 2014), as the PE was more broadly agreed in advance of CMP application. However, in all three charrette cases participants suggested they would have preferred opportunities to buy-in earlier. In Ravenburn, a voluntary sector representative thought post-DT appointment the charrette could have been designed more closely with local agencies; in Brigadoon, a council officer felt his/her department (likely to have a role in deliverables) had no say in charrette design; and in case three, the council-led PE deliberately chose not to formally partner with the Community Council given a concern their involvement may dissuade broader participation. This left the latter feeling as though they 'were scheduled to be charrette-*ed*', and 'expected to turn-up to meetings' aiding a project that had essentially 'been done *to us'* (Participant A2, Community Group Volunteer). A CT member was later 'wishing we had them in at the very beginning of that process' as the group 'did sit back a little' (Participant Q1, Local Government Representative).

Coupled with the observation Shoregrove's volunteers similarly failed to buy-in to the charrette, I conclude not fostering momentum and agreeing the process more broadly to include priorities beyond the CT's, undermines delivery. However, Ravenburn shows garnering early support does not guarantee sustained interest or lead to the turnout anticipated. With reference to their Community Council, early support was possibly placatory to evidence the group met its societal obligations to participate; after all, those participating 'will most likely be understood as a "good-doer"' (Miessen, 2010, p 14).

Whilst agreeing the process is recommended, I appreciate it is easier said than done. The cases and Stage Two interviews highlight tensions in charrettes with a joint-client structure as agencies, sometimes subconsciously, jostle for lead status. Award funding almost necessitates third sector agencies to secure council support and whilst this is a commendable attempt at fostering partnerships it arguably becomes a space where different priorities compete for attention. It is understandable Shoregrove kept a tight grip on the PE ensuring outputs met future funding requirements, and it is equally understandable Elkfall Council jerked as an untrialled, innovative approach to faith group engagement was implemented. It is understandable Econoon wanted to plough ahead maintaining CC interest as Auchternairn Council grew concerned projects lacked justification and policy alignment. It is understandable case three's CT was concerned the Community Council's reputation may taint others' charrette perception, and it was equally understandable the Community Council felt side-lined resulting in a lack of buy-in.

As Professor Sanoff recommended (see Chapter Five), the concept of participatory working needs to be better understood before artificial, or forced partnerships are formed. Data presented in 8.2.4 Problem Complexity and 8.2.5 Community Relations show there is a nervousness around participation that, when implemented, may challenge the status quo. Chapter One already evidences a propensity to tame anything slightly more radical. Therefore, whilst I recommend agreeing the process and enabling participants to influence how they participate, I acknowledge communities are wrought by a host of factors and inexperience, or previous experience of participatory working, that is likely to undermine or challenge a more collaborative approach in the design, development and delivery of PEs.

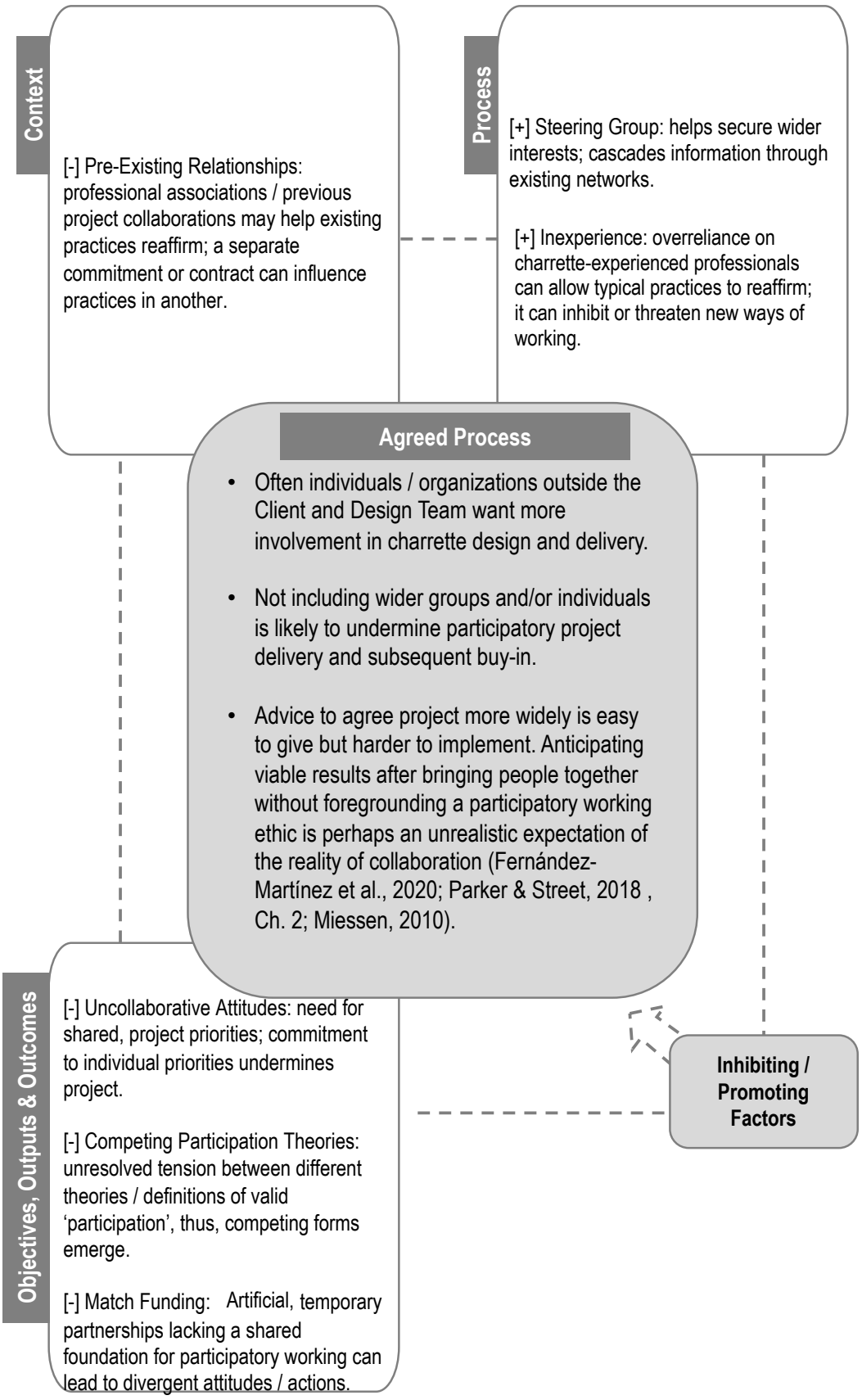


Figure 87: Lessons learned from criterion Agreed Process for future participatory projects

11.2.2. Process Independence

Linked to Agreed Process is Process Independence; the former is said to help the latter (Bishop, 2015). Establishing 'neutrality' was discussed by several professionals describing their PE role as independent, 'content neutral' facilitators, which feeds into a broader discussion on planners' roles (Brownill & Inch, 2019; Inch, 2018; McClymont, 2014; Parker & Street, 2018, Ch. 2; Sanoff, 2006). Similarly, as a Scottish Government Representative has already noted, CTs should take a step-back (see Chapter Nine, 9.4.2):

> Some of the planners have wanted to do it, be in our team. You can't do neutral facilitation. What I often do is work out a deal e.g., you play the client, the host, whatever and you introduce me as the neutral facilitator and then I'll take all the flack and I'll protect you from it because it might be coming your way, so we protect you as the local person. (Participant J, Private Practice Professional)

> Maybe there's a problem, back to the training issue that people don't even understand their role as not being one of facilitation, but you've added content, steered and shaped and I think a lot of leading practices don't acknowledge that they've not done a true facilitation, it's not content neutral they've not gathered the data. (Participant G, SNH Representative)

> So, bringing those people together and acting as a bit of an honest broker, which is a slightly different role. (Participant V1, Private Practice Professional)

Whilst Ravenburn received some (i.e., modest) Survey Respondent criticism suggesting the PE was heavily choreographed, it nevertheless could be regarded as the most independent charrette. Its CT was one-step removed from all participatory sessions, a Steering Group was convened, stakeholder identification was not reliant on CT input and CT feedback was reportedly rejected as an external, competitively procured DT separately managed the charrette. In case three and Brigadoon, the CTs played a heavier hand in either process and/or output development. In the latter, the CT kickstarted stakeholder identification (see below excerpts), participants observed Shoregrove's sway in discussions and suspected closed-door arrangements, and the CT's candid admission cements their influence.

> From day one in fact, even before the project inception meeting on appointment, we commence with pulling together a database of stakeholders in the town. Stakeholders is meant in the broadest sense. (Ravenburn DT Lead, 2017)

> Through various discussion we then have with the key players (we get contacts for the key players from the council or community), and we start to speak to people. (Brigadoon DT Lead, 2017)

> So, we were really providing the charrette people with information at an early stage. And, parallel to that they were gathering their own information about the

> area from the resources they have access to that we don't. (Participant Y1 Case Three, Local Government Representative)

Despite Brigadoon CT observations, the DT was largely favourable. Like Ravenburn, they were not criticism-free, but arguably *perceivably* independent. An interesting finding because the process was not widely agreed, the DT was not strictly external[71], and the DT had a pre-existing relationship with Elkfall Council as well as a separate CMP appointment (with Elkfall Council) in Tignahullish. Further, the DT is supported financially by the Scottish Government, and their advice service is thought to be 'very supported politically' (Participant J, Private Practice Profession). Thus, their funding and compliance with Scotland's planning system already compromise neutrality.

In case three, the council-CT was partially involved in stakeholder identification, aware of their content-neutral position during activities and their external DT was competitively procured, although no Steering Group was appointed. However, a CT member reported uncertainty regarding his/her team's PE role, compared to previous CMP commissions, and opted -unlike Shoregrove- to act like an extended DT member. Therefore, the CT did not double as a participant. However, their influence was felt in output development as a DT member suggested the 'council have removed any record of the communities' needs and aspirations from our report'. This allegedly happened in earlier charrettes: 'we found the same to be true for the other Umsbridge Council's report, the council officers have a huge impact on what you're allowed to write' (Participant T1, Private Practice Professional).

In response, the CT claim sought changes did not impact findings; instead eliminated the 'red-rags to bulls' because they 'wouldn't want planning colleagues to be offended' (Participant Y1, Local Government Representative). Despite the DT submitting their 'final' output several months following the charrette, it took almost twelve months for the CT's 'final' report to be shared publicly. Although Participant Y1 wanted to broaden stakeholder input into its development, this was carefully managed:

> We're treating it as a draft still, draft seventy-two <sarcasm>, we're going to share it with them next week and they'll have the opportunity to feed into it… They'll not be able to add anything, we're happy with the things that are in it, but we may have missed something crucial. So, they'll get that chance. It won't just be the

[71] Assisting communities in early, preparatory stages is a hallmark of the DT's bespoke approach. In Brigadoon, the DT assisted in project brief development.

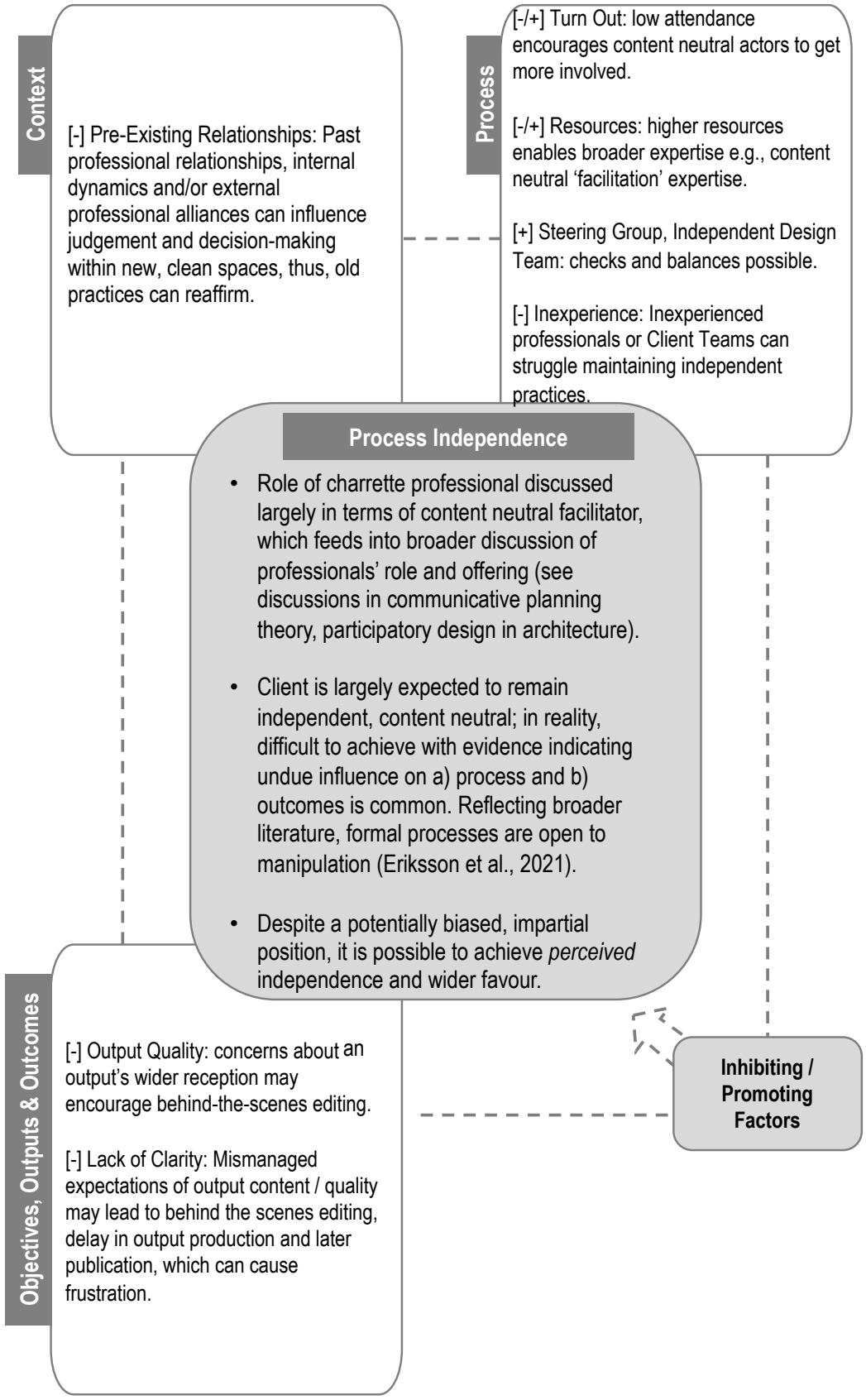


Figure 88: Lessons learned from criterion Process Independence for future participatory projects

> Community Council, other key groups that have been involved. I want to try and broaden that. (Participant Y1 Case Three, Local Government Representative)

In case three and Brigadoon, an absence of clearly defined CT parameters and a felt nervousness around the final outputs led CTs to exert, arguably undue, influence.

11.2.3. Communication

Given criticisms levelled at the restrictive nature of 'formal initiatives' inhibiting exchange and transaction (Blue et al., 2019, p 372), and more generally the scholarly critique waged at communicative planning theory in practice -particularly around the 'opening out' of discussions (Allmendinger & Tewdwr-Jones, 2002, p 10; Purcell, 2009)- it is unsurprising I found communication fell short of the transformative dialogue where 'interests, hopes and fears' are shared (Allmendinger & Tewdwr-Jones, 2002, p 10). Several factors undermined 'knowledge integration and exchange' (Akbar et al., 2020, p 13) despite good process features. For example, unlike Hopkins (2010a, 2010b) and Bond and Thompson-Fawcett (2007), DTs in each case were perceivably independent. Further, there were multiple windows for involvement and different mechanisms to suit involvement preferences across the cases.

However, participants were often self-declared listeners not wanting to 'push the envelope' too far, thus, stripping themselves of a role in discussion or limiting it to one of polite conversation (Elkfall Council Officer Participant E, 2017). A willingness to 'listen and learn from one another' is a prerequisite (Kelly et al., 2007, p. 237) that one respondent more outrightly dismissed. Overall, a number of participants turned up with different ideas around what it meant to participate (see Polletta, 2016), which suggests a need to better define the problem, tasks, roles, and participants' mandate prior to involvement.

Other inhibitors, particularly relevant to Brigadoon, included low participant turn-out, perceived issue irrelevancy, facilitator jargon and inexperience. Managing high participant turnout also brought challenges in Ravenburn. Some participants indicated better discussion management procedures were needed, question framing in an open forum may have muted diverse perspectives and facilitation struggled 'to guide those attending to an informed and pertinent conclusion' (Ravenburn Survey Respondent 23). In case three, the CT and DT jointly struggled with enthusiastic individual(s) with high attendance that occasionally commandeered workshop roundtables and/or entire sessions. As a result, 'there are elements in the report

solely about placating them' (Participant T1, Private Practice Professional). Collectively, findings indicate there is a worthwhile consideration to be had on DT skills to facilitate communication.

More practically it was suggested time limitations curtailed deeper explorations, and in Brigadoon one council officer found it difficult to relax in workshops without understanding in advance expectations of participants:

> A lot of people can find that intimidating. I'm open and can speak to anyone but not keen on speaking in big groups… but to speak-up and tell everyone else what this small group has done, I'm think that's information overload I was coming along to hear to actually listen… it would have been more helpful if the organisers explained we'll be working in small tables and a DT representative at each table would feedback. So, people would be clear, instead of sitting down and you're thinking who is going to do the feedback? (Elkfall Council Officer Participant D, 2017)

Summarising some of Chapter Six's findings, others contemplate in-built avoidance strategies maintaining participant homogeneity, and question the extent unseen constructs help to induce or stifle open and honest exchange with unspoken limits on participant candour:

> Things like Edgemont was very much a council run thing where the council were walking round the tables like the thought police. You know, making sure nobody was going to say anything that was off message. People walking around in black suits around the tables where the community was working away, going, oh, can't say that. (Participant U1, Private Practice Professional)

Finally, this study found like Kangas et al. (2014) charrettes can stall in the creative, data collection phase without much progression despite overall acceptance the approach should be a 'process that evolves and is very iterative' (Brigadoon DT Lead, 2017). Despite Ravenburn sharing an evolving draft output, thus demonstrating development, some felt there was 'a lot of repetition' (Ravenburn Participant B). Participant T1 described their process management as iterative, but also showed reluctance in whittling contributions for fear of undermining perceived Process Transparency:

> If a community member sees you taking something off the board, then there's often a conversation about why you're doing that and what you're doing… it gets in the way if you're talking about this process where people can come back and check-on every day. (Participant T1, Private Practice Professional)

Brigadoon's charrette was dubbed 'a brainstorming event' (Elkfall Council Officer Participant F, 2017), whilst Stage Two interviews spoke more generally about charrettes often creating a buzz without stirring much conversation:

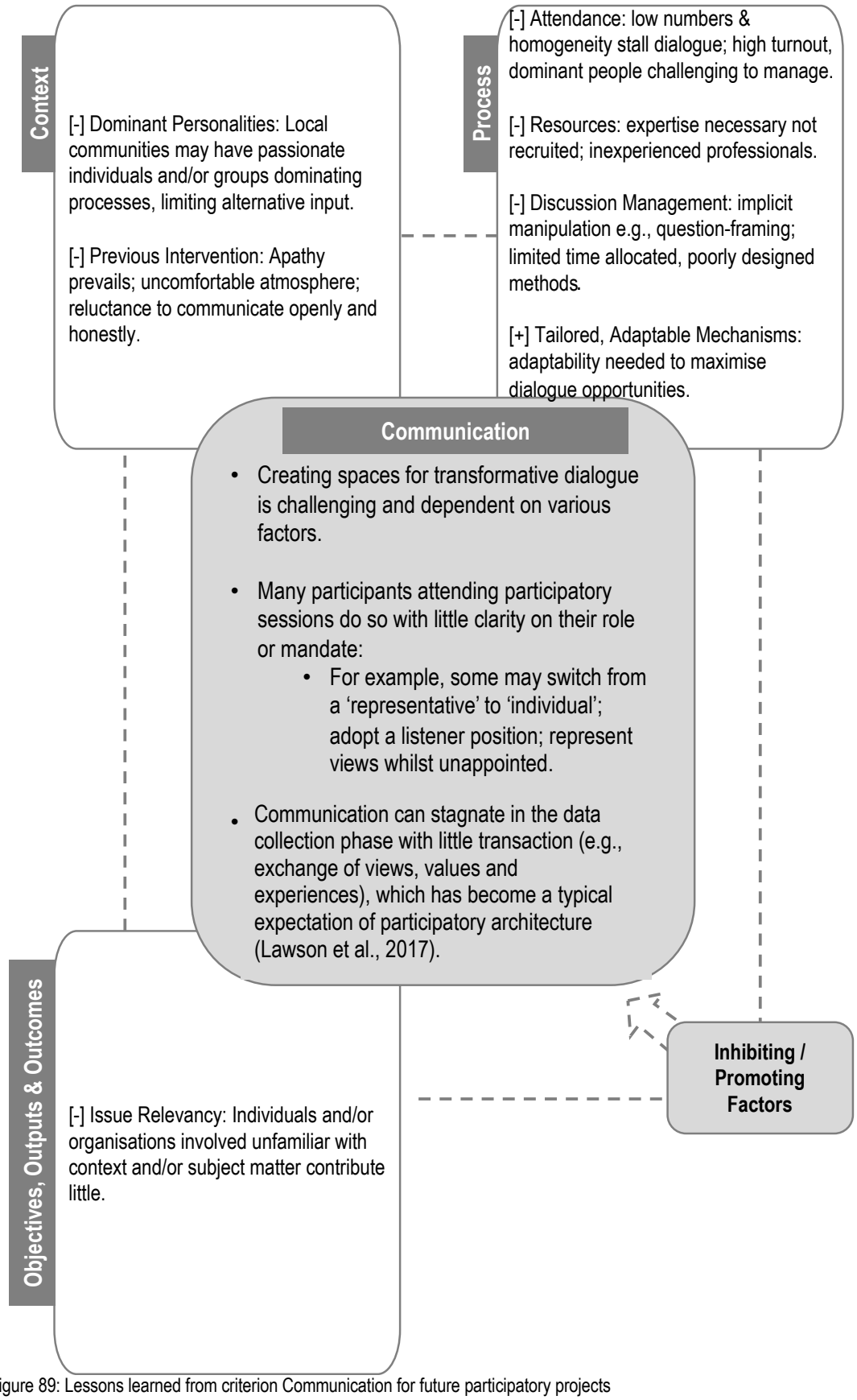


Figure 89: Lessons learned from criterion Communication for future participatory projects

> A typical charrette thing that someone like X or Y will go 'Oh!' [Then] a bit of hand waving and we've done all this, here's a wee slideshow… Now I want you all to go into groups and talk about it. We go into groups and talk about it and everyone sits there and someone's writing stuff down and there's a feedback session. There may be six groups in the room and by the time you get to the sixth group all the issues have been covered anyway… The MCs as it were, don't even do the feedback, they just take the stuff off the table and pin it up on the walls, so it becomes like wallpaper. Look at how busy we've been. (Participant U1, Private Practice Professional)

> There's a sense of it's just all about being really busy, a charrette is all about being so tired at the end of the day, working long hours, made teas and coffees, you meet and greet. It doesn't need to be like that. (Participant G, SNH Representative)

11.2.4. Outreach and Early Engagement

The relationships, or more cautiously connections, that started to form in Brigadoon's pre-charrette phase can be revered as one of the most successful outcomes from that charrette. The DT took a tailored, innovative approach for one stakeholder category. On the whole, cases and Stage Two interviews indicate Outreach and Early Engagement more often falls short of recommendations in Lennertz and Lutzenhiser (2017), and that practiced in Lamers et al. (2010). Whilst building 'knowledge and a database of community organisations' is typical (Participant Y1, Local Government Representative), the next step of stakeholder *analysis* is less evident; however, main event sessions were often themed with some hosting stakeholder-specific sessions separate to public sessions. It was suggested bespoke rather than blanket pre-charrette communications could be beneficial. Although, limited resources make robust identification, analysis and personalised recruitment challenging, its omittance can be damaging: 'I'm really sad we missed out on because we didn't have enough time to figure out who exactly the contact list should include' (Participant T1, Private Practice Professional).

Like Sayce et al. (2013), input was gathered very early from those outside the CT in case three as a Community Council meeting was arranged prior to finalising promotional material. However, contributions made little impact on pre-charrette material (see below quotes). Likewise, it was suggested the informal Steering Group in Ravenburn could have worked closer with the DT during pre-charrette.

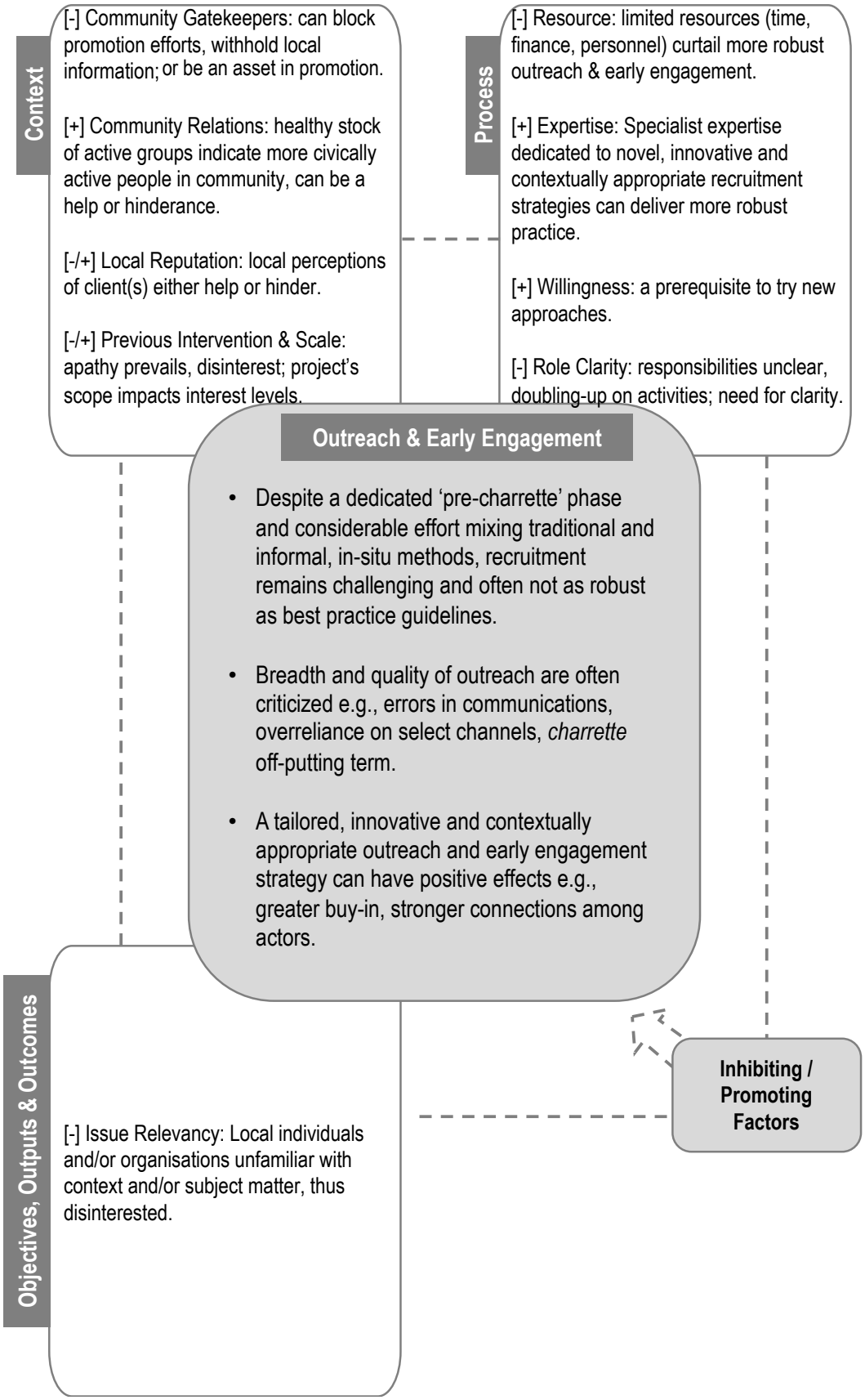


Figure 90: Lessons learned from criterion Outreach & Early Engagement for future participatory projects

> A meeting with the Community Council, it was a month or 6 weeks before the charrette, where the lead had done a draft of the flyer, it wasn't finalised at this point… they [i.e., Community Council members] said: look it's not clear what you're asking people to come along to here. What is the purpose of this? What is the question?... I sent an email with a few thoughts… my personal experience is here are some things you might want to think about including in that flyer to address the quite legitimate concerns that were raised last night… but the flyer didn't change really… it's not to complain about his/her treatment of that issue but I think that little story sums up the way the team worked or didn't work. (Participant V1, Private Practice Professional)

Across cases, participants similarly complained of outreach breadth and quality. For example, *charrette* confused, potentially deterred involvement; concern for an over reliance on targeting organised groups; limited interests identified; key details not communicated e.g., session times; and as Brown and Chin (2013) conclude, PE limitations not clearly communicated. Further, findings suggest PEs could better publicise through 'day-to-day activities with community groups' (Participant Y1, Local Government Representative) i.e., through informal, existing networks. However, as Ravenburn showed, community gatekeepers may withhold information; therefore, I advise including an explicit instruction to share.

Finally, again clear parameters are needed to understand roles in pre-charrette. As the above shows, the Community Council fed into pre-charrette expecting to influence it, when the DT had a different perspective: 'they're acting as though they are a partner even though they are not' (Participant T1, Private Practice Professional). Additionally, Shoregrove was sometimes unsure of their responsibility pre-charrette and council officers independently ran a separate door-to-door campaign to raise PE awareness. Coupled with targeted faith group involvement -that secured church leader rather than wider congregation involvement- a Brigadoon DT member wondered, *to what extent are potential participants feeling they have already been involved thus diminishing a need to attend main events?*

11.2.5. Inclusivity and Representativeness

As earlier discussed, this criterion is inherently challenging and criticisable, despite a generally settled view on the need to engage multiple stakes, values, interests and expertise to better decision-making. All charrette cases dedicated resources to informal, in-situ mechanisms and curated an event with multiple and varied opportunities; however, like other studies, the criterion remains difficult to fulfil (Akbar et al., 2020; Bond & Thompson-Fawcett, 2007; Damayanti & Syarifuddin, 2020). Similar to Akbar et al. (2020) and Marzuki et al. (2012),

Brigadoon was especially hampered by a low, homogenous participant turnout that was arguably composed of professional and either key or peripheral CT members. However, greater DT Volunteer diversity was thought to partially compensate. Stage Two interviews observe this uneven terrain of interests is not atypical:

> But the other side is it is top-down more than it ought to be. Their Edgemont charrette, same problem. You looked at who was attending, who was an ordinary person and who was an official council member or from a quango, about three quarters of them are. (Participant H, former Scottish Government Representative)

> Port Fairmount… there was no community, no community. Just a whole lot of public sector bods floating about in suits. (Participant U1, Private Practice Professional)

> But you can end-up with a meeting where half the people in the room know more than the people who've turned up from the community and sometimes less, because some of the people that have turned up might be ex-planners, ex-architects… so you get that weird thing (Participant J, Private Practice Professional)

Similar criticisms were waged at Ravenburn, although document data suggests this PE's participant turnout was higher and more diverse. The majority of interests engaged were *local*. However, a minority (27/108)[72] were considered Ravenburn Residents *only*. Other *local* people were affiliated with community groups or businesses or employed by Auchternairn Council. Again, the latter is a peripheral CT member and group affiliation shows many of those attending are already civically active. In case three, when citizens -separate to organised groups- did engage they observably distanced themselves from others with group membership, which the council-CT indirectly predicted: those 'who didn't view themselves as part of that group [i.e., Community Council] did not engage with them and almost purposefully only engaged with the outsiders in the room' (Participant T1, Private Practice Professional). Therefore, findings show eliciting views from the unorganised public (i.e., those not affiliated with organisations) in the main event can be challenging, which feeds into other discussions on the 'unacknowledged demand' imposed on the *unorganised* and the dissipating lay perspective as citizens professionalise in adopting an 'expert' etiquette (Aitken, 2010, p 124; Brownill et al., 2019; Inch, 2015, p 422).

[72] See 10.5 Inclusivity and Representativeness for a breakdown of this figure.

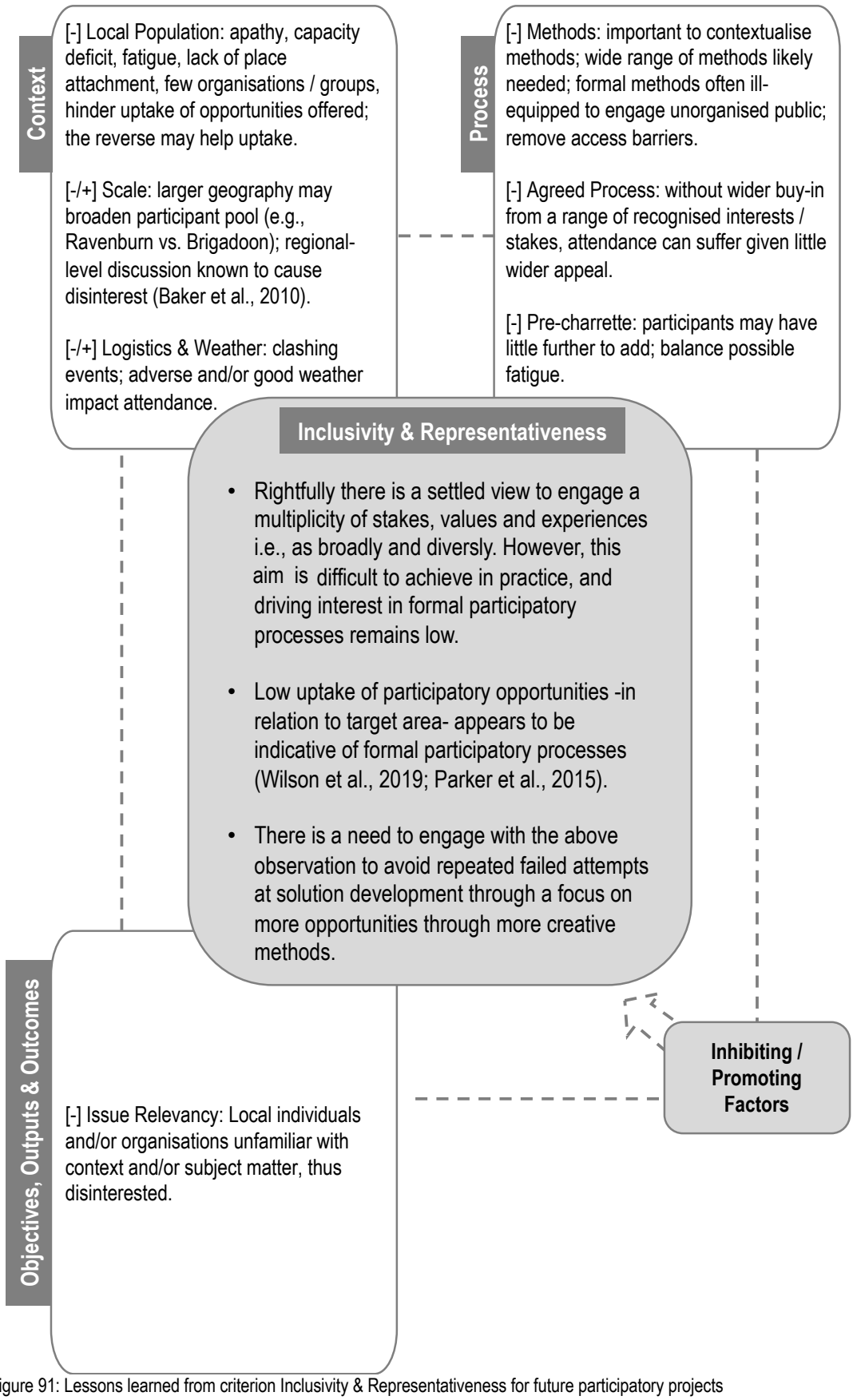


Figure 91: Lessons learned from criterion Inclusivity & Representativeness for future participatory projects

Whilst I argue minimising barriers and delivering more creative means for involvement is unlikely to attract the masses, I nevertheless share some practical takeaways. First, only one young person in Brigadoon made a contribution to the whole-group feedback discussion in what was otherwise an all-adult workshop. The 'bureaucratic format' is known to discourage participation (Vigar et al., 2017, p 15) and formal workshop involvement -as I have shown- is not suitable for all. Given other mechanisms were used, the observation refers to DT capacity to adapt in the moment and maximise mechanisms when faced with change. In short, flexible, adaptable facilitation. Second, document data shows the third case consciously considered how 'elderly, visually impaired and disabled people' would be included (Community Council Meeting Minutes, April 2017). Therefore, provisions -which were questioned in Ravenburn- were offered, and I underscore participants' different needs must be addressed. Third, mechanisms need to be tailored to contextual characteristics; for example, as Bawole (2013) also found, illiteracy undermines one's ability to respond to questionnaires independently. Likewise, 'workshop' terminology was found to be off-putting in Brigadoon, and some residents struggled with digital updates and communications. The terminology was replaced in the DT's Tignahullish charrette, which is a positive sign indicating informal monitoring and evaluation.

Finally, although a suite of mechanisms is arguably already in use, toolkits have been accused of unpacking in similar ways. Charrettes and PEs generally in Scotland could benefit from experimenting with less-frequently cited strategies. For example, including digital means that typically appeal to a younger demographic (see Brown, 2012; Wilson et al., 2019); combing through 'views from outside formal participatory processes' e.g., social media comments or other planning processes (see Beebeejaun & Vanderhoven, 2010; Vigar et al., 2017, p 15); or theatre play that offers an alternative communication style (Rannila & Loivaranta, 2015).

11.2.6. Process Transparency

Process Transparency was an important criterion for some Ravenburn respondents with requests to better understand why ideas were either progressed or not, and an apparent concern 'decisions will be made which are not transparent' (Ravenburn Survey Respondent 24; Ravenburn Participant B, 2017). Measures were taken to heighten Process Transparency.

Ravenburn and Brigadoon charrettes made use of online-communications and social media platforms; newsletters were well-received in Brigadoon; Ravenburn continuously updated an evolving report that was subject to public scrutiny; Brigadoon compiled a supplementary process report to show 'you're not hiding different results' (Brigadoon DT Lead, 2017); and the DT revisited Ravenburn twice during output production months. In the third case, a CT member expected output recommendations to be clearly tied to an evidence base:

> And in a really simplistic sense, read from front to back and by the time they get to the part on conclusion, action plans and recommendations they would be able to see and understand where they had come from. (Participant P1, Local Government Representative)

Findings indicate all cases fell short of sheer transparency, despite efforts described. In Brigadoon, respondents -with the exception of one- grew suspicious of 'what discussions were going on behind closed-doors between Shoregrove and Lou [i.e., DT representative]' (Elkfall Council Officer Participant F, 2017). Brigadoon respondents claimed input was added disingenuously and other contributions had not been recorded. One accused Shoregrove of tampering with input, which given Shoregrove's candid admission of output editing is not an unsubstantiated accusation. A similar finding in case three as respondents grew distrustful of what was happening behind the scenes. Initially, expecting a draft report six-weeks post charrette, some participants were losing confidence:

> So, it was end of July and I enquired with Mx J Doe about what the situation was, and s/he said they had received the report but had put it back to the consultants because it needed to be 'beefed-up', was his/her words. (Participant B2, Community Group Volunteer)

> Beefed-up? But we don't know whether that's Umsbridge Council driving it. Or, just why, you know, you begin to lose confidence <laughter> (Participant A1, Community Group Volunteer)

Although summer holidays played a role, the delay emanated from 'on-going discussions with the consultants' (Community Council Meeting Minutes, 2017)[73] as the CT and DT disagreed on a satisfactory output standard.

[73] The meeting minutes cited were published seven-months following the charrette event.

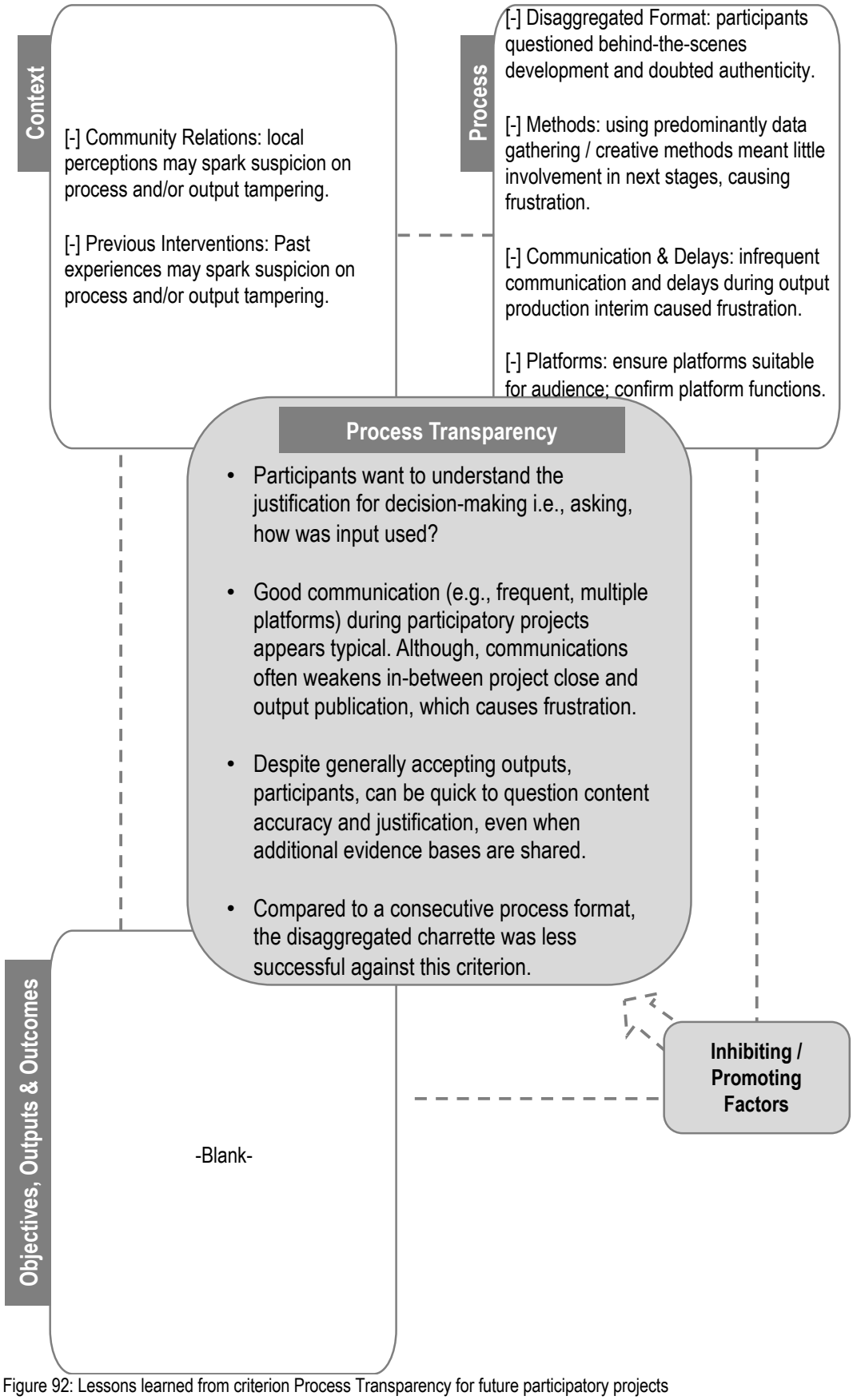


Figure 92: Lessons learned from criterion Process Transparency for future participatory projects

When shared, the Community Council claimed there were factual inaccuracies and 'items were also omitted from the draft report' (Community Council Meeting Minutes). Like Bawole (2013) reporting participants suspected an unauthentic output, third charrette case participants were similarly unconvinced of authenticity:

> Yes, doubtful of some of the things- you know, like the numbers… You know, it's, the numbers- are these all the people that have been? And then you find out no, they've been counted every time. They're going, oh well what's the point?! (Participant B2, Community Group Volunteer)

Given relative quiet in Brigadoon and the third case's production months, Ravenburn's additional sessions may have eased a project communication deficit. However, for those that attended the main charrette event, additional sessions were perceivably redundant. Later, the CT discovered digital complications meaning participants were not receiving communications. Nevertheless, I found more evidence in this case participants felt the DT was authentically reporting participant input. Similar to Kelly et al. (2007) and Kangas et al. (2014) that found input tracing challenging and an absent audit trail, a CT member did question the evidence base for proposal inclusion.

Overall, several factors undermined this criterion. A disaggregated process format, a lack of continuous communication and lack of progression across the main event left some unsure where proposals had originated. I conclude an unfilled lacuna between predominate data collection methods and output publication has partially weakened Process Transparency.

11.2.7. Output Endorsement

Charrette output(s) have impacted local planning arrangements in their non-statutory form; however, the extent they impact is context dependent. For example, Participant O's exasperated retelling in Chapter Eight contrasts with others observing outputs used in decision-making: 'The Planning Authority actually made some decisions quite quickly based on the charrette report… that was good because technically the charrette report had no status as a planning document' (Participant D, Scottish Government Representative). Across cases, CTs anticipated where outputs may land and admitted striking a balance between 'publicly accessible' and 'influential with professionals' posed a challenge as 'those two things are in tension with one another' (Participant Q1, Local Government Representative).

In Brigadoon and case three there was a concerted attempt to embed outputs and/or assign responsibility, for example: 'We're now trying to get to the point where the Locality Partnership and the CPP fundamentally become the responsible people. And then it becomes fully part of something (Participant Q1, Local Government Representative). I found Auchternairn Council's reception (i.e., in Ravenburn), to be somewhat lukewarm in comparison to the other cases. Post-publication, Auchternairn Council reportedly took a step-back as CT agencies worked at different paces. This left 48 of 59 output proposals nominating Auchternairn Council as a delivery partner or lead agency, unendorsed by the relevant departments when local citizens were prioritising proposals in post-charrette follow-up activities.

In the third case, although the report was not publicly available or signed-off, the alleged contents were endorsed. This was evident as charrette findings were reportedly incorporated into the emerging LP; additionally, other groups acted independently off-the-back of their charrette involvement and action was taken on sixteen short term proposals. In December 2017, a CT member rallied the Community Council to meet a Spring 2018 budget deadline and put into motion a series of charrette 'quick wins'. Participant Q1 claimed a stalled report did not inhibit action: 'We know what the recommendations are going to be, we don't need to wait for the report, that's just procrastination' (Participant Q1, Local Government Representative). However, it does leave unanswered questions around the charrette's cruciality in identifying these sixteen quick-wins, and their authenticity given the report's confidential status whilst it remained *in production*. A different M&E design could better trace post-charrette developments and link them to their charrette origins.

Regarding output quality there was concern across all three cases. Shoregrove was reasonably pleased with the outputs but thought *their* editing brought greater focus. Whilst themes, objectives, priorities and actions were identified their generality suggests reports are a compilation of ideas, rather than proposals with a supporting intervention strategy. Conversely a much more comprehensive Ravenburn report was not challenge-free. As Kelly et al. (2007, p 237) also report, the resultant output was arguably 'a very cumbersome document'. Project themes are reasonably justified given their link to input and data analysis, and there is a greater focus on context and delivery. However, the report(s) proved challenging to share and only limited hardcopies were made available. A few inaccuracies in the draft and final outputs slightly weaken overall quality. A reason for this finding could be its

comprehensiveness compared to Brigadoon; with more to scrutinise the greater margin for error.

The third case was most problematic with the aforementioned disagreement between CT and DT on its tone, contents and quality markers and the twelve months of predominantly CT-led revision. Upon receipt of the final report, the Community Council thought it impossible to read and asked the council-CT to make it a) more easily accessible and b) presented in a 'more legible format' (Community Council Meeting Minutes). The DT's disjointedness became apparent as one CT member was unable to detect a broad base of expertise in drafts, as did subconsultants comment on contribution omissions and fragmented development. With reference to Agreed Process, terms had also not been agreed in advance:

> By regional -and this is one of the words Umsbridge Council and I are currently having an argument about- for them, regional means Hagley & Keith, Andover and Enfield. For me, regional means St Wren <laughter> (Participant T1, Private Practice Professional)

> They want [Subconsultant X] to turn up and talk about architecture and housing, but they haven't used it in the report, the draft report. They haven't used my stuff, they will eventually but they just ...they've got their own thing. And in a sense, we [i.e., subconsultants] we're just wallpaper for the event. (Participant U1, Private Practice Professional)

Whilst this criterion explores the extent outputs impact local decision-making, an interesting discussion lies in the foundational quality of outputs that ascend into statutory documents. Brigadoon has mixed findings against process criteria: it appeared not to derive consensual project goals, agree terms and limits; it was non-independent given the CT's visible influence; communication in the room was evidently compromised; and proposal development was managed outside the charrette. Yet, its output was welcomed by local government and other non-government agencies. Why not? Local government has new statutory requirements to fulfil, therefore, council departments are likely to endorse outputs -despite their quality- when they align with local policy. I argue when outputs make an impression, the quality of the process from which they were born may rightly be under scrutiny, given:

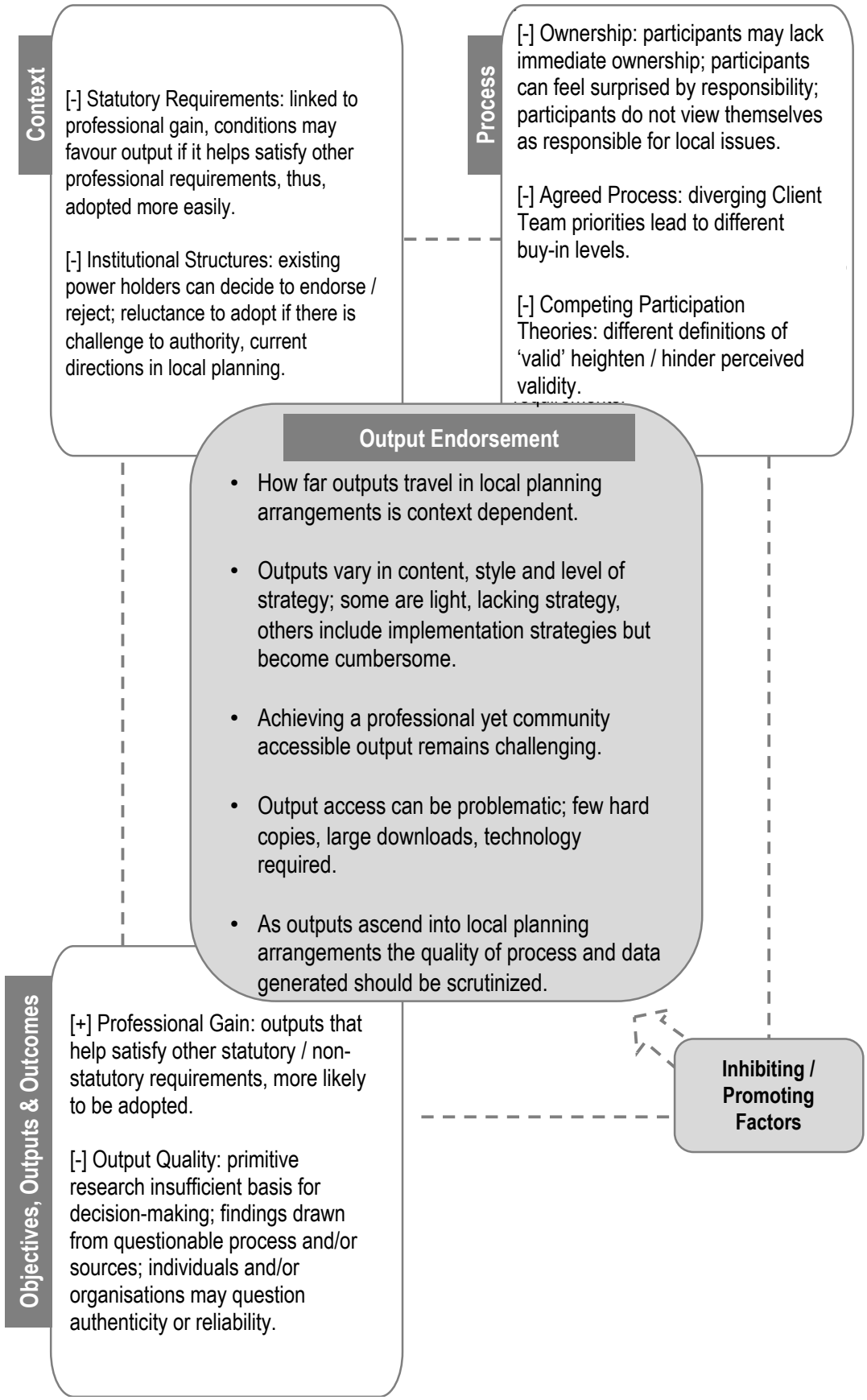


Figure 93: Lessons learned from criterion Output Endorsement for future participatory projects

> In hindsight that's something we should be asking to come with the report because obviously another piece of work that links into this is our Locality Plans that we have been involved in developing, under the Community Empowerment Act. That is evidenced-based, it's databased… We have charrettes in those, that's the thing, we're using charrette reports to say… The charrette report could be written by only three people attending. So, is that a true picture of the needs of an area? (Participant Q1, Local Government Representative)

> We've been working with the Development Trust there, who commissioned us to do this report, and they went along to some charrette activity and my client said s/he was one of two that turned up. Months later s/he was at a conference thing where one of the people who led on the charrette or someone from the council was talking about the charrette and although s/he thought the numbers quoted might be true as percentages but that was like 90% of four <laughter>. So even how the findings of this process were wrapped up were maybe slightly disingenuous. (Participant E, Private Practice Professional)

11.2.8. Emerging Arrangements

Brownill and Carpenter (2007a) and Manuel and Vigar (2020), describe vibrant PEs engendering limited longer-term effects. Therefore, any outcomes are not definitive signs of lasting charrette success. Nevertheless, all cases successfully created a platform in which connections were made, including the third charrette case: 'if we've done anything, we've opened the doors to other departments and made connections that weren't there before' (Participant Q1, Local Government Representative). Although it would be too early to call these *relationships*, participants broadened their networks, their local awareness of groups and/or services and found others with common interests. Had it not been for their charrette involvement, these connections were thought unlikely to materialise.

A new forum was anticipated in Ravenburn given the charrette was part of Econoon's wider CC initiative. With continued support, respondents were hopeful a year later as the group moved (albeit) slowly and were successful in securing additional funds. In Brigadoon two new forums emerged and Elkfall Council Officer B attributed these intangible successes as 'direct legacies of the charrette'. However, to their slight dismay Shoregrove were 'stuck with organising and chairing' one (Shoregrove Secretary, 2018), despite their intention to distribute responsibility. This marries the observation in Smith and Iversen (2018) who state it is often left to participants to sustain the participation in the aftermath. A particularly good feature of Brigadoon's charrette was their new and/or stronger relations with local churches. Unlike findings in Kangas et al. (2014, p. 18), this perhaps evidences some 'enabling of social conditions necessary for future work'.

Although not detectable in case three, the CT observed new groups emerging from previous charrettes. However, wider local authority resistance in the aftermath indicates a culture of participatory working was unlikely embedded:

> One of the meetings I had last week was with the Development Trust that came out of the charrette in Canwell and all they wanted… the council have been avoiding them because they felt they want more money and want us to do things. But they don't. They want to feel valued by the council as a partner. (Participant Q1, Local Government Representative)

Whilst these new spaces for community activity are commendable, there have been earlier incentives to mobilise citizens, establish community groups and uncover paths to available 'community' funding in Ravenburn and Brigadoon:

> I was involved in something before the charrette. It was when we had the newly created Loch Lomond and National Park… six months before, someone employed a very good consultant, a charrette like consultant… their job was to go to all the villages in the national park and run consultations on how they could set-up development trusts. Give them the tools, get the locals involved, give them the tools they need to apply to get a development trust status. So, all the things I've mentioned… it all came out of that initiative in 2004-5… These trusts are still going. (Ravenburn Participant C, 2017)

> There were some members of Shoregrove when I first started (10 years ago) that were also in a regeneration group… I thought they need to die of natural death because they didn't know what they were focussed on or trying to change. They had been put together in order for previous managers to get money into the area. So, it was manipulated. I spent a lot of time with them asking what are you trying to change here? They didn't know. (Elkfall Council Officer Participant C, 2017)

Artificially inseminating communities with embryonic civic forums is therefore not new. Establishing such forums can be read as an attempt to co-opt already active citizens into a less radical, more acceptable form of active citizenry (see Lemanski, 2017). I conclude outcomes-focussed evaluation is needed to better understand how these new spaces play-out.

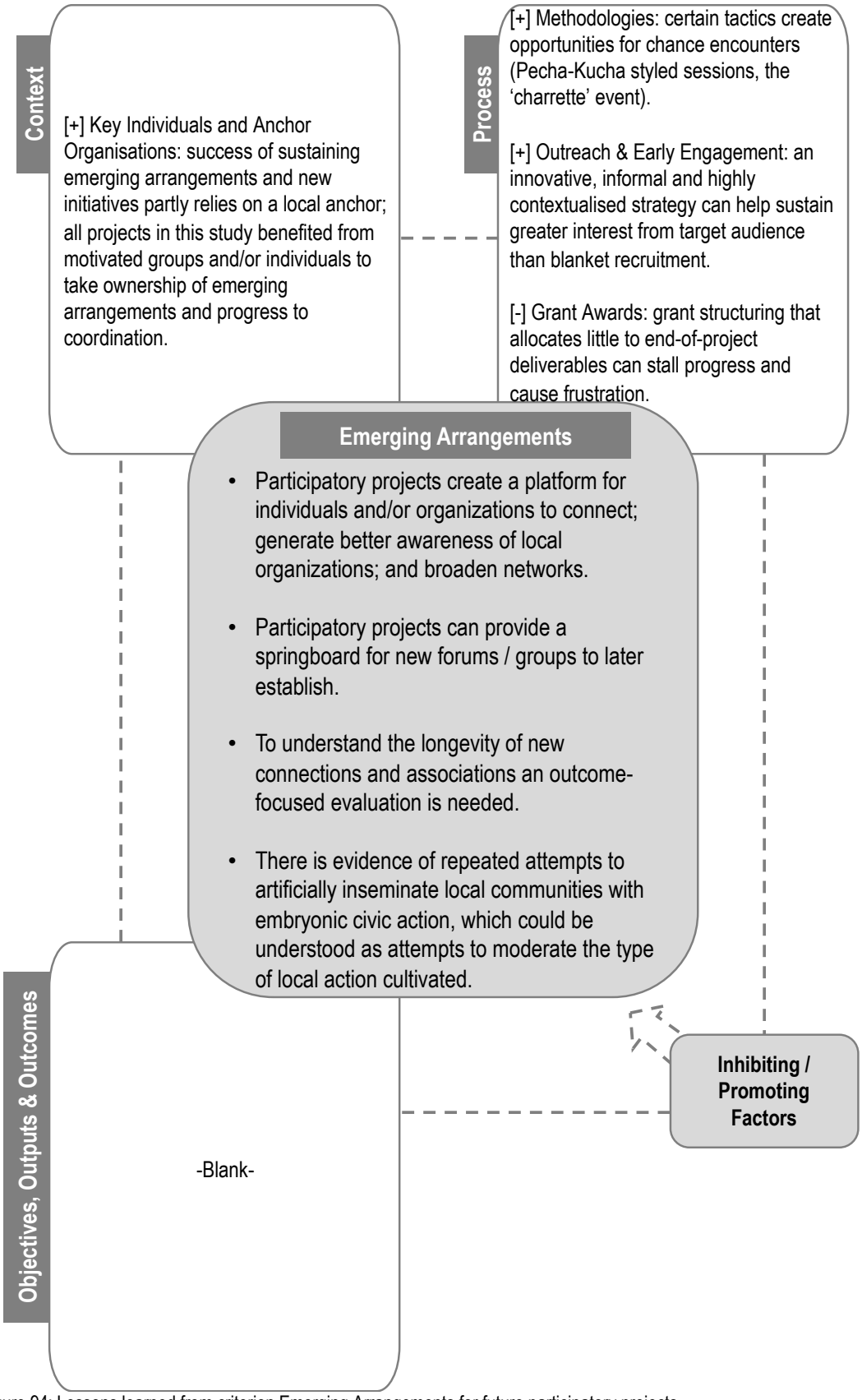


Figure 94: Lessons learned from criterion Emerging Arrangements for future participatory projects

11.2.9. Participant Gain

Neither charrette was fruitless. Starting with an instrumental perspective, Brigadoon strengthened their relationship with local churches, which could support future deliverables. By 2018, I found one church leader actioning an output proposal whilst a separate agency progressed another. The output had been widely endorsed, thus legitimised in the eyes of local government, which should similarly support proposal implementation. In Ravenburn, Auchternairn Council Officer A reported on his/her re-engagement with the CC and involvement in progressing an output proposal.

The third charrette case, despite its stalled output, made progress on deliverables. Similar to Econoon -that had early success in securing MP funding and appointing a part-time coordinator- less than one year following the third case's main event, approximately £25,000 had been allocated to support short-term outcomes. Eighteen months later, a development worker had been appointed: s/he was using the charrette outcomes to derive an action plan. Together, there are examples of implementation and/or implementation-support. In Stage Two interviews, Participants L and V1 also discussed how citizen involvement supported project implementation by reframing anti-development attitudes:

> Shorttails started off as an EbD and there was strong opposition when we first started off with the public meetings, with several hundred people, mostly opposed and in the final application there was six letters of objection and six letters of support. (Participant L, former Prince's Foundation Representative)

> There have been individuals who have come along and disagreed vehemently, 'oh this is a waste of time' they may have then calmed down over the process and become quite positive. In Ebsworth for example, there was a person there who was very against development, 'there shouldn't be more development at all, no more new housing'. By the end of the charrette s/he was suggesting 'oh, well it would be ok to have housing there provided you have these facilities there'. (Participant V1, Private Practice Professional)

From a substantive rationale, respondents most often cited charrette involvement helped improve their local knowledge and gave some insight into community perspective or feeling. Again, one concern is the low turnout and self-selecting nature of participants that could unwittingly provide a narrow perspective that is mistaken for collective feeling. It is the same 'validation' issue Bishop discusses as neighbourhood development plans must be 'demonstrably a 'shared vision'' (Inch et al., 2019, p 743). Nevertheless, involvement helped Elkfall, Umsbridge and Auchternairn council officers re-engage with community:

> Well, that [i.e., charrette] was a good opportunity for council officers to get out there. Half have never been out of Dowey. (Participant Q1, Local Government Representative)

> I was only involved in one of the workshops. Think it was service delivery, in Figgis or Sundae. I hadn't ever been there before. (Participant Z1, Local Government Representative)

More so in Ravenburn than Brigadoon, there was evidence participants regarded solutions as novel or creative. Conversely, Shoregrove's Chair wondered whether people provided fanciful ideas under pressure as s/he criticised the unrealistic nature of some contributions.

Normative benefits included skill or experience gain. For example, Brigadoon's DT structure enabled volunteers with very little facilitative practice to gain hands-on experience; thus, heightening self-esteem and building competency in the role. Further, Shoregrove greatly appreciated a moment of thanks as the charrette brokered an exchange in which one local community sector expressed their gratitude for Shoregrove's community work. Despite 10.3 Communication lagging in some respects, participants broadened their understanding of other perspectives. Exchange in communicative spaces was evident in Brigadoon's Place Standard workshop, and more so in Ravenburn's workshops with experienced facilitators and Pecha-Kucha inspired sessions.

Finally, charrettes have reportedly helped re-energise some individuals or prompted more involvement than normal. Participant B described 'just two examples' from another charrette in which two charrette-regulars 'hopefully felt, you know, empowered and possibly became ambassadors for a particular angle'. However, these are observations at most. I have not observed any resources being allocated to explore the emancipatory potential of charrette involvement at an individual level. As Participant V1 commented earlier, many DTs refer to capacity building but without knowledge in community development. At a more collective level, others have argued charrettes can act as a 'sort of spark or catalyst to the longer term' (Participant G, SNH Representative); thus, I would argue many charrettes have likely created waves… whether these sustain, fade to ripples or complete stillness, is uncertain.

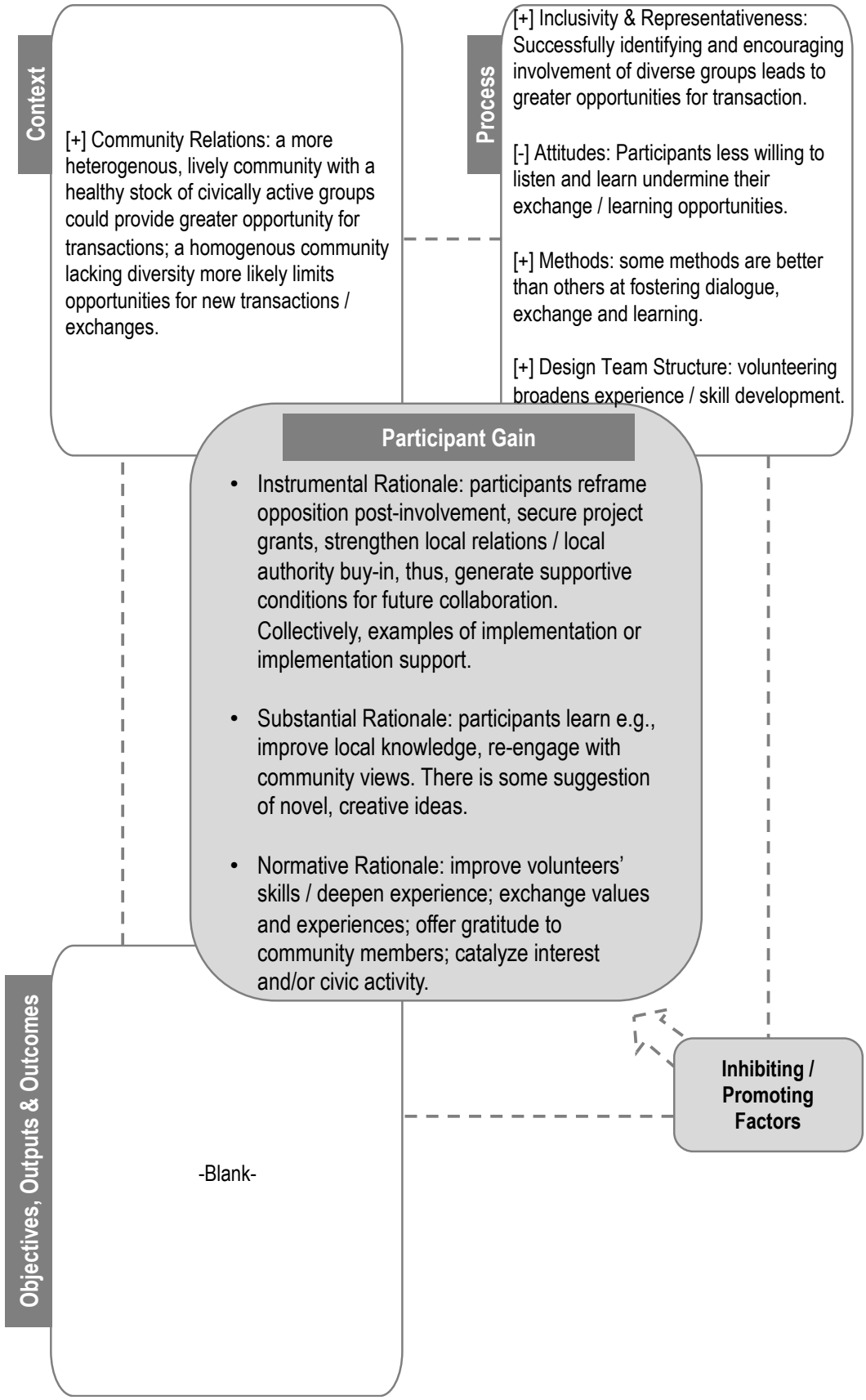


Figure 95: Lessons learned from criterion Participant Gain for future participatory projects

11.3 Five Reflections for Participatory Practices

This closing section shares insights drawn from my entire stock of empirical data collected in the Scottish context on the practice realities of state-supported, formal openings of citizen involvement and the tensions that materialise. There is more to this discussion than polishing our participatory practices, therefore, I refrain from recommending more in superior formats. A pursuit for remedies or the optimal technique is laudable but seemingly exhausted and somewhat futile (Brownill et al., 2019, p 123; Brownill & Inch, 2019, p 21). Techniques must always be contextualised and varied; each carry a set of pros and cons.

Since Scotland continues to use variations of a community design-led event (AlWaer & Cooper, 2020), I kickstart this discussion with *Procedural Recommendations for Participatory Design Projects*. Following Figure 96, the discussion moves to *Reflecting on Policy and the Responsibilisation of Community*, *Clashing Participation Theories*, *Predicaments in Participatory Design Processes and Policy* and finally, *A Call to Strengthen M&E Practices*.

11.3.1. First Reflection: Procedural Recommendations for Participatory Design Projects

I derive three procedural considerations. First, the matrix proposed in 1978 that recommended establishing 'agreement on goals and objectives, and an indication of whose goals and objectives they were' (Rosener, 1978, p. 459) is still very relevant. Watson (2014) distinguishes collaborative planning from co-production claiming the former is typically more strategic. For Fung and Wright (2003) a component of EPG is its focus on a definable problem. My research shows CMP, AI and MP projects have broadened their remit (see Chapter Eight's issue-type discussion), and in doing-so I fear started to aimlessly collect data without understanding the project's question, who might be interested in the answer and how the project sits within its broader context. I appreciate many outputs aim for adoption in local planning documents (e.g., LDPs, LPPs, LPs, LOIPs) but this raises questions on process quality, breadth and depth of data, and weak outcome visibility for participants. Embedding outputs may better serve local authorities in meeting their statutory obligations more than bestowing control to citizens and local groups in support of their endeavours, despite the community-led focus.

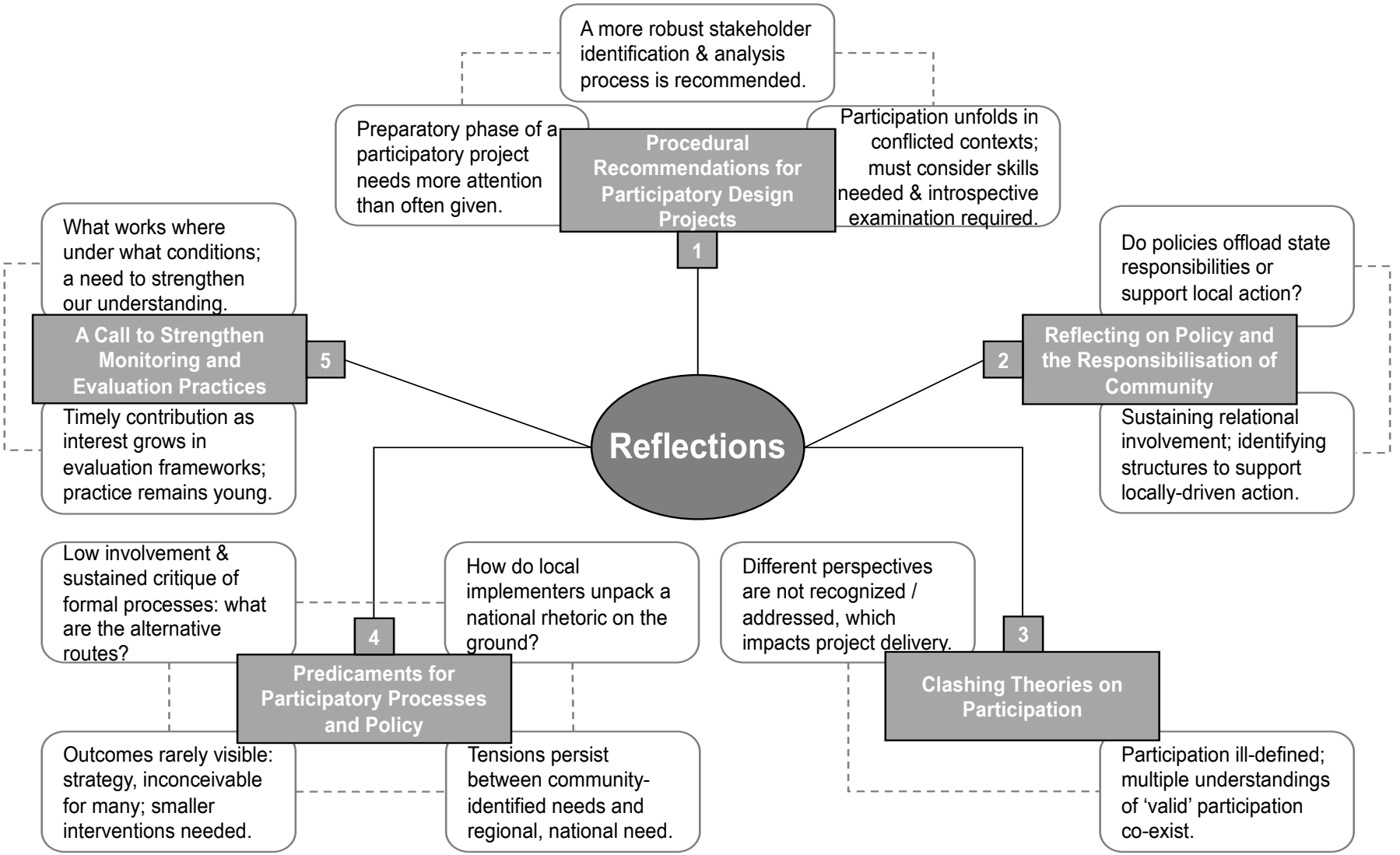


Figure 96: Summary of Five Reflections on Participatory Practices

Design-led events, charrettes, PEs -whatever their name- are convened in what appears to be -at times- a relatively vanilla setting where topics are abstract with no evidenced need for involvement. An impassioned, angry community can be a good ingredient to 'catalyse residents and engage them in a constructive workshop' (Lennertz & Lutzenhiser, 2017, p, 7). Likewise, 'something polemic on a poster' can mobilise even if it is 'completely contrived, untrue and an artificial beginning' it nonetheless can 'stimulate a conversation' (Participant I1, Private Practice Professional). Dreaded, unrelated issues can become a good thing: 'They announced the closure of the skip, we thought, 'oh that's great' <sarcasm> but then it did get people through the door' (Participant Q1, Local Government Representative). Although, the danger with catalytic events founded on exaggerated claims is a subsequent hangover of disappointment and frustration (Fernández-Martínez et al., 2020), and the very need to stir interest reflects a persisting interest-deficit to engage in formal processes (Parker & Street, 2018).

Nevertheless, my point is, there must be a focus. With an event 'too broadly framed and too vague' with 'not enough clear purpose from the start' (Participant G, SNH Representative), citizens and stakeholders may 'be offered more and more opportunity to participate in less and less meaningful decisions' (Inch et al., 2019, p. 736). Alongside others, Participant U1 dubbed the data collection and dearth of conversation in charrettes, 'surface skimming vacuity' that is owed to a general 'lack of focus':

> There's not enough clear briefing. Quite often I sense the client at the end of a charrette is like: ooft, well, god, generated a whole load of random stuff here, what we going to do with that? It's like, well, you were the ones who commissioned it. You should have been clear. (Participant G, SNH Representative)

> I think the problem that underpins charrettes… they don't know what they're looking for. They ask a question without knowing what the answer is likely to be, they could ask questions that... they have some idea about the answer, but they don't, so they ask vague shit. No-one knows what's going to come out of it so nothing useful comes out of it. (Participant F, Private Practice Professional)

In short, there is a lack of specificity in and among CT agencies. Many hindering factors I have cited in the above diagrams and in Chapter Ten can be traced back to a general absence of consensually derived goals, objectives, problem definitions, roles, responsibilities and limitations. Disjointedness was apparent in Ravenburn and Brigadoon, which rippled through the charrettes as CT agencies followed diverging paths. A constant competition for

partnership was evident in the third charrette case. Defending their DT Lead, Participant V1 attributed poor outputs to a lack of CT direction.

CT members confusedly spoke of their role within pre-charrette and main event sessions. As discussed extensively, Shoregrove adopted a 'participant' role. Participant Q1 was unsure of his/her placement working with a new DT given s/he previously adopted a facilitator-type role: 'I know in other charrettes I've been involved with the consultants and have spent pre-charrette having coffee with lots of people and having informal chats'. Ravenburn's Auchternairn Council representative joked participants confused him/her as the *tea-person* unaware of his/her charrette and local authority connection. It may be either of these roles within the charrette are valid in a given context, but the observation is neither are consciously decided and designed into a participatory project.

Therefore, as Bishop (2015) suggests, the first step in convening a PE is knowing when not to bother. If pursued, I argue the convening, preparatory or 'Stage 0' has often not been paid enough attention, and poor design is known to cause frustration and disillusionment with the project (Fernández-Martínez et al., 2020; Sanoff, 2006; Smith & Iversen, 2018, p. 18). Lawson et al. (2017), dedicate an entire chapter to *suiting up* for a collaborative project. AlWaer and Cooper (2020) identify six stages of a Scottish design-led event that is not unlike the breakdown in Chapter Eight. Lennertz and Lutzenhiser (2017) expand their 'Phase One: Research, Engagement, and Charrette Preparation' into five sub-phases (each with further sub-divisions), which I think could provide a useful reference for CT and DTs (see Figure 97).

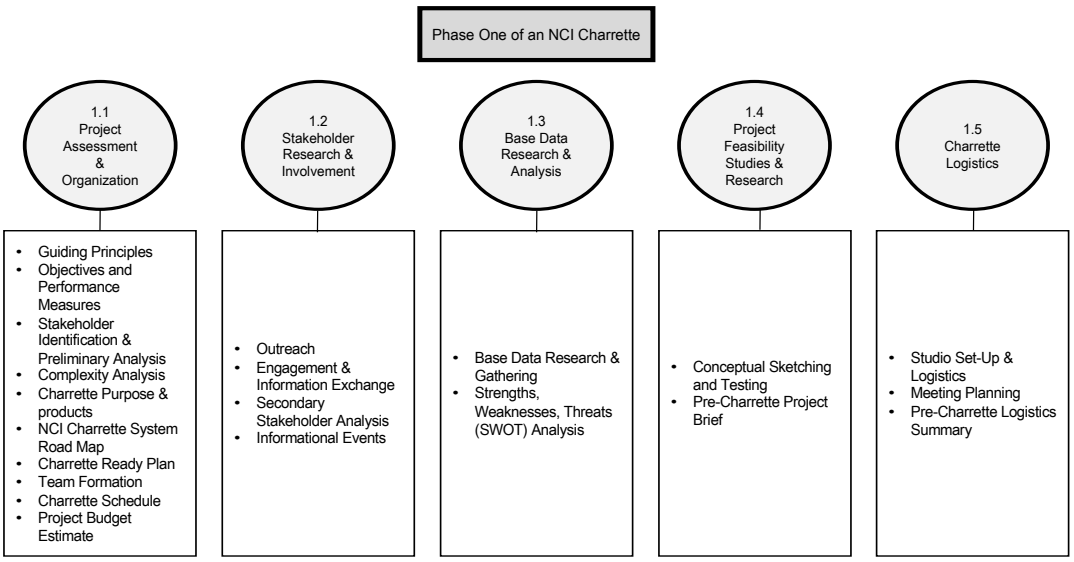


Figure 97: NCI Charrette Phase One: Research, Engagement, and Charrette Preparation. Adapted from Lennertz and Lutzenhiser (2017)

Second, I reflect on stakeholder identification and analysis within the preparatory phase of the project design. The latter, recommended by Lennertz and Lutzenhiser (2017) and Bishop (2015), appears to be often skipped. Blanket invitations as well as tailored, going-to mechanisms are recommended but may still fall short of the mark:

> If we had done more intense work with them, over a number of weeks and whether that means getting various departments in, that might have built that relationship… So, that ease into might have helped a bit more. (Participant X1, Local Government Representative)

> I don't think we've done enough around that though. We've sent things out to them but could have had more dialogue with them around what it is, how they could contribute. Huge lessons learned there. (Participant Q1, Local Government Representative)

There is a separate discussion on the general efficacy of an overall formal, come-to-us style of participation, but if it is the path thought necessary then instead of asking individuals and agencies to donate *their* time to attend *your* event, incentivise involvement as one that also meets *their* needs. Interviewee respondents T1, Q1 and W1 complained agencies sent interns, or colleagues would phone for updates without attending, or managers would limit employees' involvement, which denote the little value often assigned to citizen and stakeholder participation. Events need to be reframed with a broader range of interests to heighten perceived value and be tied to something weightier. However, this study shows grant awards have increasingly tightened and recommendations in Lennertz and Lutzenhiser (2017) are for the far more expensive NCI charrette. Therefore, recommendations of further work using fewer resources, may be easier said than done.

My third procedural consideration concerns DT composition and skills. In 1967 the earliest R/UDAT event was delivered by two architects and two urban designers. Since, an interdisciplinary team has become a key ingredient; this is recommended whether you read Batchelor and Lewis (1986); Sanoff (1999), Lawson et al. (2017) or Lennertz and Lutzenhiser (2017). The objective is to analyse complex social problems from a breadth of professional perspectives. It is the same implicit logic of 'triangulation' in methodological discussions (see Chapter Three). However, I observed subconsultants submitting their work to the DT Lead and retiring, rather than sharing in joint exploration. Private practice professionals G1, U1, V1 and R1 cited budget constraints, good quality work precluding a need for follow-up and working preferences as reasons for undermining a more collaborative management approach.

This separateness does not go unnoticed: I observed project team members confusedly explain (to participants) their personal role within a sub-consultancy rather than present as a member of a unified project team. However, Participant J spoke more consciously of creating characters and assigning roles, down to the clothes worn: 'The team have got different roles. It can come down to what we're wearing. We have something soon and we're discussing what we wear' (Participant J, Private Practice Professional).

Linked to disjointedness is a lack of preparedness. As subconsultants take a backseat or volunteers play an ancillary role, some individuals are entirely ill-equipped; resultantly, pre-charrette familiarisation is carried out during the main event. Again, I observed participants quick to question, where have the planners gone? Following charrette close, one sub-consultant struggled to answer a question on the charrette's purpose. After pausing, s/he responded:

> I'm not entirely sure, not entirely sure what the purpose of this is because I have to say I thought the idea was going to be a development framework but the local plan is recent and the local plan sets out a modest level of development but not anything radical, and so it's not planning. (Participant R1, Private Practice Professional)

This is far from a personal criticism and should not be read as such. Rather it serves to show the way design-led events are managed -whether that is down to budget, working preferences or perceivably good work- can lead to scenarios where team members are less prepared than they would like. Again, Participant R1's reflection underscores whether there is an obvious need and discernible purpose for citizen engagement. Project teams must be clear on their roles and responsibilities, and if subconsultants appear only briefly -which is not the same as viewing complex social problems through a faceted professional prism- they must, at the very least, be adequately prepped.

This leads to more direct commentary on DT skills. Skills needed change depending on context, process and objectives, outputs and outcomes variables. Architects and urban designers have typically taken a lead role from the early 'Squatters' to New Urbanist charrettes given a *design* output. Although a clear finding from this research is the design element features less, and some professionals 'are hopeless at proposals' preferring to 'have conversations and conversations and conversations and conversations' (Participant U1, Private Practice Professional). Instead of iterative, *design*-led projects progressing through

distinct, cumulative phases, many seemingly stall as they try to leave the consultative, data collection point.

As noted in Chapter Six and Ten, design professionals typically have little training in community involvement as part of their professional accreditation. Instead, it is often 'learned on the job, or it's just trying to deal with people in a straightforward, human way' (Participant F1, Private Practice Professional). Whilst some professionals have been revered for their engaging, facilitative approach (hence, they become popular subconsultants), others struggle with these interactions and handling challenging participants. Participant U1 recalled an occasion their DT lead became 'very very defensive' about their charrette material, but the 'more s/he got defensive, the more they [i.e., participants] got aggressive'. Chapter Ten found DTs may frame questions that dissuade counter points; whether this is deliberate or more innocently down to a lack of facilitative skill is unclear. Either way, it raises questions on how built environment professionals operate when faced with uncomfortable situations.

Design professionals without a co-pilot more adept at listening and engaging, leads some to wonder, 'what would it look like if the design elements were plugged in at the end of a genuine community process?' (Brigadoon DT Volunteer A, 2017):

> Which goes back to the problem finding thing and you're going: who would that team be?... When you meet someone, who is like a priest, a rabbi, a minister, someone who is not a zealot or an idiot, they think in a very particular way about relationships and they're able to conceptualise relationships, fluid things, connections and so on. They're not very spatial but really get the relationship thing, they get that. (Participant I, A+DS Representative)

> The Beehive are the kind of people who, if they had time, should run a town centre charrette and the council should be compelled to take part in a positive way. They should realise the value of being involved in that, and if it was being led by someone like that it would be a totally different thing to a council-led town centre charrette. (Participant V1, Private Practice Professional

A community's characteristics may sharpen this discussion on required skills. Chapter Six underscores an overall intention to work in areas evidencing need, which Chapter Seven highlighted is more often the case than not. Projects consider more holistically social aspects of place, as well as issues around service provision given spatial and community planning increasingly align in a policy context (Kevin Murray Associates & Dundee, 2017; Peel & Lloyd, 2007a), and community empowerment becomes the prime rhetoric. The early R/UDAT exercises referenced social complexities and spoke of 'sociologists and economists' and

'dialogue between professionals' (Batchelor & Lewis, 1986, p. 23), which was not frequently found in Chapter Eight's analysis. Although, not entirely absent.

However, this context challenges some design professionals. Some more than others evidence a struggle working in the very areas the Scottish Government directs support i.e., areas with multiple indicators of deprivation. Vulnerable communities mean 'a lot of people with a lot of different issues going-on come into the charrette', which may range from 'slight mental health issues' to people causing 'outright disruption' (Participant G, SNH Representative). And the question is, 'how do you deal with that?' (Participant G, SNH Representative). Participant K talked about a similar plight in which s/he as a professional facilitator could be uncomfortably forced to deal with racially charged interactions. In response, Participant K believes s/he may be 'entitled' to opt-out. As Beebeejaun highlights 'Planners are reticent to engage with these issues for numerous reasons' (Inch et al., 2019, p 746). One explanation: 'there is limited guidance available as to how to deal with racially charged participation' (Ibid, Beebeejaun, 2012; 2019, p 746).

Participants F1 and J described facilitating discussions in which adults spoke of suicide and histories of abuse. Both professionals managed the situations as sympathetically as possible, and credit must be given to architectural professionals for establishing a perceivably comfortable space for such experiences to be shared. On the other hand, Participant U1 recalls a regular charrette subconsultant -in a similarly styled charrette session- give contentious topics a 'body swerve'. As Chapter Six introduced, one concern is PEs may unintentionally or deliberately avoid delving into contested waters through their very design and implementation, which raises more questions around the role implicit bias plays in framing participatory project design. Participant E suggests 'a lot of engagement just does not want to engage in any form of conflict', which is 'weird because you are generally working in contexts that are extremely contested on a whole number of levels'. I share the below excerpts so readers can hear professionals' retelling of some particularly delicate and challenging interactions:

> Some of the areas we're working in… people who really want to talk to us [have] obsessive, huge mental health issues [for example] a woman, part of a family with a lot of suicidal tendencies I spoke to, she lost several family members… So, I'm thinking ok, is she wanting me to get housing for them, or what? She just wanted to talk about it… You can't be trained as an architect or planner in a straight forward way… You've got to understand what the issues are in their lives and think, ok

> does it impact on this? Or say that's really interesting, we'll note that, do you have a view of what should happen here? [Response:] 'No, no, not really I just came along to see'. You know, and they just came in for a chat. (Participant J, Private Practice Professional)

> We were doing a session, and it was quite a small group… individual must have felt so comfortable in the way we had set-up the space that almost triggered a reaction where s/he must have been in another group and started to share stories about sexual abuse, it was very powerful, very moving and very disturbing. I had never encountered anything like it… S/he had nothing specific to say about the issues we were there to talk about in the charrette… I can think of another instance, where a person spoke about dementia friendly towns. S/he spoke very movingly … S/he spoke of suicide and- again, an issue where, as an architect, I've got no training in, but just talking on a human level. This is in a public forum and you just have to deal with it with compassion, empathy and dignity. (Participant F1, Private Practice Professional)

> I have seen this happen where there are complicated ethnic combinations, what happens if people in the charrette start behaving badly or saying unpleasant things? What do you do with that? Very often I think the charrette tries to avoid going to places where that might happen, which is understandable at one level, but I think this is where if I am a facilitator I am entitled to say: I'm not going to have that discussion, I am not prepared to listen to this and if you want to have that conversation then I am going because I am not going to participate in this. (Participant K, Private Practice Professional)

> Subconsultant X has been one of them, who has completely ignored what people have said. I've seen him/her in action… I remember, it was in the South West, years ago… and this guy said: what about unemployment, there's fucking nothing happening here with the unemployment! And Subconsultant X absolutely, blank, said: public transport, absolutely a great and important thing to talk about (Participant U1, Private Practice Professional)

This study found a deficit of more basic facilitative and participant handling skills as architects, urban designers and so forth are recast as 'an independent facilitator' to 'negotiate, mediate and build consensus' (Participant D, Scottish Government Representative). If design professionals find themselves facilitating contested, tense and delicate discussions (i.e., achieving a level of *Communication* desired), and design-led events remain episodic, then is there a danger involvement becomes little more than a cathartic experience if individuals' stories begin and end in the room? As Participant I reflected, 'the charrette at the end is a transactional thing, it's a fee-based moment, and Sam's life isn't'. Above, Participant J and F1 acknowledge some participants' personal contributions have little to do with session content; therefore, what happens to that additional, personal information? Does anything need to happen to it? Does it need to go somewhere? And what does the participant that wanted to talk about unemployment, not transport, feel post-involvement?

Notably, Shoregrove revered the strengthening of church-group relationships as a 'very positive' charrette feature. A DT Volunteer with a particular set of skills -not in design- managed this dedicated outreach and early engagement with faith-based organisations. Amidst calls for diversity, meaningful involvement and supporting communities evidencing deprivation, there is a warranted discussion to be had on a) how to safely manage or support vulnerable individuals, and b) how to approach emotive, including 'racially charged', situations as participation unfolds 'in a deeply divided and unequal society' (Inch et al., 2019, p 736).

In short, I believe these shared sentiments -as well as recognising events often stall at data collection- raise the need to discuss skills, training and education to support design-led events if they are expected to deliver on social goals extolled. I think there is a need to introspectively examine decisions and practices to recognise their potentially insidious effects. If we do not, we will likely continue to design new practices that repeat old pitfalls and patterns of exclusion.

To summarise my procedural considerations, I suggest asking whether citizen involvement is needed; deriving clear purpose and project scope; agreeing goals and objectives as well as limitations; understanding whose goals and objectives are prioritised; heightening value of citizen and stakeholder participation by agreeing the project more broadly; teaching the concept of participatory, collaborative working styles; designing the project mindful of on-going, previous or upcoming interventions; identifying stakeholders, carrying out analysis and tailor communications and strategies; deriving and agreeing roles and responsibilities for project team members; working collaboratively with clear project team communications; ensuring members are adequately prepped and equipped; and identifying project-specific professional and personal skills required. Whilst some of these recommendations are pragmatic others are far beyond a procedural fix.

11.3.2. Second Reflection: Reflecting on Policy and the Responsibilisation of Community

Following on from the above discussion, my study is not the first to find complaint on the transactional, ephemeral nature of formalised participatory projects. Their sporadic and irregular delivery is thought to inhibit more sustained, relational models of involvement that better harness the way people tend to engage with others in their everyday lives (Fernández-Martínez et al., 2020; Ortiz et al., 2021; Parker & Street, 2018). In light of the community

empowerment narrative, I found local to national government interviewees describing a new collective way of operating, which favours the third and community sector. However, this reframing may lean more towards offloading (Blue et al., 2019), rather than carving out new spaces to support resident-led, bottom-up initiatives, which is what some scholars are advocating within a discussion of *scaling-up* participation (Luck, 2018a; Mitlin, 2021; Ortiz et al., 2021).

I found the general sentiment to be *councils are no longer the provider*; the third and voluntary sector is increasingly relied upon to deliver some 'quite critical services' (Participant X1, Local Government Representative). Often the latter is in a stronger position to access funding (Participant P1, Local Government Representative). Whilst some respondents in this study have shown a keenness for greater responsibility, others do not:

> The number of volunteers is outnumbered by the people that are actually employed to be there (or in my opinion) sometimes do the job. It's always getting shoved onto the volunteers. (Participant A1, Private Practice Professional)

> It's certainly been made clear from the very beginning that it's not the council who will be delivering. The view, and this came up on Thursday evening [i.e., Community Council meeting] and maybe again this is a couple of personalities, and their perception is that we, the council, want to lump all this on volunteers. (Participant Q1, Local Government Representative)

Ravenburn's report similarly observed volunteer fatigue. A prevailing sense the public sector should provide is difficult to overturn 'because in the 1980s, with growing budgets, we [i.e., local authorities] tended to respond fairly well' (Elkfall Council Officer B, 2017). Thus, participants may be 'willing to give time in charitable exercises' but are unlikely to 'see themselves responsible for helping public realm issues' (Elkfall Council Officer B, 2017). Others in Chapter Six similarly noted there is often a default response of blame and a stripped sense of self-agency. Interviewees spoke of a *charrette hangover* and communities' surprise as charrette outputs were handed over:

> I was quite surprised that they were just going to give the report back and say, 'right, this is what people want, on you go and do it.' I thought we would say and they would have it done. Very lazy of me to think <laughter> In an ideal world that would be great. I didn't realise it was just getting people's ideas and thoughts then giving that back to us. (Ravenburn Participant D, 2017)

Participants E and Brigadoon's DT Lead observe, communities may be 'forced assets' or lack 'capacity building before' given more responsibility, which can heighten the arduous nature of

citizen involvement (Inch, 2015). A personally interesting observation from this study centres on Shoregrove: they entered the charrette with an intention to distribute responsibility, essentially a request for help, however, they ended up chairing a new community forum and found themselves 'having to take the full lead, which was not our intention' (Shoregrove Secretary, 2018). Factors for this outcome are discussed in Chapter Ten.

This brings the discussion back to the 'importance of developing a culture of participation, rather than the episodic way it is generally done now' and teaching the concept of participatory working before expecting viable results (Inch et al., 2019, 749; see Professor Sanoff in Chapter Five). It also suggests there is a need to better understand what type of structures (e.g., conditions, funding models, assistance, guidance and rules) are needed to support local-level action within our regulatory frameworks and policies. Without the promise of determining the narrative as well as the purse strings, individuals and organisations might not see much benefit in new operations or arrangements (Ortiz et al., 2021). Manuel and Vigar (2020, p 13) rightly suggest, 'wider structural forces need to be addressed'.

Finally, the charrette itself is an exercise in responsibilisation, education and conditioning in the preferred, formal participation space. As Participant M (a Scottish Government Representative) earlier noted, it can be an enormous pressure for a community group, but many undertake it to be taken seriously; after all, they need an evidence base for funding. I argue funding requirements and the need for evidence that may be part of this new suite of operations, requires groups to perform at quite a sophisticated level when all they want to do is make small marks on their community. Shoregrove needed a charrette for its evidentiary output, which renders it a tokenistic exercise as they openly admitted if evidence needed was not included, they would ensure it was added. Thus, they went through motions because the regulatory framework dictated it. Against normative criteria the process was questionable, possibly subpar. Though, participation quality matters little when the output satisfactorily serves its purpose.

As Participant E argued in Chapter Six, the obstacles individuals face to 'to share a time, share food, discuss a situation' can be 'extremely problematic' and disempowering. Simpler rules with better guidance is perhaps where we should start (Cozzolino & Moroni, 2021; Moroni et al., 2020). Therefore, set against the regulatory trials, who can blame Shoregrove? If the game is not set-up in your favour, then playing your best hand becomes the only option.

This, I think, is a good example of negotiating the obstacles, but it begs a closer look at how policies intended to empower can simultaneously lead to poorer participation projects that can unhelpfully feed citizen apathy and frustration.

11.3.3. Third Reflection: Clashing Participation Theories

As the above suggests, participatory projects are often deployed to work in bureaucratic, administrative landscapes despite their tendency (as creative pursuits) to jar with the foregrounding formalities (Kamols et al., 2021). Scholars have described types of spaces via terms 'closed', 'invited' or 'created' (Gaventa, 2006; Miraftab, 2004), 'inside' or 'outside' (Brownill & Inch, 2019) an 'informal' versus 'formal' (Porta et al., 2018). Those 'created', 'outside' and 'informal' are married to concepts of citizen empowerment that emerged in the mid twentieth century. Regardless of 'type', Parker and Street (2018) claim all efforts have served a largely placatory function in recent decades. The charrette or design-led event taking centre stage in this research, is an example of an invited, formal and inside space, because it has always been partially funded by the Scottish Government and often topped-up by local government. Herein lies the tension. Despite many dubbed community-led design events or community-led charrettes, they have always travelled with a set of state issued stabilisers.

There remains an unreconciled tension within these PEs on participation's conceptualisation (Polletta, 2016). Whilst Scottish Government publications invoke sentiments of collaborative planning in their support for more participatory, dialogical forms of planning that extend citizen decision rights, the same publications reaffirm how and what participants should be requesting as they exercise these rights in new spaces. For example:

> Local people know how their places work now, and are well placed to be involved in deciding how they can be improved in the future. Within any community there are many different views and priorities. However, where there are good opportunities for these to be fully discussed, people can reach a shared understanding on how future change and development can improve. (Scottish Government, 2017b, p 17)
>
> We do not want to promote unreasonable protectionism. We believe that local place plans should help to deliver development. (Scottish Government, 2017b, p 17)

This tension unfolds on the ground as others similarly observe 'radically different, even incompatible views on democracy' operating within the same space (Van Wymeersch et al.,

2019, p 360). In Brigadoon the clearest reminder of this unsettled discrepancy -between a community-led yet state and local government funded charrette- was the unspoken disagreement around promotional material to one sector of the community. Shoregrove, almost blindly unaware, was largely excluded from this discussion despite a) their lead CT status and b) an explicit intention to build stronger relations with the faith community. As soon as the charrette became more collaborative, Elkfall Council (arguably with good intentions) brought the charrette back 'inside'. Therefore, an example of a local authority simultaneously supporting citizen action and undermining it.

However, the reverse is also evident as community groups make a *claim* on *invited* spaces. Participant V1 earlier discussed his/her experience in previous PEs (see section 8.2.5 Community Relations), and the third case similarly exemplifies an instance where the PE was in constant contention. A 2015-16 CMP event is another notable example that witnessed highly motivated community residents forcefully claim the council-led charrette. Often cited as one of the CMP successes (at least among my interviewees), the local activists -that 'elbowed' their way into the charrette- paired with other like-minded individuals, constituted as a Scottish charity, secured AI funding, commissioned a feasibility study for a Grade C listed building and now successfully host a dementia friendly indoor attraction within it:

> I wrote to the council to ask when they were setting up the steering group to make these decisions about who you're hiring. [Reply]: 'We've got quite a tight turnaround, so we just thought about...' [Response]: 'No, no. No, no. We're involved. When are we meeting to decide the brief?' (Participant N, Community Group Volunteer)

It may also be worth noting Shoregrove are a grass-root, bottom-up agency that (as discussed in Chapter Ten) have a tendency to feign ignorance in pursuit of making marks on their community. This is to the disdain of council officers that uphold the need for sanction and approval i.e., a representative form of democracy. To keep funding their typical, sometimes 'outside', activities Shoregrove chose a charrette chiefly because its output could be used to leverage funding. Therefore, they chose to come 'inside' when it suited.

Finally, implicit differences between Econoon's participatory approach and Auchternairn Council's need for accountability through its representative form of democracy was most evident post-charrette. Workstreams, perhaps only temporarily, but nevertheless separated as Auchternairn Council withdrew from post-charrette activities prioritising projects. This was largely because outputs had not made their way through council departments, thus, there was

little formal endorsement and recognition of policy alignment. Therefore, despite their 'joint client with community' structure (see Chapter Eight), jointness starts to fray as contrasting participation ideologies become manifest in practice.

11.3.4. Fourth Reflection: Predicaments for Participatory Processes and Policy

In this penultimate section I derive four areas potentially worthy of further study. First, there may be a national pursuit for community empowerment, but the rhetoric appears to hit a few snags as it materialises, in part, to the clashing theories on participation described above. Sentiments shared across this research, indicate some are reticent to engage in new approaches. As Pieterse (2013, p 13) writes, local governments can be mischaracterised as 'blank institutions that can simply change course and adopt a new approach'. However, they are not neutral implementers. Rather, as Participant H (a former Scottish Government Representative) described, all are uniquely positioned organisations with their own history and culture and opening up to the 'politics of that with a small "p"' is needed (Participant B, Private Practice Professional).

Therefore, as guidance and agendas designed to empower continue to trickle into the battalion of local government, described by some as an 'immovable object' that is 'very very rarely prepared to adapt' (Participant U1, Private Practice Professional), it may be worth paying attention to new expectations and demands on local professionals and how these unpack. I have already acknowledged the charrette's evolution has brought architects into spaces their profession was not typically associated. However, I have not fully explored professionals' attitudes and their experiences of working in ways that were unanticipated. Starting with earlier studies and practice stories, I believe an empirically grounded study into those tasked with implementing and working with the realities of Scotland's legislation (centred on extending citizen involvement) is worthy of exploration (Brownill & Inch, 2019; Clifford & Tewdwr-Jones, 2013a; Clifford, 2013; Forester, 2009; Inch, 2018; Walton, 2019b).

Second, my findings indicate -as others similarly do- citizen involvement at the local scale often sits uneasy with national interest. It is evident in new opportunities enabling citizens to produce local plans: LPPs must not be used to 'promote unreasonable protectionism' and 'help to deliver development' (Scottish Government, 2017b, p 17). DT interviewees described

citizens and stakeholders narrowly focussing on single issues, for example, parking or business rates. However, 'nothing, there is no single-issue subject, everything is related to something', but that holistic picture is hard to discern because that is not 'the way that most people will see the world' (Participant U1, Private Practice Professional). Therefore, seemingly mundane and fixable issues become entangled. Participant K and T1 spoke of balancing neighbourhood, local issues whilst mindful of his/her professional knowledge on regional or national need:

> That's the sort of scale we need to work at. Some of that was refuted by some community members because they feel we should be treating them as special i.e., that there is something different and special about where they live as opposed to everywhere else. (Participant T1, Private Practice Professional)

Wood, in Brownill et al. (2019, p 124), also speaks of this 'disconnect' and Brownill and Inch (2019, p 12) underscore participants are unlikely to face 'just the rational arguments of other actors' as participatory spaces nestle in a complex structure of competing priorities forcing public bodies to prioritise and select which efforts will receive more superficial treatment (Parker & Street, 2018). Outputs and deliverables facing a higher degree of institutional input or pose challenge to the interests of preferred stakeholders, are more likely to be side-lined (Eriksson et al., 2021; Fernández-Martínez et al., 2020).

With recent studies like Natarajan (2019), identifying there is a problem with community disappointment 'over a perceived distance between their interests and the scale of authority' and a lack of clarity on the need to support local authorities found in Parker et al. (2015), I suggest exploring 'scale' as a contextual variable in PEs may be a worthy area of study. Especially given the majority of charrettes, in my study, have worked at the local level but have often simultaneously not retained 'pragmatic, problem centred concerns' (Fung & Wright, 2003, p 28).

A third predicament worthy of study is outcome visibility. Whilst local government interviewees traced deliverables or 'quick wins' to their charrette roots years later, the tether is much less visible for citizens. For example, Participant P1's excerpt describes an uninspiring reality as one 'quick win' struggled to get out the gate:

> So, in the report there's a long-term solution and a short-term solution. What you think is a very short-term solution, two years down the line still isn't implemented. Because the railway belongs to Network Rail or Abellio, then the next bit belongs to the council. It took about nine months to get Network Rail and Abellio into a

> room to have a conversation, so they could say yes. By the time they said yes, it was February, which is six weeks before the end of the council budget year. So, the money set aside to do the work couldn't be spent within the timeframe. We then had to go back to get a carry-forward permission to release the money into another financial year, which built-in a four-month delay. So, we now have the money, we think Abellio have still said yes, and we should be able to do it now. But that's a short-term thing. (Participant P1, Local Government Representative)

In the absence of *visible* quick-wins, many respondents warn perceptions of a 'talking shop' are reinforced. Years is also an unfathomable length of time to 'see' outcomes after the charrette has whipped 'an electricity of human nature' (Participant I1, Private Practice Professional). Ravenburn Participant F, with a professional background in supporting vulnerable adults, suggested the charrette experience could not be rationalised as 'a thought piece' by all:

> Considering it might take two or three years to deliver the project, they'd be thinking 'oh no'. So, there's patience involved, differed gratification. People involved in drugs receive an immediate gratification i.e., their hit. There's a lot of issues you need to move through before you can actually have a clear-headed conversation. (Ravenburn Participant F, 2017)

It is an important observation if PEs remain committed to working in areas evidencing multiple deprivation. It is also important to consider in the financing of PEs. The AI fund was extremely popular, even with charrette critics. The streamlined ICF platform -that replaces MP- offers multi-year awards acknowledging longitudinal support is needed. Launched in 2019/20, it remains to be seen how design-led events are conceptualised and managed, where small, funded interventions marry longer strategies: 'Often in my critique of strategy, I said that strategy is unhuman, tactics are ineffectual, and what we need is something in between' (Participant I1, Private Practice Professional).

My final predicament questions the long-term sustainability of formal participatory projects. Whilst a continued pursuit to 'develop more democratic mechanisms for making decisions' (AlWaer & Cooper, 2020, p 1) is rightfully sought, I understand more involvement opportunities is not synonymous with more democracy (Wilson, 1999). I cannot help but observe PEs often fail to attract hordes of citizens and stakeholders. And when they do, it can often be the more comfortable members of society in attendance; or, when it is not, we struggle with this complex reality (see above, 11.3.1). Private practice professionals in my study have generally observed weak turnout: Participant U1 'can't think of being at a charrette that was mobbed with people'; Pilot Interviewee 2 conceded low numbers are indicative of

these events; despite 'developing good relations' Participant S1 commented, citizens 'just on the weekends they just didn't show-up'; and Participant J 'heard about ones this year in the East End that hardly anyone turned-up to at all'.

However, there is an implicit pressure to attract as many from as far as we rightfully pursue inclusivity. Especially, 'for the clients it definitely is a numbers thing. The more intelligent ones I think are not too bothered' (Participant U1, Private Practice Professional). When the numbers are low, the response can be to use language that masks this perceived failing, or more outrightly fudge the results. But low turnout is indicative of wider political engagement. It is not the failure of these design-led events. Parvin (2018, p 44; emphasis in original) claims what is needed is the strengthening of representative democracy that can deliver fair, just outcomes 'in the *absence* of widespread citizen participation'. Disengagement signals more than a rejecting of formalised activities by those at the less 'comfortable end of community' (Participant T1, Private Practice Professional), and signals a more deep-rooted political disengagement:

> The decline in formal and informal political participation among citizens at the lower end of the wealth and income distribution suggests that what is occurring is a more profound disengagement from politics among these citizens than a simple rejection of certain activities. (Parvin, 2018, p 43)

Thomas, in Brownill et al. (2019, p 124), claims 'little in contemporary life prepares us to actively participate in democratic decision-making', which is a sentiment Parvin (2018) would (in my opinion) likely support. But simultaneously argue the redistribution of resources -in the shape of minimising barriers, which has been discussed in this thesis- does little to mobilise society's less affluent to participate (Ibid, 2018). There is a more fundamental trend of weakening participation in 'civic and associational activities' that once gave society's poorer citizens confidence, self-esteem and political knowledge, which heightened their capacity for involvement. Without this, some citizens are less able to engage in spaces that demand more of them, and as a result sectors of society remain further distanced from centres of decision-making. What is needed, argues Parvin (2018, p 41), is a 're-establishment of the social norms that are necessary for participation'. Although Fung and Wright (2003) argue the character of participation offered through deliberative democracy *is* an opportunity to build these political capacities through a much richer, palpable participatory experience it is arguably not the same as:

> They're still going on about old shipbuilding and complaining about the decline of the ship building… You can't replace that with nothing that doesn't give the same thrill and expect people to be ok. You can't replace that with saying right everyone has to retrain… Everyone now needs to retrain to be part of the service of the retail industry and think you can transition from a mass participatory productive endeavour of which rests the whole economy, culture and identity of a place and replace it overnight with you are all going to work in a call centre for BT. (Participant E, Private Practice Professional)

Coupling my findings with broader literature, low uptake is a fairly well-accepted characteristic of formal participatory projects (Beebeejaun & Vanderhoven, 2010; Monno et al., 2012; Parker et al., 2015; Parker & Street, 2018; Silvonen, 2021; Wilson et al., 2019). So too is their clipped ability to deliver more socially, economically and culturally just effects; challenge disabling structures; forge new planning directions or alternative realities; better represent those on society's fringe; and create opportunities for diverse perspectives to engage in *transactions*, leading to *transformations* (Lawson et al., 2017). Of course, it is not all doom and gloom, but there is a permanent stain, and I am left wondering, where does participatory architecture and the search for democratic design practices go from here? How sustainable is it to keep rolling out approaches cut from the same cloth? I am returning more specifically to Chapter One's earliest discussion that focussed more so on the built environment; I am aware this thesis has meandered through the fields of participation in architecture, urban planning and community planning.

Inviting individuals and organisations into the participatory design process, was a perceived antidote in reaction to the growing concerns something was awry with urban planning processes in the twentieth century. The catastrophes of this era could not go left unchecked, and the 'expert' had to make way for new input. However, the method to elicit new input was atypical of the way citizens historically exercised control over their built environments. The relationship had been, and still is, reversed: citizens top-up the expert's process rather than the expert supporting the organic, informal process of everyday citizens that tended to have more direct, tangible impact (Habraken, 1986; Rómice et al., 2020; Silvonen, 2021; Talen, 2019). As observed, there is a 'modification of behaviour in the charrette space', and similar spaces (Participant F, Private Practice Professional), which conflicts with historicised informal processes. Nowadays, we are wrestling with planning as a malleable, evolving process directed by resident action, and planning tasked with producing a fixed, stable output

(Palaiologou et al., 2021; Talen, 2019; Weise et al., 2020). Now there is a more settled view both are needed; we are struggling to find points of contact that work.

Talen (2019, p 185) identifies hope in 'linking small scale tactics to a larger vision that residents have agreed upon'; likewise, Participant I1 (Private Practice Professional) would prescribe an 'affinity of tactics, whereby there is a strategic approach to being tactical'; so too has Participant E (Private Practice Professional) long advocated 'a strategy of small-scale design interventions' that lead to effectual change but nothing magazine-worthy; Palaiologou et al. (2021) tests blending citizen and stakeholder involvement into a process delivering a 'form-based character assessment' for the purposes of masterplanning; and Rómice et al. (2020) propose designing the slow-moving urban fabric and leaving low-scale, spontaneous elements to be created and managed more directly by citizens and groups through informal participation. There is an element of looking back to progress forward.

Approaches along these lines ease the burden on citizens to 'come-to-us' and repositions the architect as an enabler assisting citizens in the micro-changes to their immediate environment. It invokes the democratic sentiment of participatory design with more conviction through a clearer transfer of power to own and enact change. It would likely satisfy those tenacious individuals and organisations already negotiating around the obstacles they face to participate, perhaps remove some barriers for the unorganised and render outcomes more immediately visible. However, Rómice et al. (2020, p. 183) and Talen (2019) both describe the need to consensually agree a larger vision, which will frame the lower-scaled interventions. For example, to legitimate the emerging Local Urban Code in the former, what constitutes *appropriate* must be 'developed and agreed collectively with local stakeholders and community groups', which sounds as though a participatory element that resembles something a little more formal may still be required.

Even with directions that are alternative to the mainstream -which are not completely absent or entirely novel (see Awan, 2011)- the sentiments in this closing chapter remain relevant considerations in the forging of more democratic participatory design processes in Scotland, for example:

- There is a need to examine and better understand the conditions and structures required to support localised, citizen-led action without falling prey to co-option and responsibilisation.

- There is a need to acknowledge reticent and sceptical attitudes that will likely prevail or at least be present amongst those that are often charged with policy implementation management.
- There will be a continued need to negotiate tensions emanating from the competing ideas people have on valid participation.
- To enable longer periods of embedding, there is a need to root new directions in such a way that they remain unscathed amidst change e.g., personnel change, new political administrations.
- There is a need to prepare more realistic expectations and the necessary skills required to work with the challenges and uncomfortable realities inherent in hostile, fluid, heterogenous and sometimes damaged communities. It is naive to assume public participation will be nothing other than joyous and smooth; if it is, we are probably not doing it right.

11.3.5. Fifth Reflection: A Call to Strengthen M&E Practices

My final reflection focusses on M&E of PEs. In broader literature Sartorio, in Inch et al. (2019, p 240), notes there has not been a 'systematic' study into the Skeffington Report, which means the 'UK government has not looked at how we do participation at a local level'. Given a gap between participation rhetoric and practice outcomes are said to prevail (Beebeejaun & Vanderhoven, 2010; Brownill & Parker, 2010), it is concerning planners have generally 'not been trained to evaluate participation' (Inch et al., 2019, p 743). Specific to Scotland, Stage One findings underscored there had been little investigation into the charrette trend. Interviewees with DT experience explained involvement ends with output handover, leading Participant V1 to wonder if s/he 'could be pedalling complete rubbish'. Chapter Six's 2017 interviews also noted the case lacked any formal evaluation since its inception in 2010, with one interviewee suggesting those behind the initiative were 'scratching our hands-on things looking for really good stuff' (Participant C, Scottish Government Representative).

Although, a Scottish Government representative single-handedly carried out an internal revision, which prompted the AI and MP change (see Chapter One and Six). More recently the Scottish Government funded an evaluation into impacts (see Scottish Government, 2019a),

which is a commendable step. However, it possibly exemplifies the reactionary approach to M&E. Instead, it should be considered as part of PE design. Fernández-Martínez et al. (2020) advocates monitoring and evaluation that remains flexible in the moment to improve approaches. With reference to Brigadoon, there was evidence of charrette-learning carrying forward into the next project. However, 2018 communications found evaluation was not formally embedded by either CT or DT in any of the three cases. Econoon suggested the almost-one-year anniversary was perhaps too early for evaluation, whilst simultaneously reflecting quick wins had 'been a bit of an issue' given the group 'until recently it has lacked this focus' (Econoon Representative, 2018).

In Brigadoon, the DT summarised their charrette evaluation had extended to 'feedback forms', whilst another DT Volunteer confirmed an issue s/he wanted to revisit -given it was perceivably an opportunity for fruitful learning- was not revisited. Taken together there is not just a lack of evaluation on formal participatory practices but a very thin culture of monitoring progress and facilitating opportunities for reflection and learning. Several DT interviewees suggested the competitive tendering process could preclude a culture of sharing as agencies want to retain a competitive edge. Much learning therefore appears to happen informally through subconsultants 'cross-fertilising' different DTs: 'I think that comes from the experience that other team members have, for example, Dom has done other charrettes with other people, so you do get that cross fertilisation' (Brigadoon DT Member A, 2017).

I should underscore this is not atypical of what is discussed in broader literature. Evaluation of participation is somewhat nascent, with democratic evaluative frameworks receiving attention only recently (Löfgren & Agger, 2021). That is not of course to suggest critiques of participation are only just emerging; the critical analysis of participatory processes has been under the microscope since Arnstein's ladder in 1969. My point is that there is a growing interest in the development and application of evaluation frameworks to assess process quality and outcomes. Tracing outcomes is important (for reasons described) but difficult because of the messy, inconclusive and evolving nature of participatory processes: Frauenberger et al. (2015) state participatory processes are not accustomed to answering questions on *hard evidence*.

Based on the above, I think it is increasingly important to be collecting data on participatory processes -in all its guises- before designing more innovations. Habraken (1986) writes about

the need to understand how the built environment works to then implement supporting interventions, rather the providing a solution. Sanoff (2006, p. 138) writes there has been attempts to 'accumulate knowledge' on what different approaches offer; success, alongside other factors, can be tied to the 'participation plan', which underscores sentiments in the first reflection (see 11.3.1). One takeaway from Silvonen (2021) is, build a better understanding of the contextually significant and already present participatory practices before adding new ones into the mix.

My research and the Five Phase Sequence demonstrated across Chapters Nine and Ten recognises and addresses this evaluation deficit. Stage Three responds to calls for empirical, nuanced insights of public participation with a 'micro-focus' (Brownill & Parker, 2010) and offers a dense resource to support other M&E studies. I applied this Five Phase Sequence through an *outside*, *summative* evaluation, with the intention of *learning* from and *improving* future efforts, using *universal*, *theory-derived* criteria to primarily assess *process* quality through CT, DT and participant *perspectives*. This is just one approach. The Five Phase Sequence acts like a garden trellis from which other designs can grow.

Whilst I argue the outside evaluator better retains neutrality and objectivity, a limitation of this external stance lies in access. Going forward, evaluation could be strengthened via an 'inside', participatory evaluation conducted as part of a research team as opposed to an individual endeavour. This would bring challenges in terms of positioning evaluator(s) within the broader project team, but it would provide much better access to the entire project. This study was limited to only public sessions and materials; for example, draft reports, briefing materials, project team communications and notification of upcoming sessions were sometimes compromised. Whilst some project team members enthusiastically welcomed my research, others were more reserved, and my role was occasionally confused as a DT volunteer. Although not an inappropriate position, it nevertheless needs to be consciously designed as part of the research and agreed in advance.

A second limitation lies in my Stage Three sample of three cases. As argued in Chapter Nine, the case characterisation's value will come into even sharper focus with repeat application. Across a larger sample, researchers could potentially detect conditions likely to produce certain effects. On that note, I conclude my thesis with a recommendation to pay evaluative

practices more attention and, in doing so, I offer my research as a starting point from which to build M&E methodologies into the design and delivery of participatory projects.

Chapter 11 Conclusion

The main purpose of this chapter was to revisit the research questions posed in Stage Two and Three as my research explored Scotland's charrette from an extensive, in-breadth and intensive, in-depth perspective. I have retold the charrette's introduction and ascendency, and now close my research just as the mechanism appears to fade into the footnotes. As Brownill and Inch (2019, p 2) suggest, with new initiatives, agendas, administrations and influential policy actors come 'both openings and closures for citizens seeking to influence the use of the land'. Perhaps Scotland is experiencing a national *charrette hangover,* but it is nevertheless undeterred. PEs funded by the ICF offer an opportunity to explore the CMP, AI and MP's legacy after ten years of implementation. Arguably, LPPs are the new kids on the block and the *effectiveness* of participatory practices can continue to be explored against an evolving backdrop of new circumstances. This time, with the help of a Five Phase Sequence for M&E.

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To help us shape our ideas for the future of the park, we invite you to join us for our Community Drop-in Event, held on Wednesday 13th March at Dunterlie Community Centre from 6pm to 8pm. Our project team will be there to discuss your thoughts on the park, and ideas for how it could be a better place in the future.
There will be a range of fun and interactive activities for both adults and children, as well as refreshments.
Registration is free, and we look forward to meeting you and working together to develop a new future for Dunterlie. [Facebook]. Retrieved from https://www.facebook.com/pg/pidginperfect/posts/

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The team at Pidgin Perfect will be collaborating with people aged 13 - 28 years old to explore new futures for #Langholm & Esk Valley.
Join us at The New Ideas Office (the former Post Office on the High Street) from Saturday 16th March for brunch and to share your ideas!
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Appendices Introduction

Supplementary material has been compiled in this final volume comprising appendices cited in earlier chapters.

Appendix A: Linked with Chapter 4 that categorises articles depending on ‘what’ was evaluated.

Appendix B: Linked directly with Chapter Seven detailing outstanding analysis.

Appendix C: Linked to Chapter Eight’s context, process and objectives, outputs, and outcome ‘descriptors’.

Appendix A 'what' was evaluated.

Chapter Four presents analysis from thirty-five empirical articles documenting some form of participation-evaluation. Findings from this analysis were used in developing my research's overall methodology. Appendix A categorises articles depending on 'what' was evaluated (i.e., a partnership / collaborative endeavour, more loosely a holistic experience(s), a planning project / exercise or a specific mechanism) and identifies methods / tactics used for data collection.

Appendix A: Partnership / Collaborative							
	Interviews	Archival Records / Document Review	Focus Groups	Survey	Observations	Output Review	Other
Blackstock et al. (2007); Kelly et al. (2007)	Semi-structured interviews with four participant groups.	Document analysis. Sources included: 'project proposals, reports, minutes of meetings, conference presentations; Council minutes, local media'					
Gelders et al. (2010)	Multiple perspectives interviewed (e.g., police officers, commissioners, coordinators, NWP members).	Document analysis. Sources included: 'leaflets, invitations, presentations, newspaper articles, etc.'					Expert review: case descriptions and analytical framework presented to a) practitioner focus group and b) scholar focus group.
Lamers et al. (2010)	Planning Group, two interview rounds; Advisory & Core Group, telephone interviews.		Planning and Core Group, reflection workshops held halfway and at project end.	Advisory and Core Group, questionnaires evaluating ten indicators; Public,	Direct event(s) observations.		

				short questionnaire administered at public meetings			

Appendix A: Holistic / Experiences

	Interviews	Archival Records / Document Review	Focus Groups	Survey	Observations	Output Review	Other
Conrad, Cassar, et al. (2011)	['Insider' perspectives] Fifteen semi-structured interviews with planners and policy makers followed public workshops		['Outsider' perspectives] Two public workshops (total, thirty participants).				
Bickerstaff et al. (2002); Bickerstaff and Walker (2001)				Local authority personnel surveyed. Questionnaire comprised 'rating scales, value statements and open questions'.		Criteria guided 'content analysis of provisional local transport policy documents'.	
Baker et al. (2010)	Semi-structured interviews with subset of survey respondents.	Review of participation statements associated with each planning process evaluated.		Two tailored stakeholder surveys.			
Finnigan et al. (2003)				Survey mailed and/or emailed to 762 participants of LRMP processes.			

Appendix A: Planning Project / Exercise

	Interviews	Archival Records / Document Review	Focus Groups	Survey	Observations	Output Review	Other
Denters and Klok. (2013)	Personal and telephone interviews.			[Primary data collection tool] Survey sent to former residents of Roombeek (709/1040 returned)			
Blackstock and Richards. (2007)	Fifty-eight open ended or semi-structured interviews (conducted in-person or via telephone)						
Aitken. (2010)	Fourth, multiple perspectives interviewed e.g., 'in favour of, and in opposition to, the proposal, and had both professional and personal interests').	First, a review of secondary material & thematic analysis of objection letters			Second, direct observations at 'public inquiry'	Third, thematic analysis of inquiry report	
Bedford et al. (2002)	Interviews with a range of key actors (e.g., officials and citizens).	Review of publicly available documents.			Direct event(s) observations.		
Cunningham and Tiefenbacher (2008)		Data sources referenced included government documents / reports, websites, local news and media coverage.			Direct event(s) observations.		Digital spatial analysis.

Brown and Chin. (2013)		Literature review deriving evaluative criteria. Review of (i.e., government) documents.		A four-part participant survey (169 / 697 returned).			
Marzuki et al. (2012)	Forty interviews with stakeholders from four different groups (i.e., government officials; entrepreneurs, private sector; local community; and interested groups e.g., NGOs).						
Chompunth and Chomphan (2012)	Second, researchers conducted 'structured, semi-structured and in-depth interviews' with stakeholder that 'held key positions or played important roles' in the development project.	First, researchers reviewed 'documents concerning the operations, activities and concepts of public participation process'.					
Bawole (2013)	Interviewees with local government officials, development planning officers and local stakeholders and citizens.	Documents referenced included Jubilee Partners' Environmental Impact Statement, EIA consultation report, meeting minutes.					
Kangas et al. (2014)		Documents reviewed against normative criteria. Sources referenced include		A Q-Methodology survey for forty-nine focus and steering group participants.			

		meeting minutes, interviews, questionnaires, newspaper articles and video tapes.					
Omidvar et al. (2011)	Face-to-face interviews with individuals within three identified participant groups (i.e., disaster survivors, reconstruction authorities and experts / specialists).	Document research: 'Library and documentary research…'	Focus group convened (with representatives from all three groups)	Random sampling administers questionnaire to 200 individuals.	Direct observations during the reconstruction period.		
Sayce et al. (2013)					Participant-Observer		
Booth and Halseth (2011)	Eighty interviews with key actors.		Focus groups in each case study community.	Mail survey sent to community members (483 / 2412 returned).			Open houses held to share research results and collect feedback in each community case study.
Roma and Jeffrey (2010)	Eighty-four semi-structured and/or in-depth interviews with case study community members.	Consultation with internal documents.					
Sarvašová et al. (2014)	Five telephone interviews with FMP officers	Document review of empirical data provided (i.e., 'invitations, documents, attendance lists, minutes'), newspaper articles, government documents, submitted			Observations of NFP SR meetings.		Consultations with three editors during article development.

		stakeholder letters and internal documents.					
Brownill (2009); Brownill and Carpenter (2007a); Brownill and Carpenter (2007b)	Twenty-one interviews (with key stakeholders, local community groups, participation consultants).	Review of secondary sources.			Observations 'at consultation meetings'		
Hopkins (2010a, 2010b)	Sixty-five in-depth interviews with key actors	Document review of government material e.g., brochures, policy documents and press releases		Questionnaire to 173 community forum members	Attendance at 51 participatory events (adopting observer-as-participant role)		
Jarvis et al. (2011)	'Face-to-face interviews and workshops with policy stakeholders and residents'.	Document review of archival material (including Census data, published ethnographic work on Canley); and 'documentation on the regeneration framework' reviewed.	'Face-to-face interviews and workshops with policy stakeholders and residents'.	Household survey (sent to 300 households) reviewing quality of life in Canley.			
Bond and Thompson-Fawcett (2007)	Post-charrette sixteen semi-structured interviews with key actors.			Ninety returned surveys from participants attending final workshop day.	Observations of two public meetings and five-day charrette.		
Toker and Pontikis (2011)					Participant-Observer		
Roy (2015)	Twenty-three in-depth and/or semi-structured interviews conducted with 'five BeltLine planners, eleven Steering	Documents reviewed first, include: 'planning documents and Steering Committee meeting minutes prepared by					

	Committee members, six Study Group members and two local politicians'.	the Atlanta BeltLine authority'.					

Appendix A: Mechanism							
	Interviews	Archival Records / Document Review	Focus Groups	Survey	Observations	Output Review	Other
Adams (2004)	Fifty-five semi-structured interviews conducted with citizen highly active in local politics						
Kahila-Tani et al. (2016)	City planner interviews	Content analysis of meetings and emails.		Online planner survey	Observations at workshops		
Street et al. (2014)		Document review of thirty-seven empirical articles					
Lynn and Busenberg (1995)		Document review of fourteen empirical articles					
Mannarini and Talò (2013)				Participant survey used in five case studies (phase 1, 283 surveys; Phase 2,188 surveys)			

Appendix B Outstanding Analysis

Appendix B links directly with Chapter Seven. It presents the outstanding content analysis of CMP, AI and MP projects from the remaining twenty-seven local authorities.

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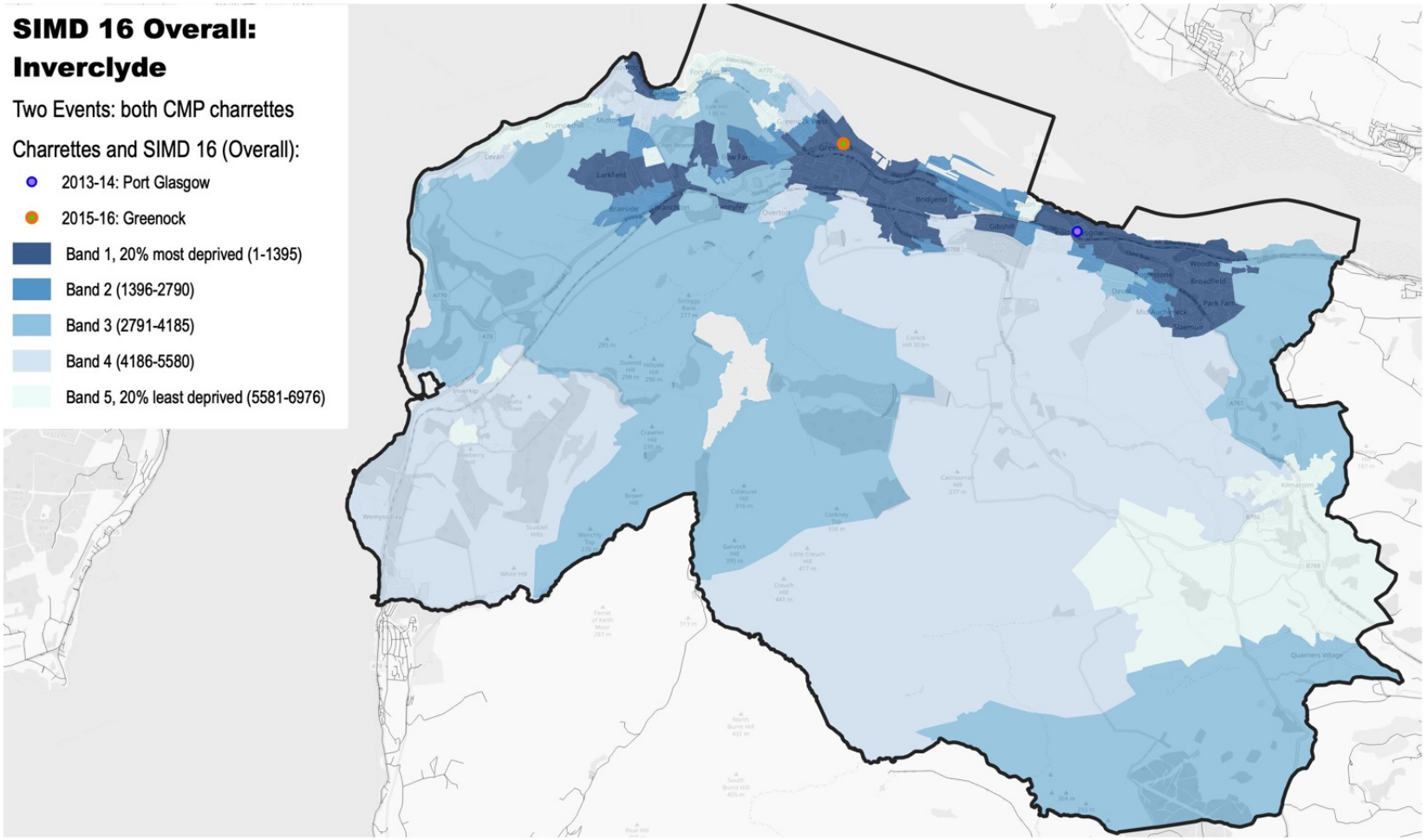
B.1.1 Inverclyde

Inverclyde is one the smallest local authorities in Scotland with a 44% Local Share of Scotland's first quintile datazones; thus, making it one of the most deprived in Scotland. The most deprived datazones hug the Firth of Clyde in post-industrial settlements Greenock, Port Glasgow and Gourock. These 'other urban areas' (U/R 2) are markedly different to the accessible small coastal towns of Wemyss Bay and Inverkip.

Over the course of CMP, AI and MP, Riverside Inverclyde and Inverclyde Council have jointly commissioned two CMP projects targeting some of the authority's most disadvantaged communities. Port Glasgow's study boundary contains three datazones, which all fall into the second SIMD 16 vigintile rank (i.e., datazones ranked between 349-697). Greenock has been identified in SIMD 16 as an area of deep-rooted deprivation given some datazones have consistently remained in the 5% most deprived bracket since SIMD 2004.

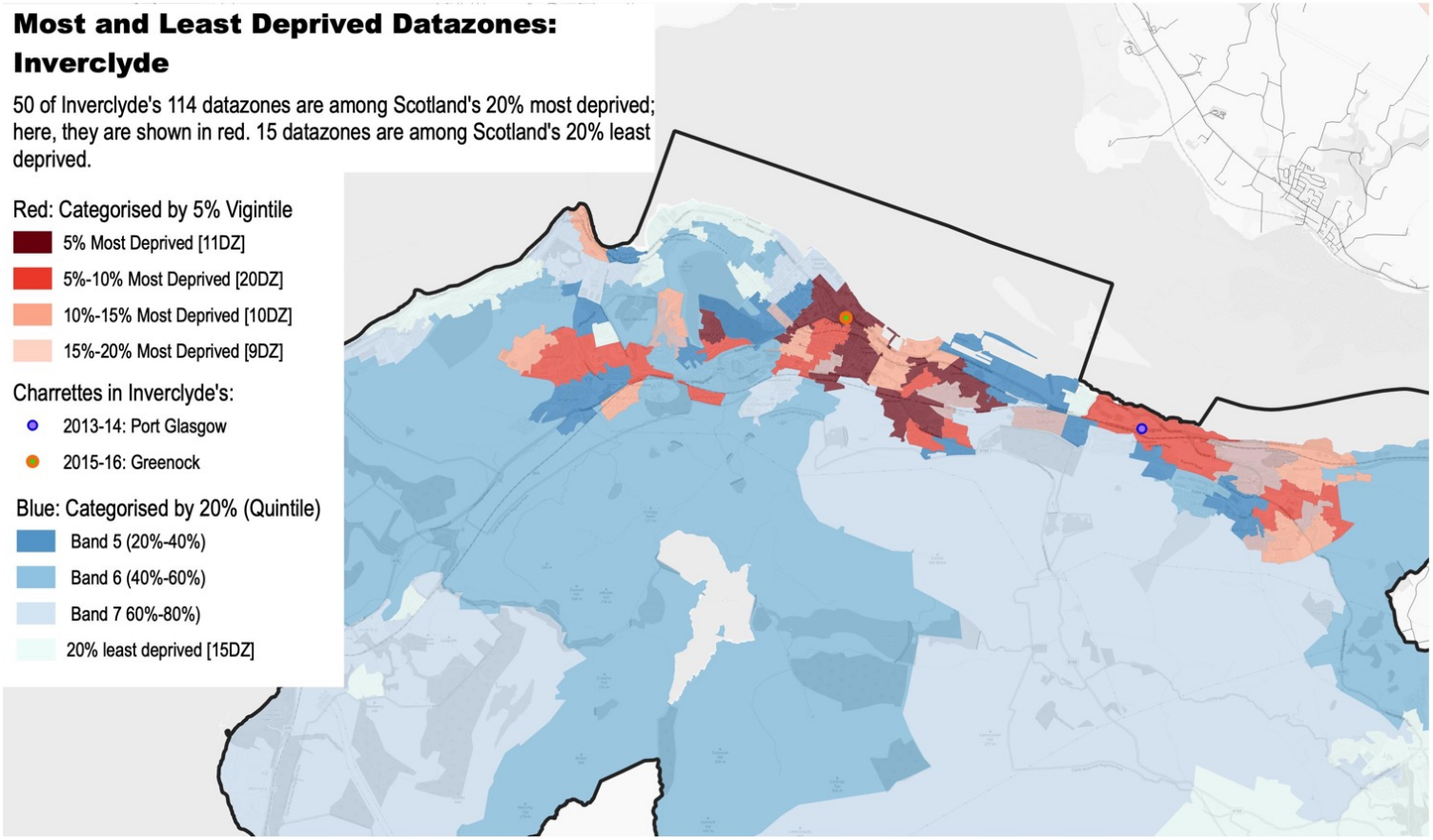
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Greenock		✓					Yes. Town centre falls within 5% most deprived bracket (SIMD 16 vigintile ranking).
Port Glasgow		✓					Yes. Town centre falls within 5%-10% most deprived bracket (SIMD 16 vigintile ranking).

AppxB_Table 1 Inverclyde summary Signs of deprivation according to SIMD 16



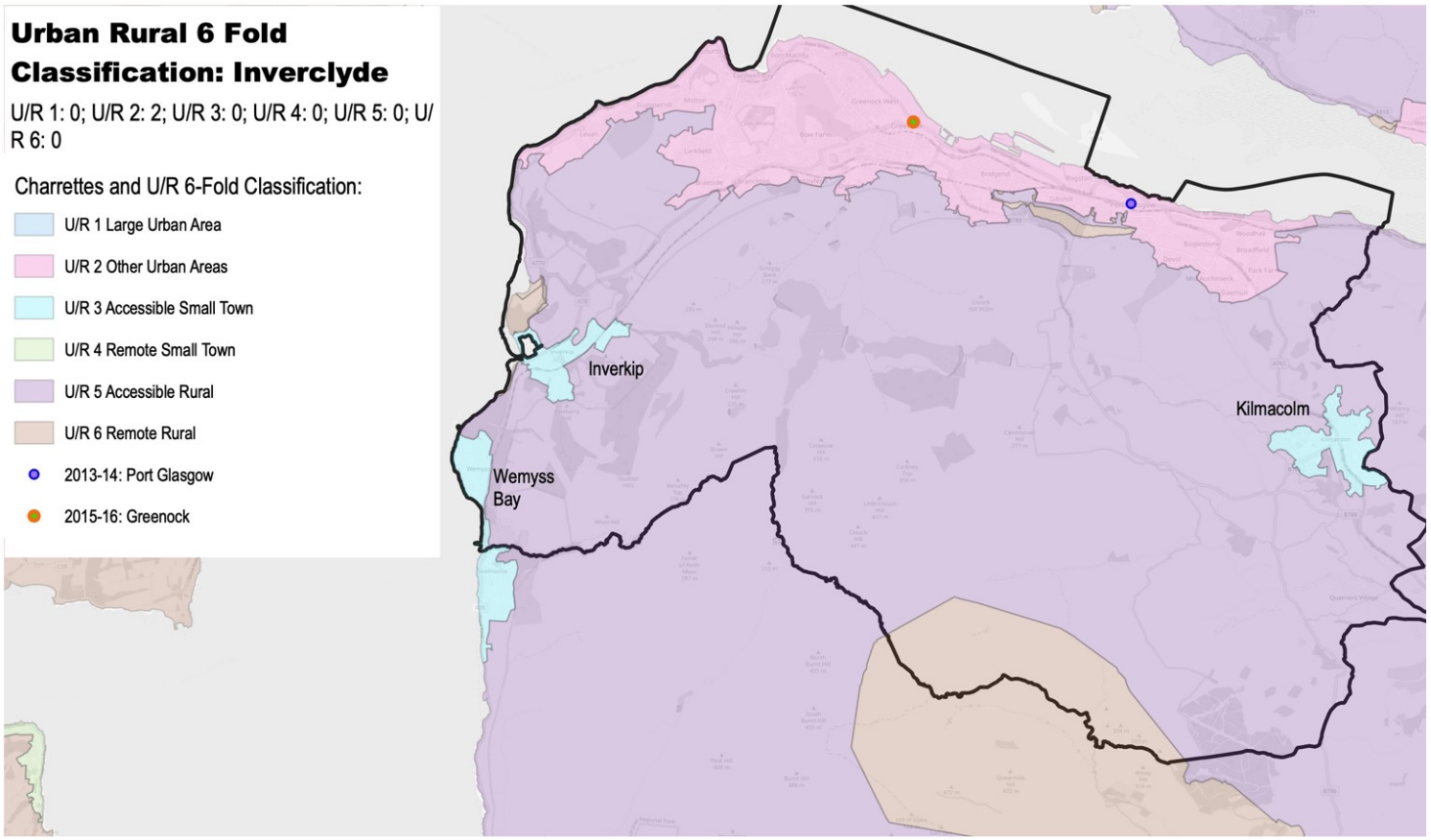
Scale 1: 175000

AppxB_Figure 1: Inverclyde's local authority boundary



Scale 1: 140000

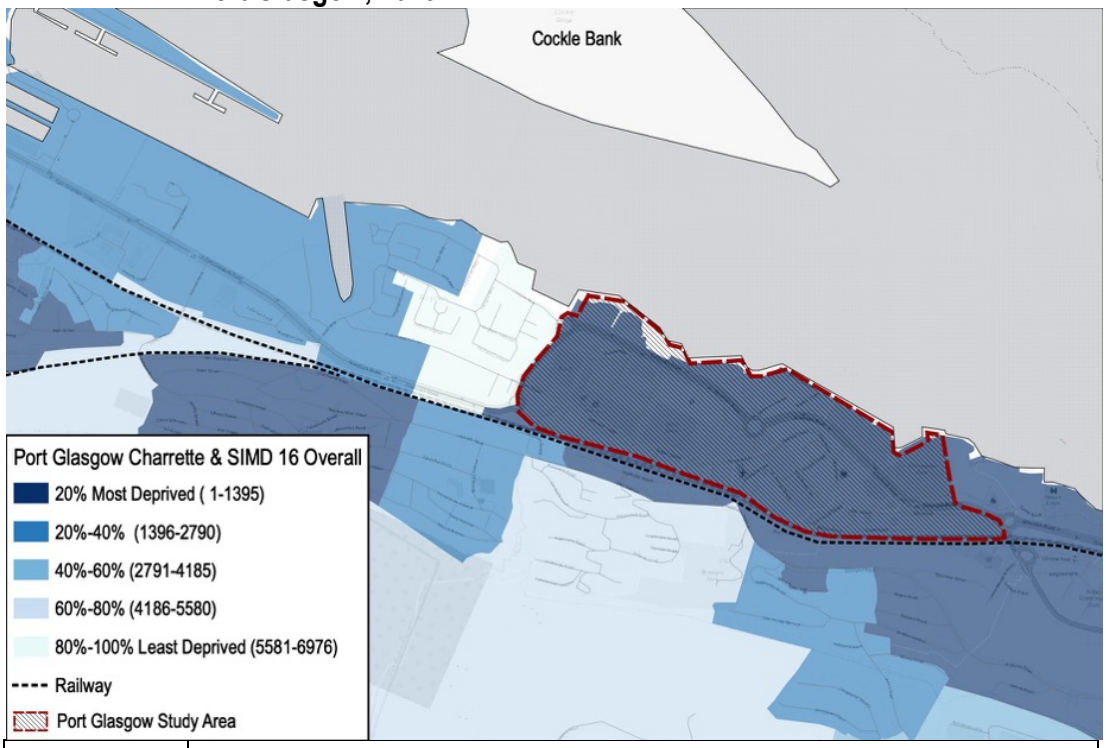
AppxB_Figure 2: Inverclyde"s most and least deprived datazones.



Scale 1: 190000

AppxB_Figure 3: Inverclyde Urban / Rural 6-Fold Classification

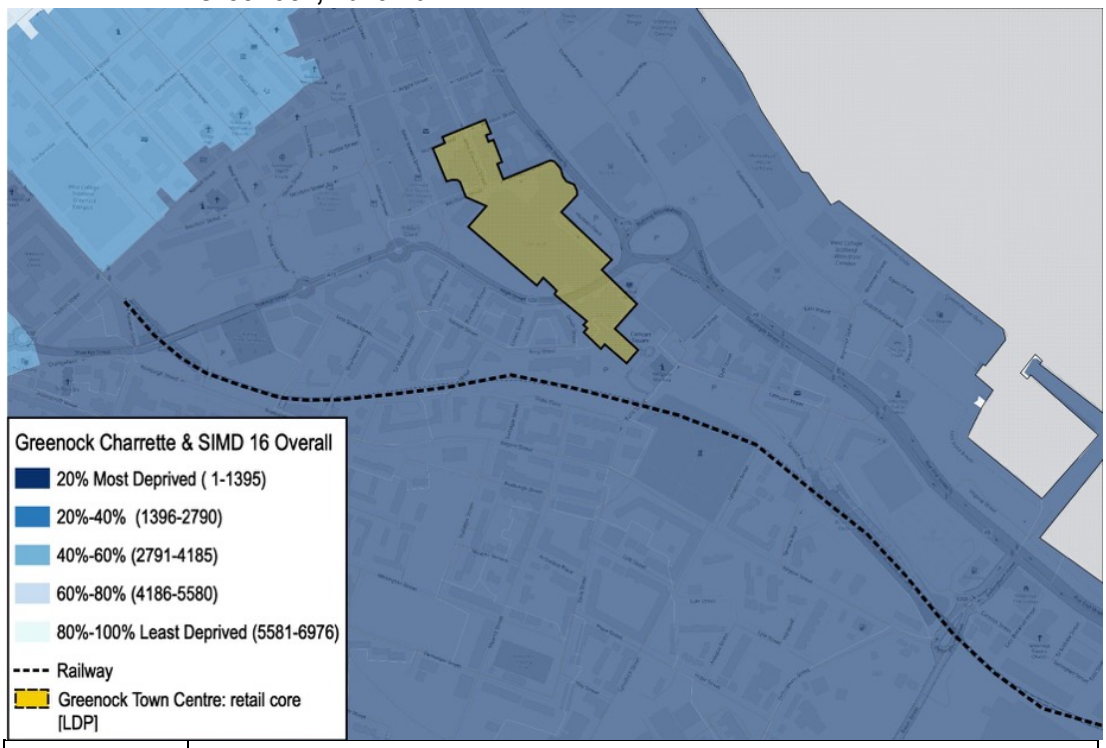
B.1.1.1 Port Glasgow, 2013-14



Description	Port Glasgow area profile. Scale 1: 40000
Client	Riverside Inverclyde and Inverclyde Council
Design Team	Austin-Smith: Lord (lead); Douglas Wheeler Associates Ltd, Ryden, Transport Planning Ltd., AECOM and Neilson Partnership (subconsultants).
Urban / Rural:	Other urban area, U/R 2
Study Area:	Town Centre (Austin-Smith: Lord et al., 2014 , p. 18)
Focus:	Aim of the CMP project was to create 'a realistic, feasible and integrated regeneration strategy and masterplan for Port Glasgow town Centre' (Austin-Smith: Lord et al., 2014 , p. 24)
Planning Relation:	Inverclyde Council were expected to adopt new LDP in summer of 2014; charrette activities took place in March 2014. Output encourages Inverclyde Council to recognise 'the 'fit' between the Port Glasgow Town Centre Regeneration Strategy: Masterplan and Action Plan [i.e., charrette output] and the local development plan' due for adoption Summer 2014 and use outputs as a source to 'identify sites in Port Glasgow for Supplementary Planning Guidance: July/August 2014.
Post Project:	Port Glasgow Town Centre Regeneration Forum was established following charrette output recommendation.
Format:	Charrette HQ: Baillie Hall (Port Glasgow's Town Hall). Format: four consecutive days, March 18th – 21st 2014. Base data research conducted January – March 2014. Early March pre-charrette activities included on-street engagement, press articles, online & social media presence, briefing distributed via email. Charrette activities included presentations, targeted working sessions, drop-in / exhibition sessions, review workshops / sense check meetings, and closing event.
References:	(Austin-Smith: Lord et al., 2014 ; Inverclyde, n.d.)

AppxB_Figure 4: Port Glasgow area profile.

B.1.1.2 Greenock, 2015-16



Description	Greenock area profile. Scale 1: 10000.
Client	Riverside Inverclyde and Inverclyde Council
Design Team	Austin-Smith: Lord (lead); Douglas Wheeler Associates Ltd, Ryden, WAVE*particle*, Gerry Grams, Transport Planning Ltd.
Urban / Rural:	Other urban area, U/R 2
Study Area:	Town centre.
Focus:	Charrette aimed to 'prepare a shared vision, masterplan, development framework and regeneration action plan for Greenock Town Centre' (Austin-Smith: Lord et al., 2016 , p.3)
Planning Relation:	The charrette 'will make a strong contribution to outcomes' identified in Inverclyde Alliance Single Outcome Agreement Community Plan (Austin-Smith: Lord et al., 2016 , p.4). Output recommendation: Local Authority encouraged to find 'fit' between charrette findings and the emerging LDP 2 (Austin-Smith: Lord et al., 2016 , p. 29)
Post Project:	Greenock Town Centre Regeneration Forum has been progressing charrette deliverables.
Format:	Charrette HQ: Saloon in Greenock's Town Hall. 2nd – 4th March 2016 with a report back session March 10th 2016 (Austin-Smith: Lord et al., 2016 , p.3)
References:	(Austin-Smith: Lord et al., 2016 ; Inverclyde, n.d.)

AppxB_Figure 5: Greenock area profile.

B.1.2 West Dunbartonshire

Starting with Bowling Basin (2013-14) and more recently a follow-up project in Clydebank (2017-18), West Dunbartonshire Council has commissioned, either independently or jointly, all five CMP and MP projects. Joint commissions include Bowling (2013-14) with Scottish Canals and Balloch (2015-16) with Loch Lomond and the Trossachs National Park [LLTNP]. West Dunbartonshire are the service and planning authority for only part of West Dunbartonshire's geographic remit; given Balloch falls within LLTNP they constitute the planning authority for their area.

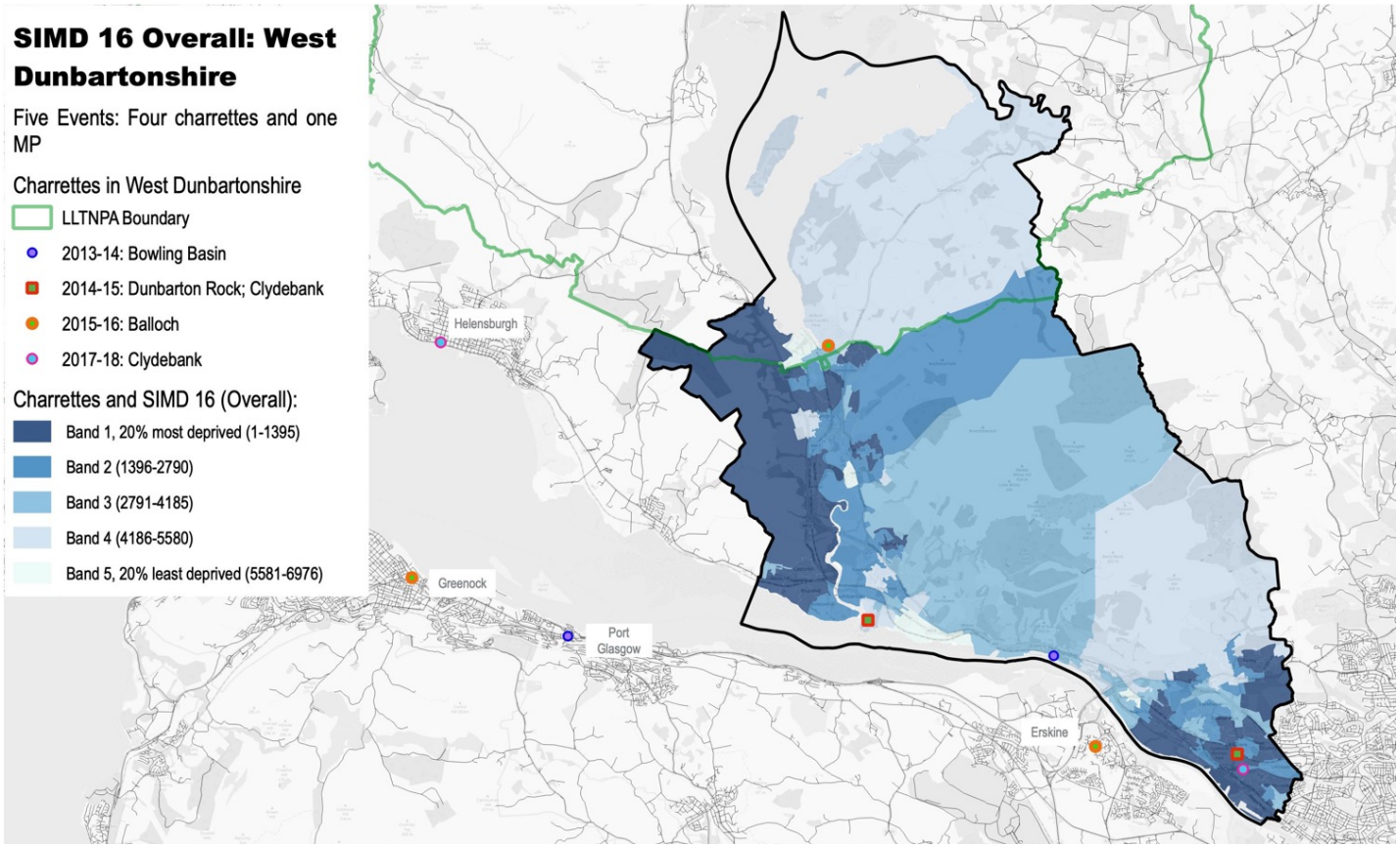
With the exception of Bowling (2013-14) and Dumbarton Rock (2014-15), the charrette projects either place directly in areas evidencing deprivation or several first quintile datazones are within a 1.5km radius of the study area. Two projects centre on Clydebank; the authority's largest town with a considerable concentration of their first quintile datazones. West Dunbartonshire has a 40% Local Share, thus giving it a challenging socio-economic profile. The most deprived datazones (i.e., those in the first vigintile ranked between 1-348) are found in and around Clydebank and its wider environs along Glasgow Road, Kilbowie, Dumry and Dalmuir, as well as Castehill and Brucehill, which are closer to Dumbarton.

Datazones S01013122 (Glasgow Road) and S01013205 (Westcliff / Castlehill) have consistently been in Scotland's 5% most deprived bracket since SIMD 2004; therefore, considered as areas with 'deep rooted deprivation'. Overall, findings from charrette mapping show CMP and MP funding have been used more often in areas evidencing a need for intervention. However, the study areas in Bowling (2013-14) and Dumbarton Rock (2014-15) fall into either third or fourth quintile datazones.

	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Bowling Basin	✓						Little. Despite Bowling's 'village' description, it largely falls into a U/R 1 large urban area. Nestled between Clydebank and Dumbarton, Bowling's two datazones place within the third quintile.
Clydebank	✓						Yes. Town centre is largely characterised by first quintile datazones; several within the most 5% deprived in Scotland.
Dumbarton Rock		✓					Little. Although Dumbarton is a post-industrial town with signs of deprivation in areas Brucehill and Westcliff, the study boundary includes datazones in the second and fourth quintile.

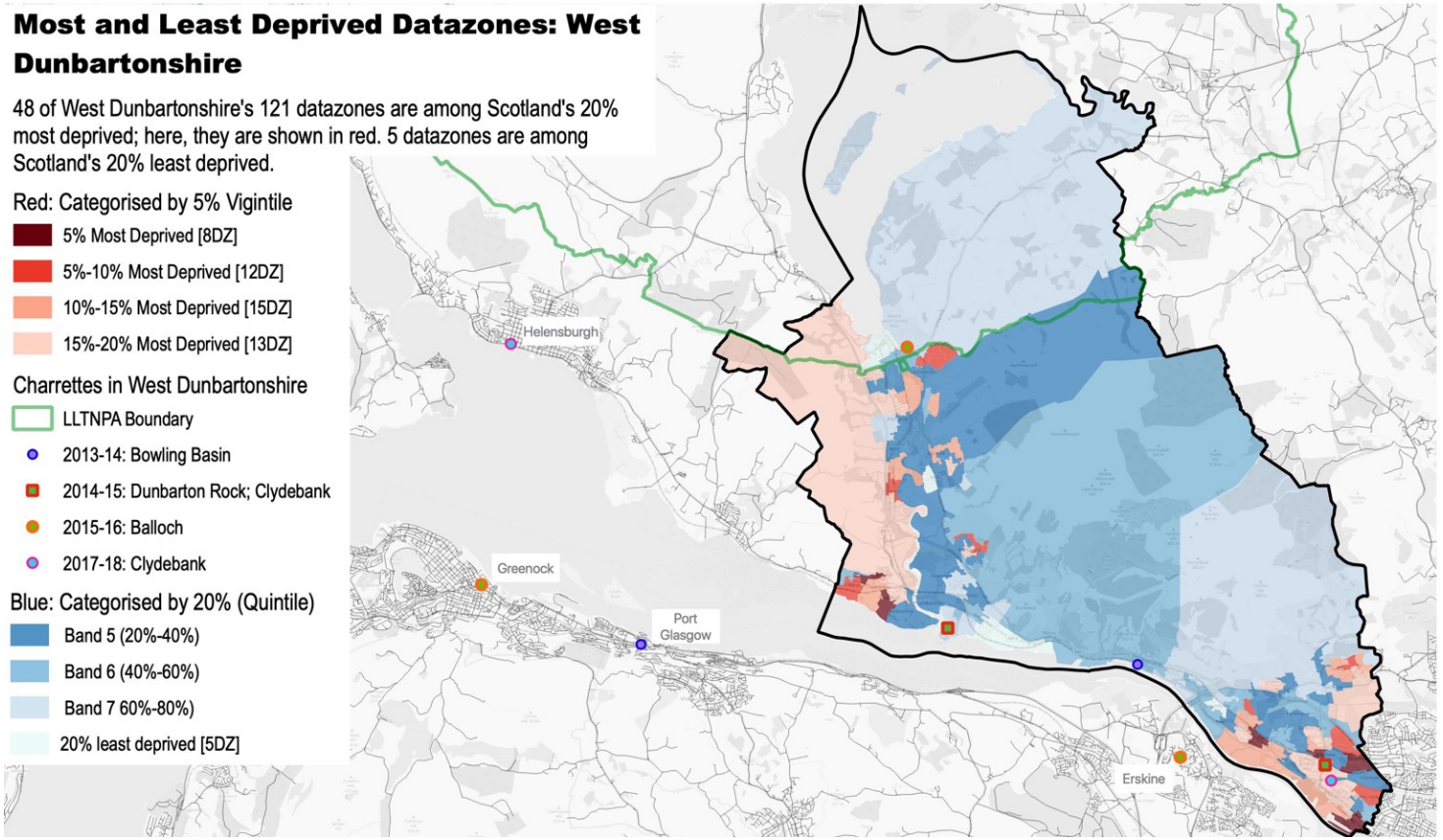
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Balloch		✓					Mixed. Within a 1.5-kilometre radius of the study area, there are eight datazones within the first quintile. Study area sites fall into datazones in the first, third, and fifth quintiles.

AppxB_Table 2 West Dunbartonshire Summary Signs of deprivation according to SIMD 16



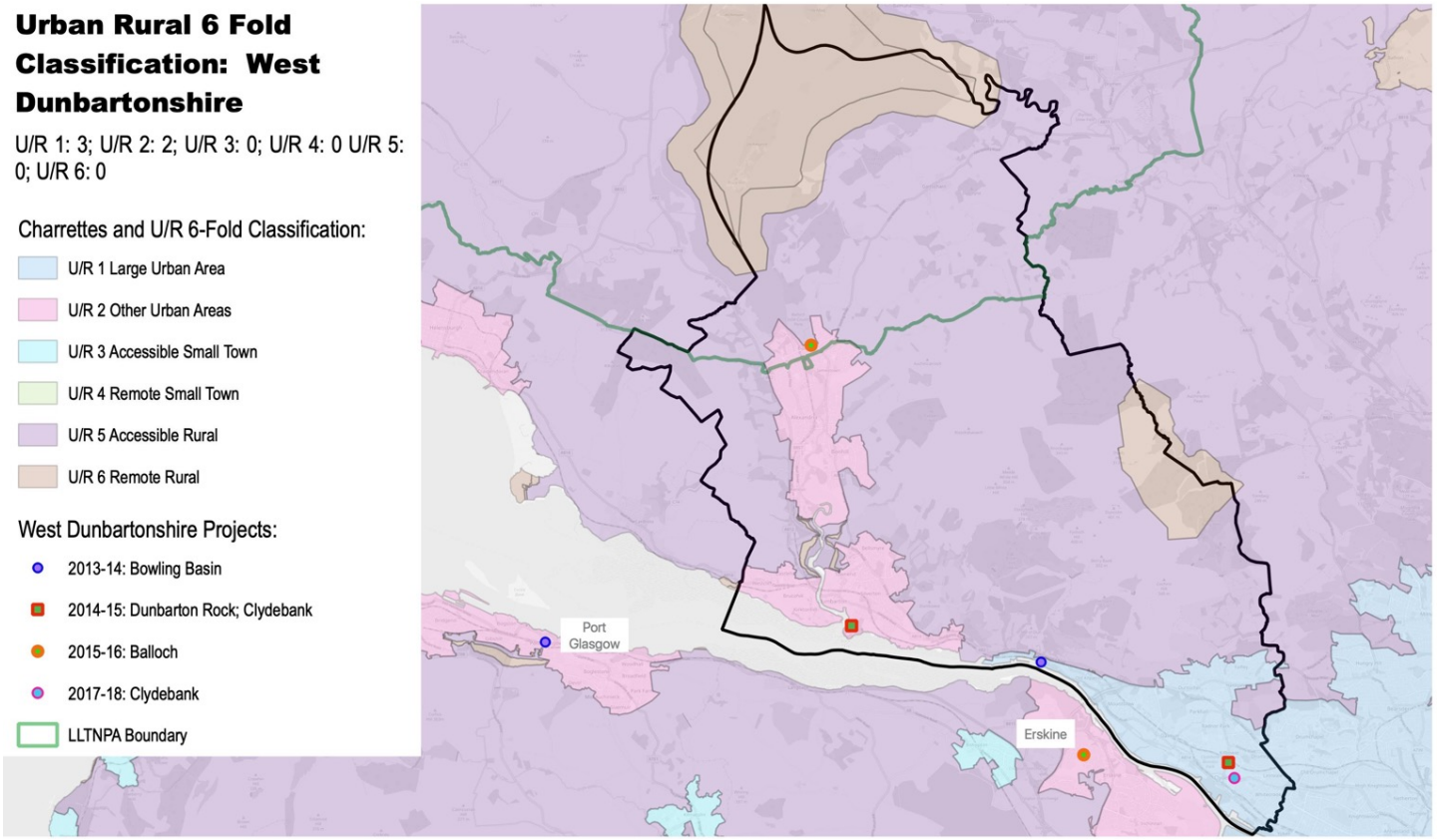
Scale 1: 260000

AppxB_Figure 6: West Dunbartonshire's local authority boundary



Scale 1: 260000

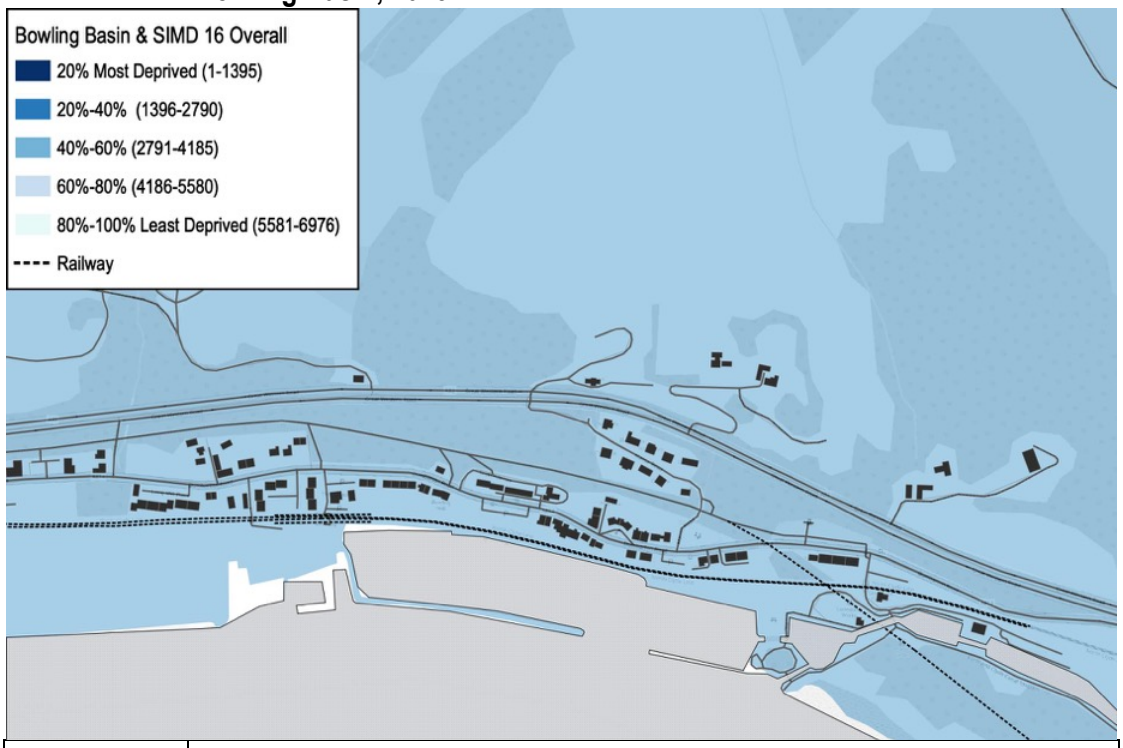
AppxB_Figure 7: West Dunbartonshire's most and least deprived datazones



Scale 1: 260000

AppxB_Figure 8: West Dunbartonshire Urban / Rural 6-Fold Classification

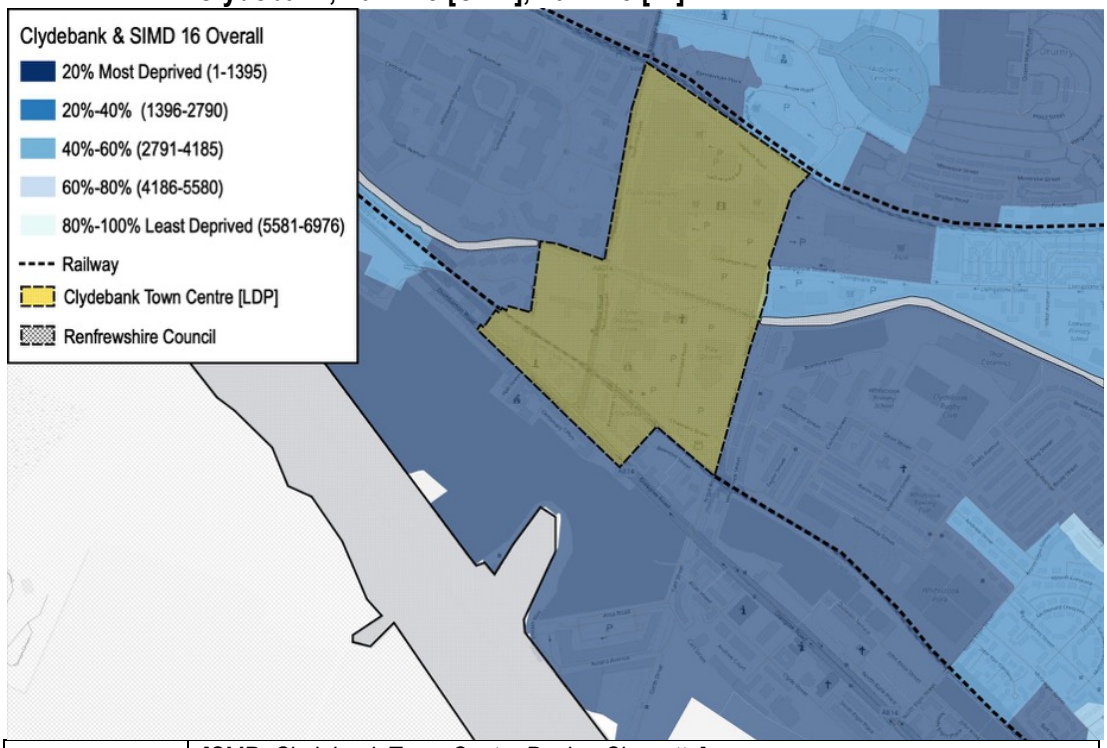
B.1.2.1 Bowling Basin, 2013-14



Description	Bowling falls into two datazones, both within the third quintile. Scale 1: 9500
Client	West Dunbartonshire and Scottish Canals.
Design Team	Kevin Murray Associates (lead); Michael Laird Architects provided baseline information on the site.
Urban / Rural:	Large urban area, U/R 1. However, output describes project site as a 'village'.
Study Area:	Bowling: a physically constrained site with the River Clyde, the old and new Helensburgh – Glasgow Railway, and the Forth and Clyde canal boundaries.
Focus:	Develop a preferred strategy for the site identified for development in LDP 2010.
Planning Relation:	Project stems from the (then) adopted LDP 2010 that identified site for mixed-use development. CMP project's next steps included developing a planning application strategy and later planning application submission in 2014, (subject to further consultation).
Post-Charrette:	Work is 'happening now, it's all being implemented' and despite some residents' original scepticism are now 'really pleased with what's happening' (Participant J, Private Practice Professional, 2017)
Format:	Charrette was a '2+2' format: stage one, 12th-13th February 2014; stage two, 21st-22nd March 2014. Stage one activities included: walkabout, presentations, SWOT analysis workshop, future scenarios workshop, technical sessions and proposal review session. Stage two activities included: three repeating sessions presenting the three option-strategies created since stage one in February 2014.
References:	(Participant J, Private Practice Professional; Kevin Murray Associates, 2014)

AppxB_Figure 9: Bowling basin

B.1.2.2 Clydebank, 2014-15 [CMP], 2017-18 [AI]

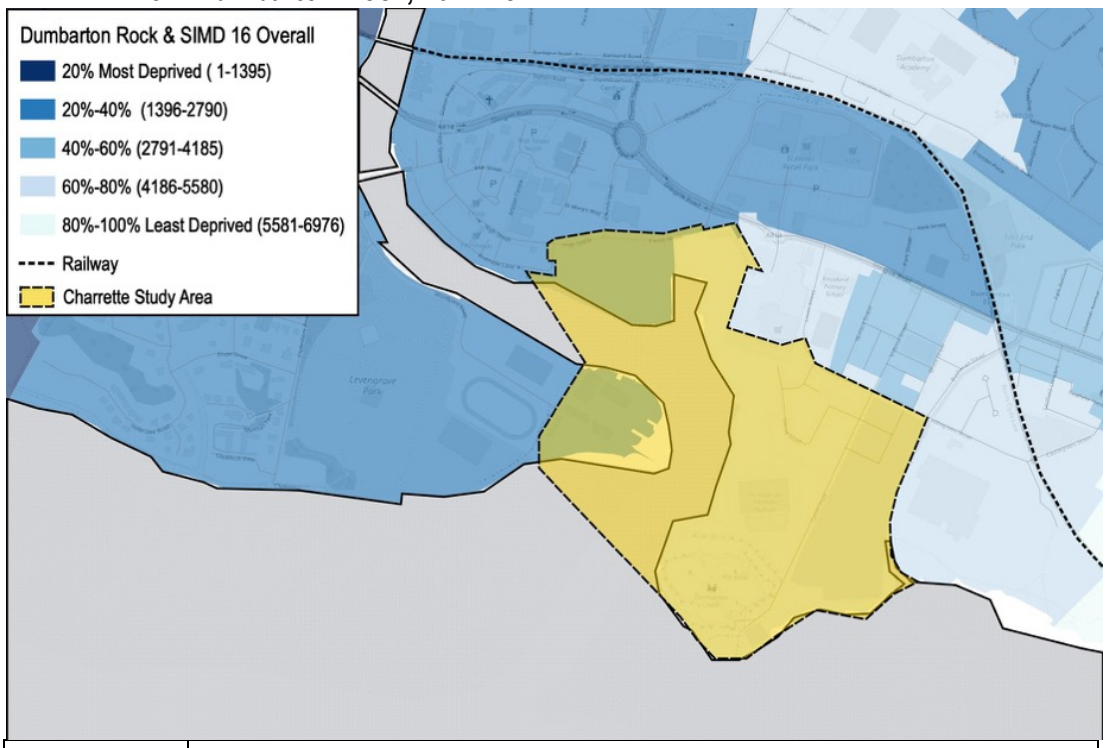


Description	[CMP- Clydebank Town Centre Design Charrette] Clydebank area profile showing Town Centre and relation to the River Clyde and Renfrewshire Council. Scale 1: 15000
Client	West Dunbartonshire Council (Dept.: Forward Planning & Building Standards)
Design Team	Austin-Smith: Lord (lead); Douglas Wheeler Associates Ltd., Ryden, Transport Planning Ltd and WAVE*Particle* (subconsultants).
Urban / Rural:	Large urban area, U/R 1.
Study Area:	'The Charrette study area was set in accordance with the Local Development Plan town centre designation boundary'; total of 39 hectares (Austin-Smith: Lord et al., 2015b, p. 4 & 16)
Focus:	'The fundamental aim was to prepare a future vision with a realistic, integrated development framework for Clydebank town centre' (Austin-Smith: Lord et al., 2015b, p. 12)
Planning Relation:	Charrette outputs intended to inform 'future Local Development Plans, Housing Plans and other significant local policies and investment plans' (Austin-Smith: Lord et al., 2015b, p. 12). The 'direction of change' established in CMP project has since been recognised in the emerging LDP (Kevin Murray Associates, 2018, p.3).
Post Project:	Subsequent MP funding successfully awarded in 2017-2018; additionally, 'Connecting Clydebank', a project originated in the CMP, has since progressed receiving a funding award from Sustrans Community Links Programme in 2016.
Format:	Pre-charrette: December 2014 / January 2015, activities included press articles, online & social media promotion, briefings circulated via contact database, on-street engagement, workshops, targeted school / youth engagement, visiting local hotspots. A four plus one format (11th – 14th February & 25th March 2015) in the Town Hall. Activities included: launch sessions, walkabouts, targeted working sessions, drop-in design studio sessions, pin-up presentations / interim reviews. A report back on 25th March included presentations and exhibition.
References:	(Austin-Smith: Lord et al., 2015a, 2015b; West Dunbartonshire Council, n.d.,-a)

Description	[MP- Clydebank Can]
Client	West Dunbartonshire Council (client project team includes council representatives from Forward Planning, Performance and Strategy, Regeneration and Communities Teams and Scottish Canals).
Design Team	Kevin Murray Associates (lead); Oliver Chapman Associates, Harrison Stevens Landscape, Colin Ross Workshop and Community Links Scotland.
Urban / Rural:	Large urban area, U/R 1.
Study Area:	MP extends beyond CMP's town centre boundary to include the Forth and Clyde Canal and residential areas in Clydebank east.
Focus:	Support delivery / implementation of projects identified in the earlier Clydebank Town Centre Charrette (2014-15).
Planning Relation:	Clydebank Can (i.e., the canal and town centre) MP project is embedded in the council's wider 'Your Place, Your Plan' approach to bridging land use and community planning. Clydebank is also at the centre of much investment / many regeneration projects working simultaneously (see West Dunbartonshire Council, 2018).
Post Project:	--
Format:	Non-consecutive format: single pop-up event at Three Queens Square Bandstand on March 24th and three design workshops on April 18th, 2018, May 3rd, 2018 and May 23rd 2018. Activities included: walkabout, issue-framing workshop, future scenario workshop, presentations, option generation and review sessions, catch-up session, exhibition and presentation, review workshops and refinement sessions. Additionally, other 'Your Place, Your Plan' consultation had been on-going since September 2017.
References:	(Kevin Murray Associates, 2018; West Dunbartonshire Council, 2018, n.d.,-b)

AppxB_Figure 10: Clydebank area profile

B.1.2.3 Dumbarton Rock, 2014-15



Description	Dumbarton Rock area profile showing relation to River Clyde. Scale 1: 15000
Client	West Dunbartonshire Council (lead); supporting role Historic Scotland.
Design Team	Anderson Bell Christie Architects (lead); Mike Hyatt (landscape), Lesley Kerr (heritage), Arup, Tourism Resources Company, Ryden and Kevin Murray Associates (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Charrette focus area defined above; the charrette focussed on the 'Rock and Castle but considers the link to the wider town centre and contains the surrounding vacant former industrial sites that have been stalled for a period of time, largely due to the economic downturn' (Anderson Bell Christie Architects et al., 2015, p.5)
Focus:	The charrette focussed on Dumbarton's 'tourism, cultural and heritage' assets and worked to prepare a long-term, shared vision with a clear action plan supporting deliverability.
Planning Relation:	'Holding a charrette to examine this area of Dumbarton was identified in the recently published Dumbarton Town Centre and Waterfront Revised Urban Strategy' (Anderson Bell Christie Architects et al., 2015)
Post Project:	--
Format:	Charrette activities held across a four plus one format in two locations: 25th – 26th February in Dumbarton Football Club, 27th-28th February in Dumbarton Burgh Hall, and follow-up exhibition 26th March 2015. Pre-charrette activities: baseline information gathering, venue selection and event programming, key stakeholder outreach, charrette promotion, social media / communications strategy and targeted school engagement. Charrette activities included: walkabouts, group discussion sessions, design workshops, summary sessions, drop-in design studio sessions and pin-up / exhibitions.
References:	(Anderson Bell Christie Architects et al., 2015)

AppxB_Figure 11: Dumbarton Rock area profile

B.1.2.4 Balloch, 2015-16

Description	Balloch CMP project profile indicating study areas / sites. Scale 1: 35000
Client	Joint project between independent planning authority and local authority (i.e., LLTNPA and West Dunbartonshire Council); supported by Scottish Enterprise.
Design Team	7N Architects (lead); Nick Wright Planning.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Focus areas included four sites: West Riverside, Balloch Castle, Woodbank House and village centre (marked above).
Focus:	Conduct an appraisal of Balloch; output, includes a 'series of indicative proposals and recommendations' that amounts to an action plan for local partners.
Planning Relation:	The (then) to be adopted LDP (2016) identified 'key sites with development potential', which the charrette selected as its focus area (7N Architects & Planning, 2016, p. 6)
Post-Charrette:	Progress has been made on 'key projects and actions' identified in the CMP project (Loch Lomond & The Trossachs National Park, 2017).
Format:	Pre-charrette activities two months prior to charrette (January – February 2016), activities included: targeted engagement with schools, community council, Alzheimer's support group; one-to-one discussions; a 'business breakfast' and social media publicity. Charrette activities held over a 3+1 format. Activities 29th February 2016 – 2nd March 2016 included day-time drop-in sessions, evening workshops and a live online campaign; activity on 22nd March 2016 included a staffed exhibition.
References:	(7N Architects & Planning, 2016; Loch Lomond & The Trossachs National Park, 2017)

AppxB_Figure 12: Balloch CMP project profile

B.1.3 North Ayrshire

North Ayrshire has had a total of four CMP and/or MP projects starting with Garnock Valley in 2015-16. Unlike projects detailed thus far, the Garnock Valley charrette was to consider the geography within a newly defined Locality Partnership. Garnock Valley is one of six Locality Partnerships in North Ayrshire (North Ayrshire Council, 2016). This rural, polycentric charrette was primarily based in Kilbirnie, but its scope was to consider locality-wide issues gathering input from all communities and settlements within the locality boundary. The main settlements include: Kilbirnie, Glengarnock, Dalry and Beith.

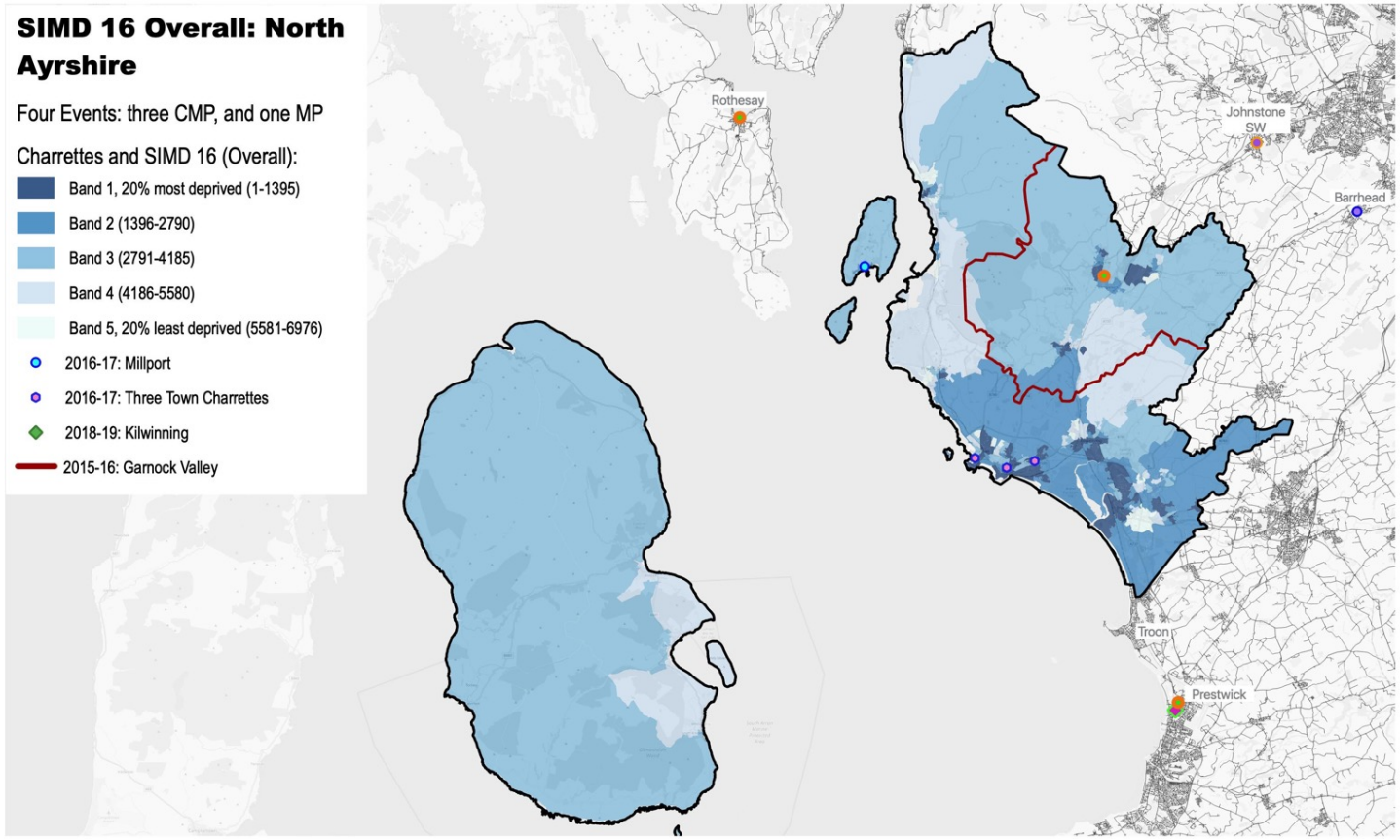
A further two charrettes within North Ayrshire have followed a similar pattern with the relevant Locality Partnerships involved in project commission; although Three Towns and Kilwinning arguably define a more specific charrette focus area within its locality boundary (see AppxB_Figures 14 and 15). Commissioned in the same year as Three Towns, and with a particular interest in marine tourism, Millport and Cumbrea charrette focussed on the island community off North Ayrshire's coast.

With the exception of Millport and Cumbrae, charrette mapping shows all other projects have worked in areas showing signs of inequality and deprivation. A priority for the CPP is to reduce inequalities across North Ayrshire (North Ayrshire Council, 2019b) and with a 38% Local Share the council is ranked 4th most deprived based on its share of first quintile datazones. North Ayrshire's settlements with the worst SIMD 16 (Overall) outcomes (i.e., 5% most deprived), include Ardrossan, Stevenston and Saltcoats, Kilwinning and Irvine. Therefore, 2016-17 and 2018-19 projects worked in the authority's areas that are likely most in need of intervention and support. Although Garnock Valley does not have datazones in the first vigintile, Kilbirnie, Beith and Dalry all have datazones in the 5%-20% most deprived bracket.

	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Garnock Valley			✓		✓		Yes. The locality area considers settlements Kilbirnie, Dalry and Beith; all have first quintile datazones.
Three Towns		✓					Yes. All three towns have first quintile datazones. Some of North Ayrshire's top twelve datazones (i.e., those ranked below 348) place within this CMP study boundary.
Millport, Cumbrea						✓	Little. North Ayrshire's worst datazones are found in the Three Towns area, Kilwinning or Irvine. Millport is characterised by

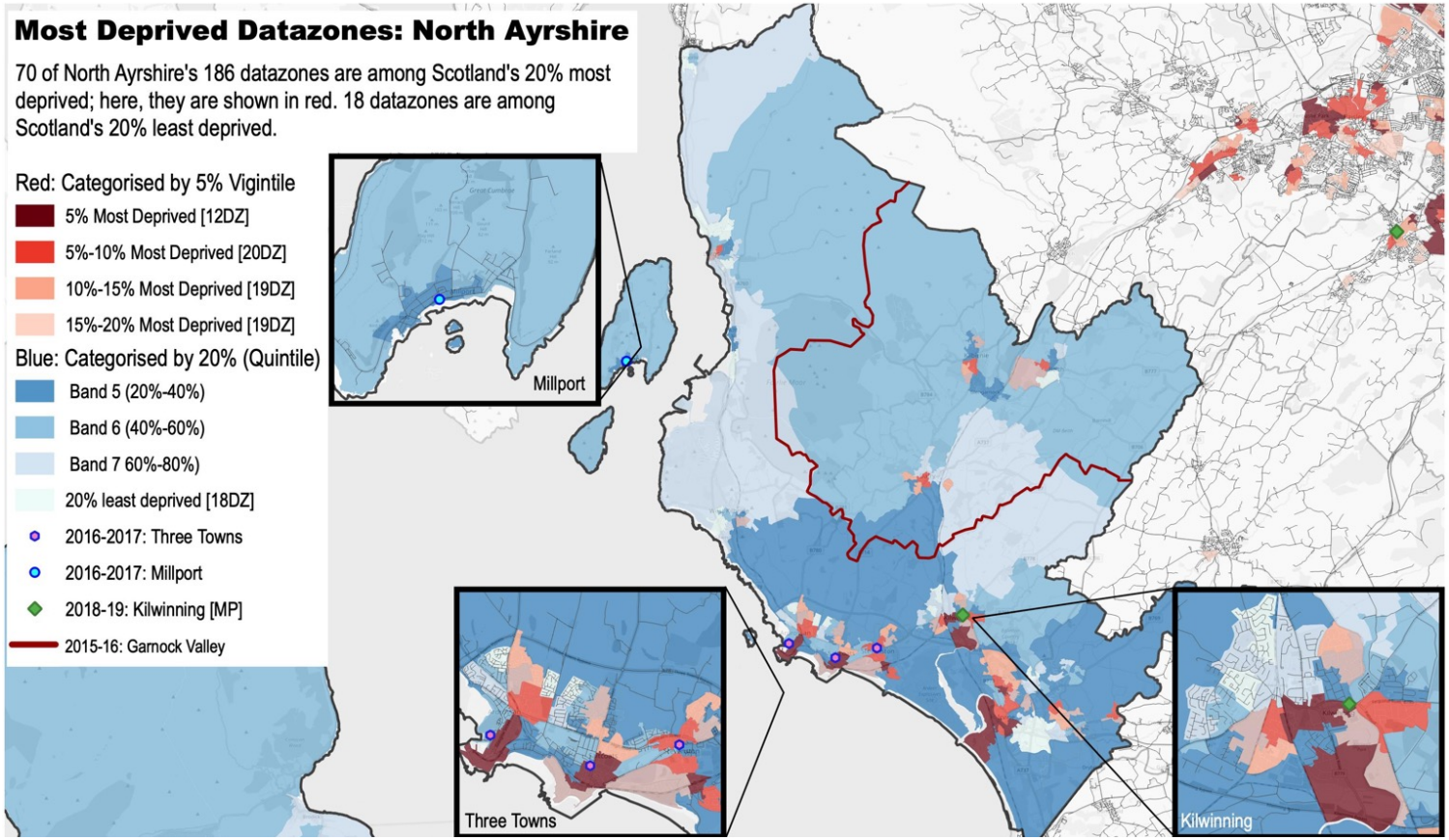
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
							datazones in the second quintile whilst the remainder of Cumbrea falls within third bracket (i.e., datazones between 2791 – 4185)
Kilwinning		✓					Yes. Kilwinning is largely characterised by first quintile datazones; some are among Scotland's most 5% deprived.

AppxB_Table 3 Summary North Ayrshire Signs of deprivation according to SIMD 16



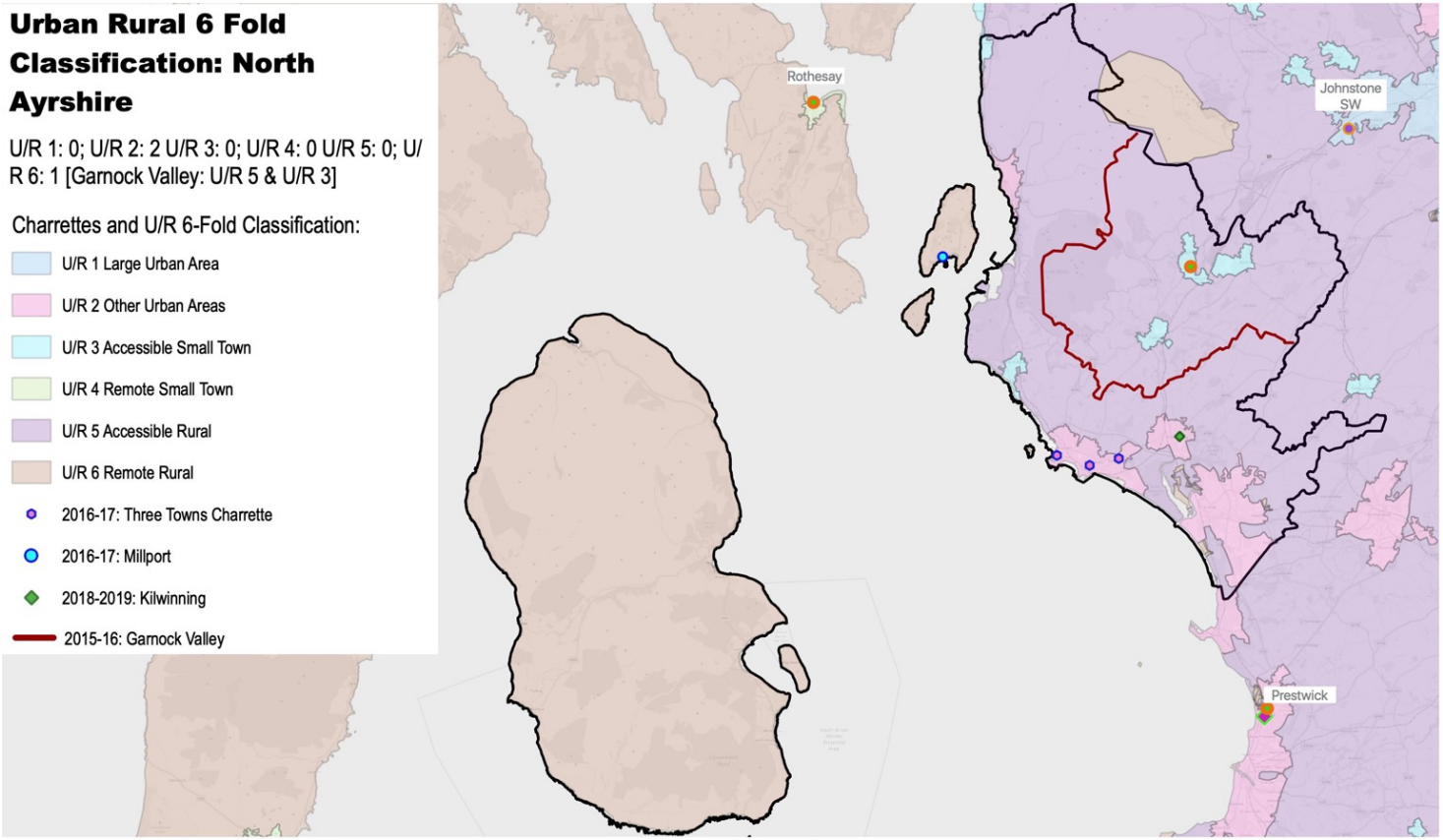
Scale 1: 610000

AppxB_Figure 13: North Ayrshire's four charrettes mapped



Whole area scale 1: 430000. Kilwinning Scale 1: 120000; Three Towns Scale 1: 200000; Millport Scale 1: 12000

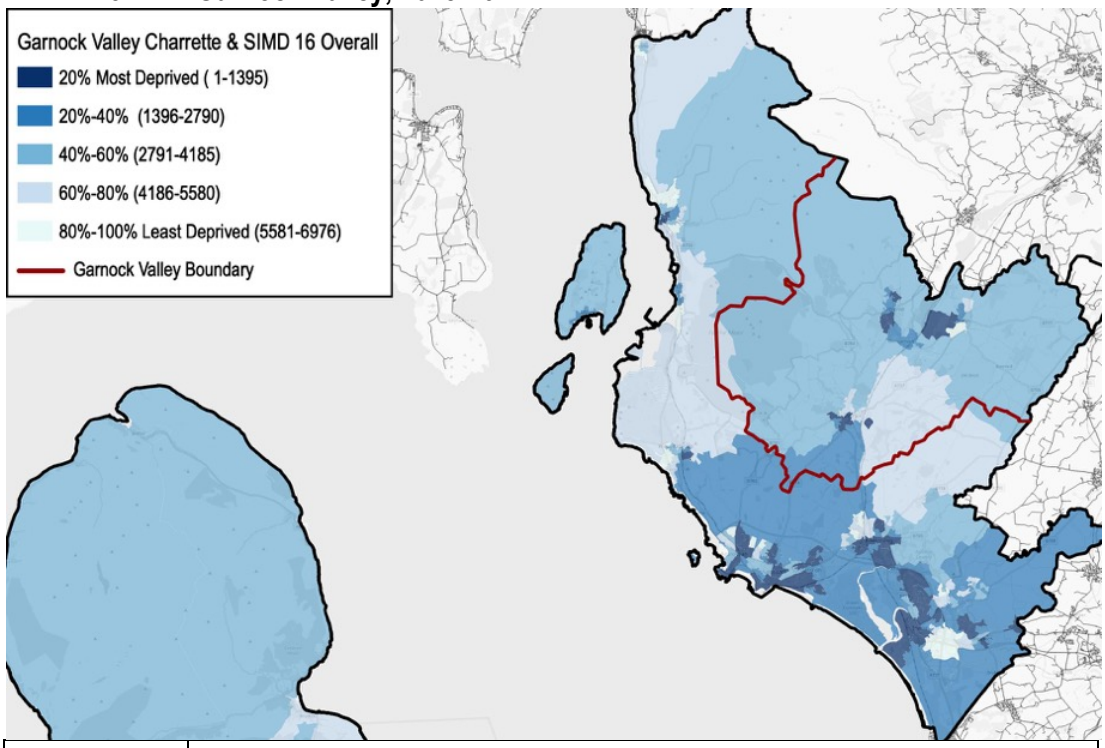
AppxB_Figure 14: North Ayrshire most & least deprived areas



Scale 1: 610000

AppxB_Figure 15: North Ayrshire Urban / Rural 6-Fold Classification

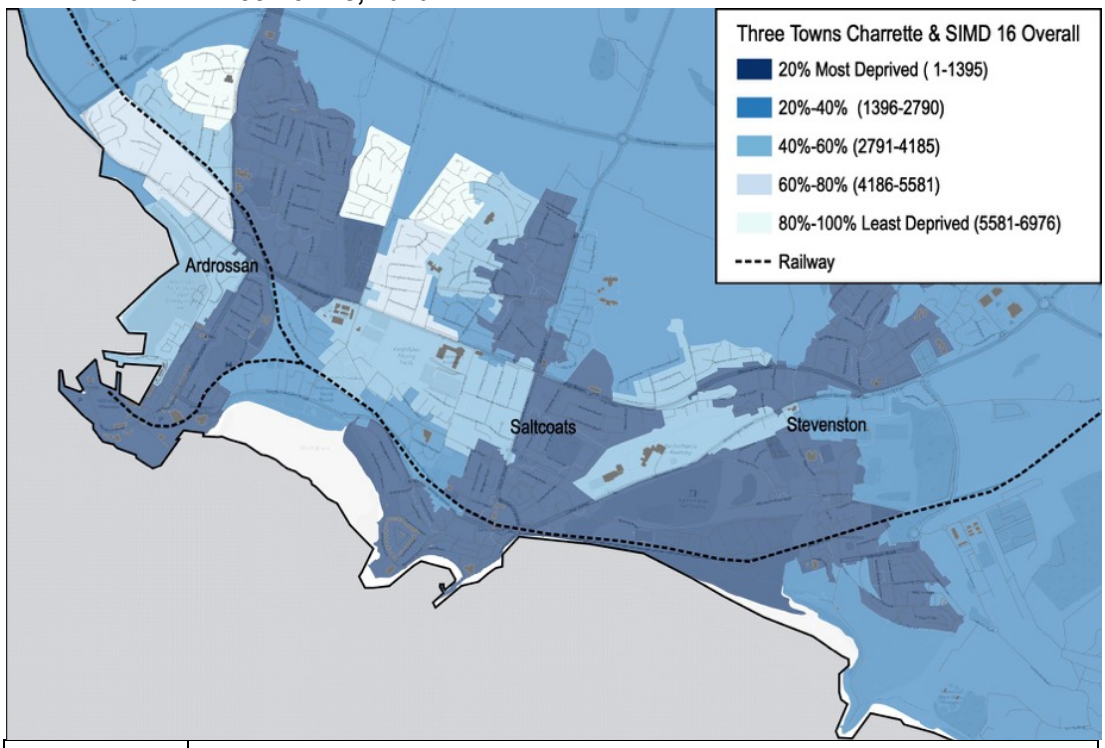
B.1.3.1 Garnock Valley, 2015-16



Description	Garnock Valley CMP project boundary shown in context of North Ayrshire. Scale 1: 620000
Client	North Ayrshire Council (a core steering group with 'key officers across Connected Communities and Economic Growth services …elected members, North Ayrshire CPP and North Ayrshire Health and Social Care Partnership' was established)
Design Team	PAS
Urban / Rural:	Described as 'rural' (CMP Respondent 1, personal communication, 2019). Locality includes accessible small towns (U/R 3) and accessible rural settlements (U/R 5).
Study Area:	Polycentric, 'rural' charrette covering communities within the Garnock Valley Locality.
Focus:	Aim was to encourage social cohesion and empower communities; facilitate opportunities for cross-community debate / interaction; create spatial and non-spatial strategies; an action plan; enable a greater link between community planning and spatial planning.
Planning Relation:	Timing allowed charrette to 'complement' the new LP process and contribute to the earliest stages of LDP2 preparation (i.e., inform Main Issues Report). LDP adopted 2014; LDP2 to be adopted 2019.
Post-Charrette:	--
Format:	Model: Charrette*Plus.* Pre-charrette started December 2015, activities included meetings with council departments, steering group, key community organisations and representatives; promotional work (i.e., via flyer distribution, website, social media and through established networks); and a digital survey. Four-day consecutive format (18th – 21st May 2016) across different locations; activities included, public workshops, targeted council workshops, drop-in sessions and exhibition. On-street engagement used when attendance was lower than anticipated.
References:	(CMP Respondent 1, personal communication, 2019; North Ayrshire Council, 2016, 2016)

AppxB_Figure 16: Garnock Valley CMP project

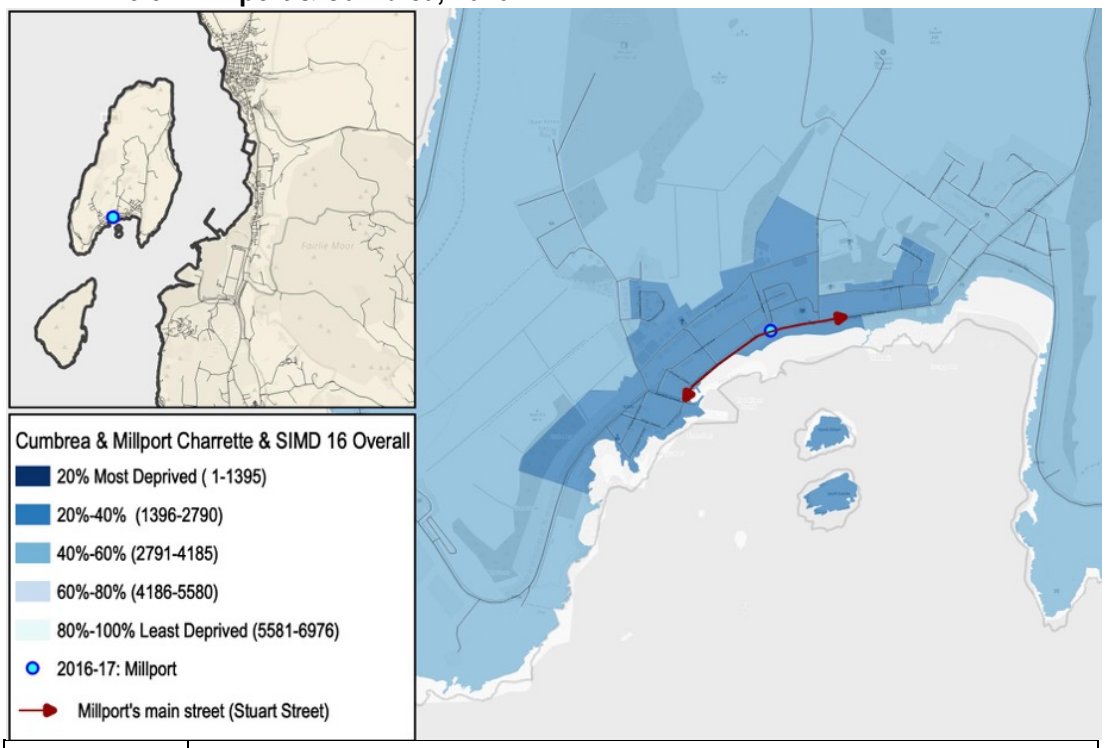
B.1.3.2 Three Towns, 2016-17



Description	Ardrossan, Saltcoats and Stevenston comprising the Three Towns charrette. Scale 1: 42000
Client	North Ayrshire Council
Design Team	Willie Miller Urban Design (lead); Ice Cream Architecture, Nick Wright Planning (subconsultants); Live Illustration, Lingo Flamingo, Unity Grill, Ayrshire Film Company (support).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Three Towns: Ardrossan, Saltcoats and Stevenston, which is one of six Locality Partnerships in North Ayrshire.
Focus:	Three Towns' project brief was to explore and record the public's and stakeholders' views around a range of themes: the Ardrossan ferry crossing, the Ayrshire Growth Deal, future reconfiguration of school estates and the emergence of LDP2. Promotional material marketed charrette as opportunity to contribute to a new plan for Three Towns.
Planning Relation:	Charrette timing coincides with council's move toward a locality planning model and the 'early stages of producing a strategy for future action', which the charrette will inform (Willie Miller Urban Design et al., 2017, p. 1). Additionally, charrette outputs would likely be used in deciding how best to spend to the council's 'several million' pound 2017-18 regeneration budget.
Post-Charrette:	--
Format:	Pre-charrette engagement included promotional activities (i.e. press releases, posters, flyers, online and social media campaign, town banners), on-street engagement with travelling cart, targeted youth workshops, direct email invites via existing networks. Charrette activities held over four days (14th – 19th June 2017) in Saltcoats Town Hall included themed workshops, drop-in sessions and a final exhibition. A drop-in exhibition and feedback session was held on November 16th 2017.
References:	(Willie Miller Urban Design et al., 2017)

AppxB_Figure 17: Ardrossan, Saltcoats and Stevenston

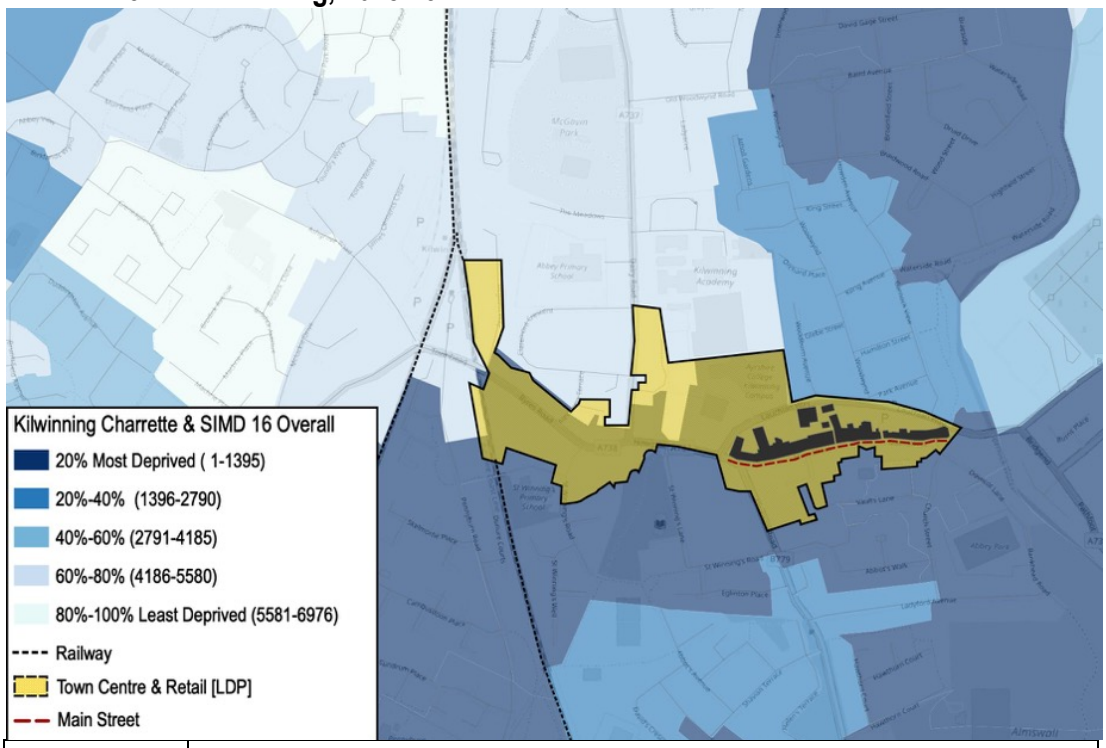
B.1.3.3 Millport & Cumbrea, 2016-17



Description	LHS map shows Cumbrea island in relation to mainland. Millport is the only town. Scale 1:4000; Scale 1: 400000
Client	North Ayrshire Council (Economy and Communities Team)
Design Team	--
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Isle of Cumbrae and Millport.
Focus:	To engage the community on developing 'marine tourism on the island'. Once comments were considered by North Ayrshire Council, the Marine Tourism Team (MTT) was informed. The MTT were expected to develop an Action and Investment Plan for Millport (North Ayrshire Council, 2017).
Planning Relation:	The charrette was part of a 'flood prevention programme' (MP Respondent 14, personal communication, 2019).
Post-Charrette:	--
Format:	--
References:	(North Ayrshire Council, 2017; MP Respondent 14, personal communication, 2019)

AppxB_Figure 18 Millport & Cumbrea

B.1.3.4 Kilwinning, 2018-19



Description	Kilwinning area profile. Scale 1: 12000
Client:	North Ayrshire Council and Kilwinning Locality Partnership
Design Team	Willie Miller Urban Design (lead); Icecream Architecture and Nick Wright Planning (subconsultants)
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Kilwinning.
Focus:	Create a Local Place Plan for the town that will support community-led action and guide future public sector decision-making and investment.
Planning Relation:	Charrette outputs will inform the council's and Kilwinning Locality Partnership's future decision-making.
Post Project:	The council's Community Investment Fund and Participatory Budgeting mean there will be funds available post MP project to support implementation and/or project progression some projects.
Format:	Planned consultations over May – June 2019 include online activity (through social media and a dedicated webpage), public events in several locations and targeted youth engagement sessions. Online methods include online survey and digital land mapping.
References:	(MP Respondent 14, personal communication, 2019; Icecream Architecture, 2019; North Ayrshire Council, 2019a, 2019c; Willie Miller Urban Design, 2019)

AppxB_Figure 19: Kilwinning area profile

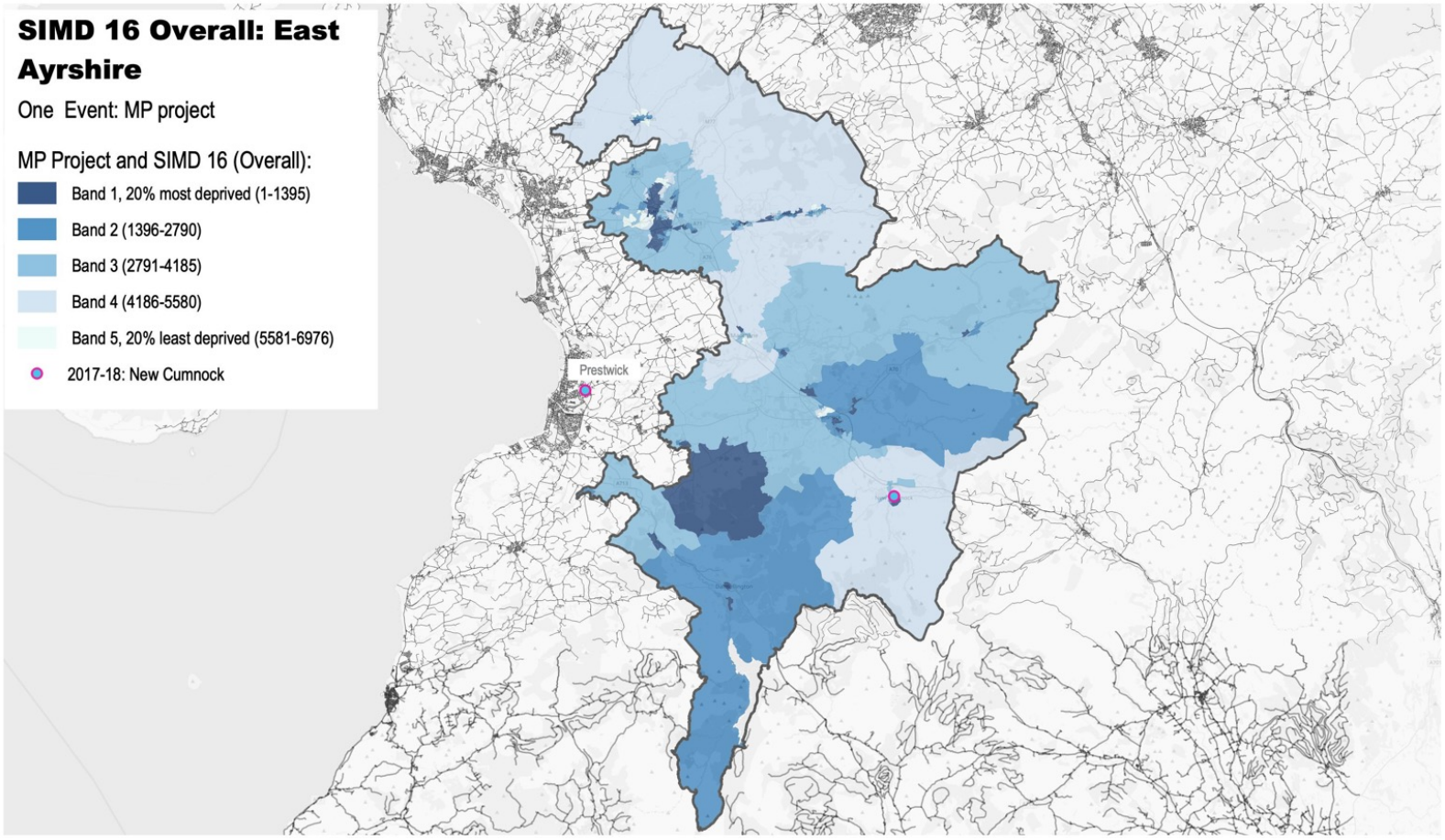
B.1.4 East Ayrshire

East Ayrshire, with a 33% Local Share of Scotland's most deprived 20% datazones, has had one MP project through the Scottish Government's initiative: New Cumnock, 2017-18. According to SIMD 16 (Overall) the areas within East Ayrshire that have the poorest outcomes (i.e., 5% most deprived) are North and South Kilmarnock and more rural areas Bellsbank / Dalmellington and Smallburn / Muirkirk.

New Cumnock is not among East Ayrshire's most deprived areas; however, it is not without signs of deprivation. Datazones S01007905 and S01007906 are in the 10%-15% most deprived bracket.

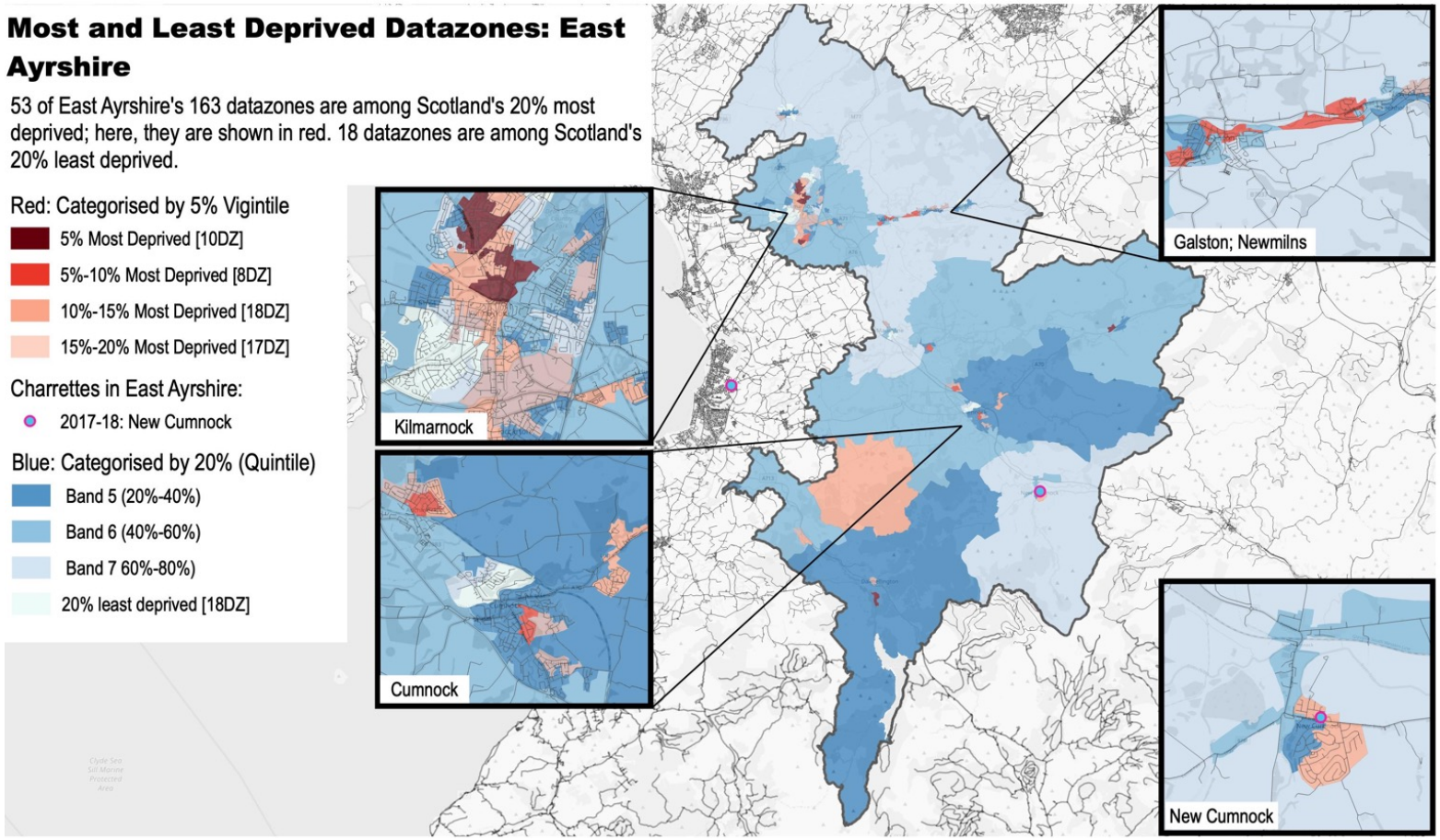
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
New Cumnock						✓	Yes. Two datazones within the study boundary are in the 10%-15% most deprived bracket. However, New Cumnock does not have any of East Ayrshire's top ten deprived datazones / those within 5% most deprived vigintile.

AppxB_Table 4 East Ayrshire Summary signs of deprivation according to SIMD 16



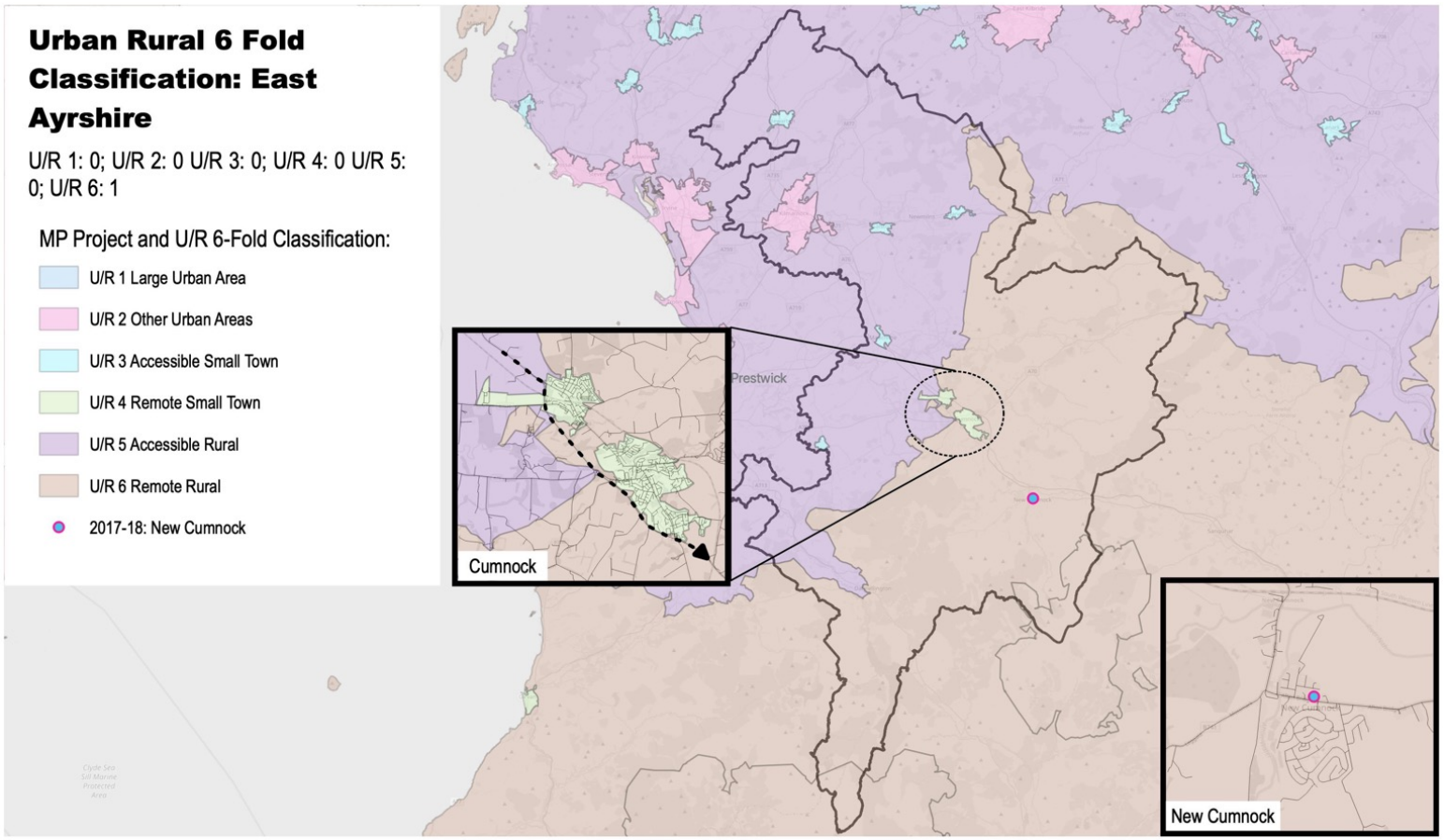
Scale 1: 830000

AppxB_Figure 20: East Ayrshire's MP project mapped



Scale 1: 830000

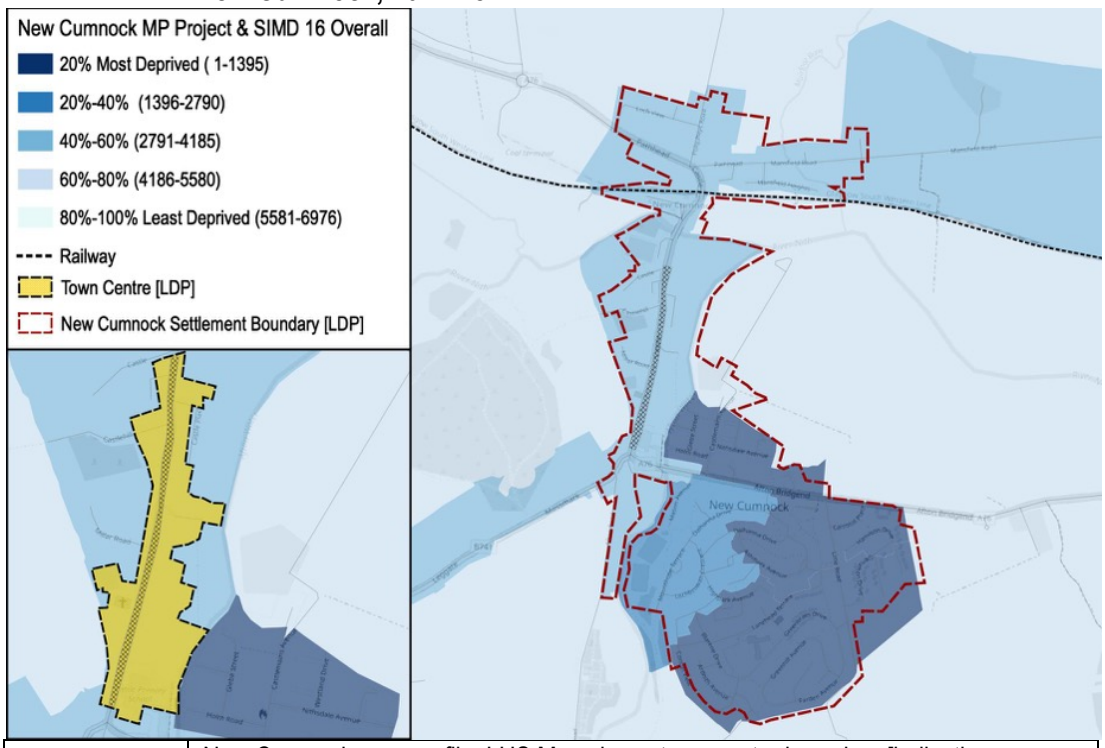
AppxB_Figure 21: East Ayrshire's most and least deprived datazones



Scale 1: 830000

AppxB_Figure 22: East Ayrshire Urban / Rural 6-Fold Classification

B.1.4.1 New Cumnock, 2017-18



Description	New Cumnock area profile. LHS Map shows town centre boundary [indicative, adapted from LDP] with Castle (A76); RHS Map shows New Cumnock settlement boundary [indicative, adapted from LDP] with Castle (A76). LHS Scale 1: 12000; RHS Scale 1: 24000
Client:	New Cumnock Development Trust (NCDT)
Design Team:	Outside the Box Ltd and Willie Miller Urban Design
Urban / Rural:	Remote rural, U/R 6
Study Area:	Whole town; output discusses New Cumnock's six 'character / functional areas' (Outside the Box & Design, 2018, p .8-10)
Focus:	Intended output was to prepare a New Cumnock Regeneration Masterplan; a priority project identified in the New Cumnock Community Action Plan commissioned by East Ayrshire's Vibrant Communities service.
Planning Relation:	The MP project worked within the context of the 2013-14 New Cumnock Community Action Plan.
Post Project:	--
Format:	The DT organised a four-day consultation event to 'gather views, ideas and support' on three key issues. Six 'consultation themes' were identified and 'maps, topic boards and graphic facilitation to illustrate suggestions' were used to assist discussion.
References:	(NCCAPST, 2014 ; Outside the Box & Design, 2018)

AppxB_Figure 23: New Cumnock area profile

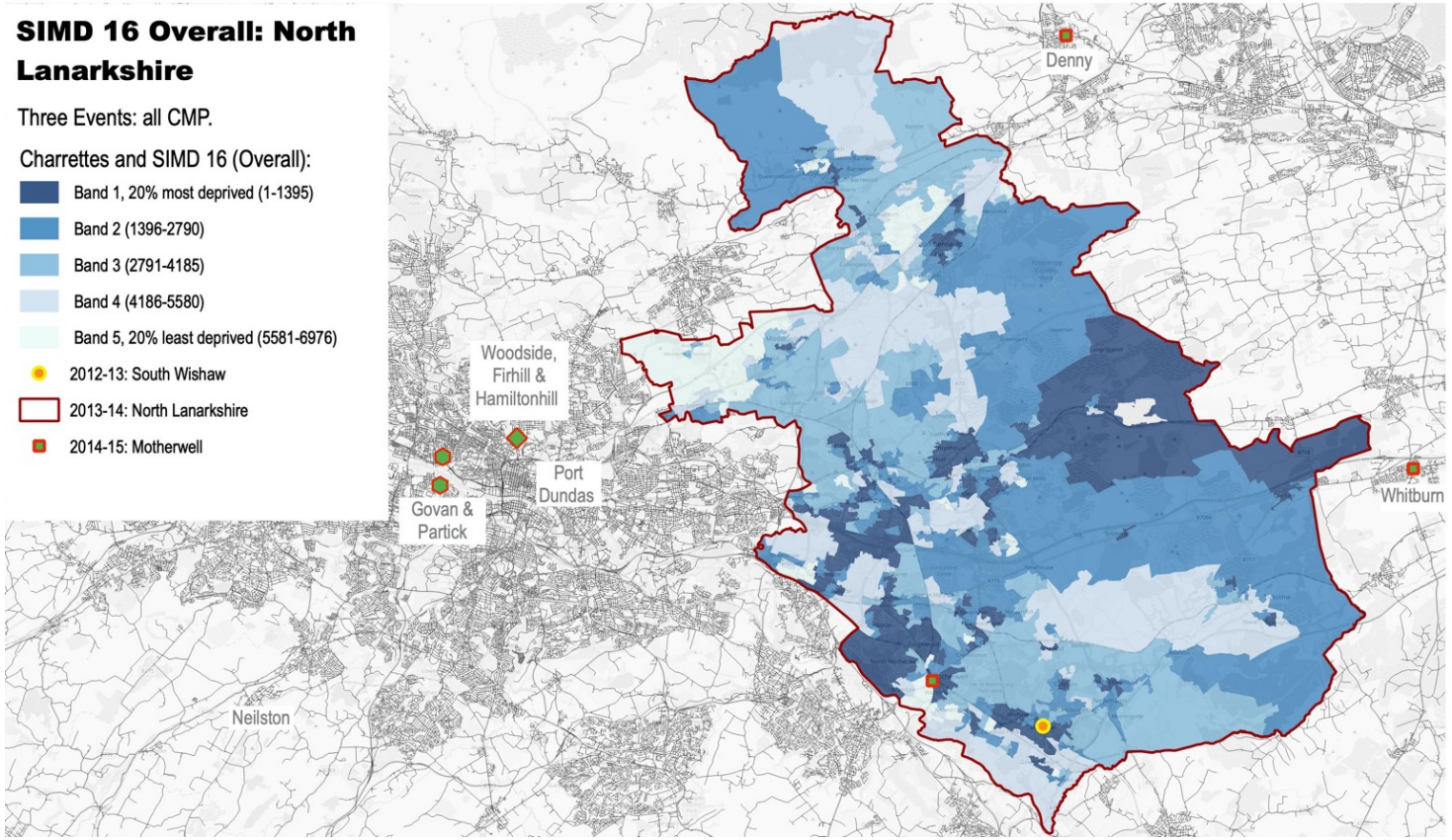
B.1.5 North Lanarkshire

North Lanarkshire has had three CMP events all commissioned by the local authority. South Wishaw in 2012-13 was the authority's first, and unlike those mapped thus far it was a mini charrette, not open to the public. Instead, it worked with invited stakeholders only. Working within the context of Glasgow and Clyde Valley Strategic Development Plan and the preparatory phases of the council's first LDP, the South Wishaw charrette was primarily focussed on housing land supply and how tertiary land could appeal to the private sector (Austin-Smith: Lord et al., 2013 ; Participant D, Scottish Government Representative). In the following CMP round, the council was successful again in securing charrette funding; this time, with the intention of developing a new business and industry policy framework. This charrette was equally private in the sense it engaged with the business sector only.

The council's most recent charrette (2014-15) in Motherwell, adopted a more typical format as it concentrated on town centre improvement projects. Discounting North Lanarkshire's business and industry focussed charrette, project mapping shows the others have worked in areas with signs of deprivation. North Lanarkshire has a 32% Local Share of Scotland's 20% most deprived datazones with thirty among Scotland's first vigintile bracket (i.e., ranked between 1-348). Most of these are found in the authority's U/R 2 'other urban areas' (Cliftonville, Orbiston, Craigneuk and South Wishaw, Forgewood, Greenend and Carnbroe, South and North Motherwell, Fallside, Thrashbush, Muirhouse, Newmains, Dundvan, Coatbridge West, Holytown, Bellshill, Petersburn and Cumbernauld); one in Gowkthrapple neighbourhood near Overtown (U/R 3, accessible small town); and another in semi-rural village Caldercruix (U/R 5). South Wishaw and Motherwell both have datazones among Scotland's 5% most deprived indicating they are areas in need of intervention and support.

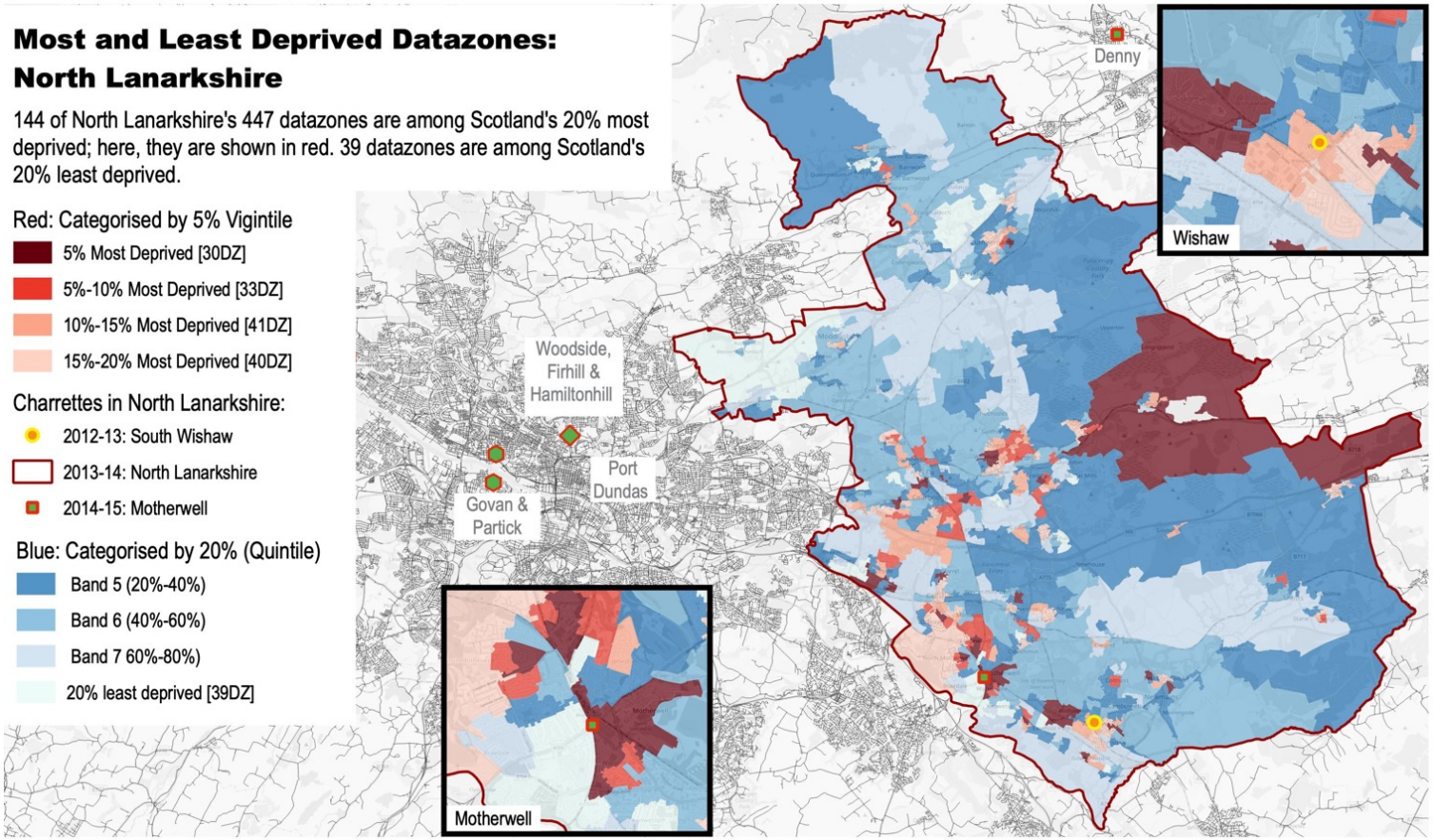
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
South Wishaw		✓					*Yes.* Nine first quintile datazones are within the immediate study boundary.
Motherwell		✓					*Yes.* Motherwell's core retail area (and charrette focus area) is largely characterised by first quintile datazones. However, nearby suburban areas, such as Airbles, lies mostly within fifth quintile datazones.

AppxB_Table 5 North Lanarkshire summary signs of deprivation according to SIMD 16



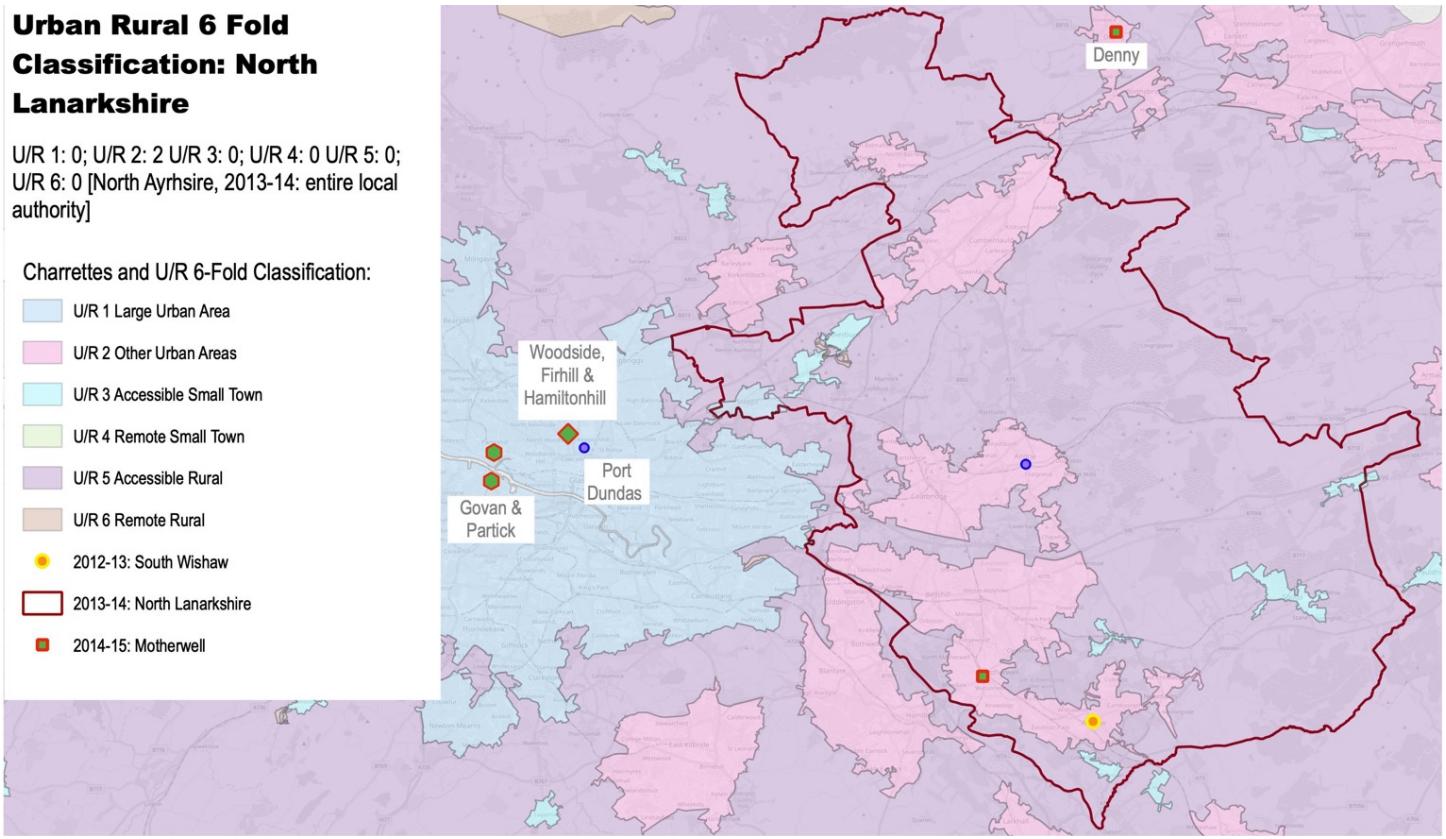
Scale 1: 400000

AppxB_Figure 24: North Lanarkshire's charrette profile



Scale 1: 120000

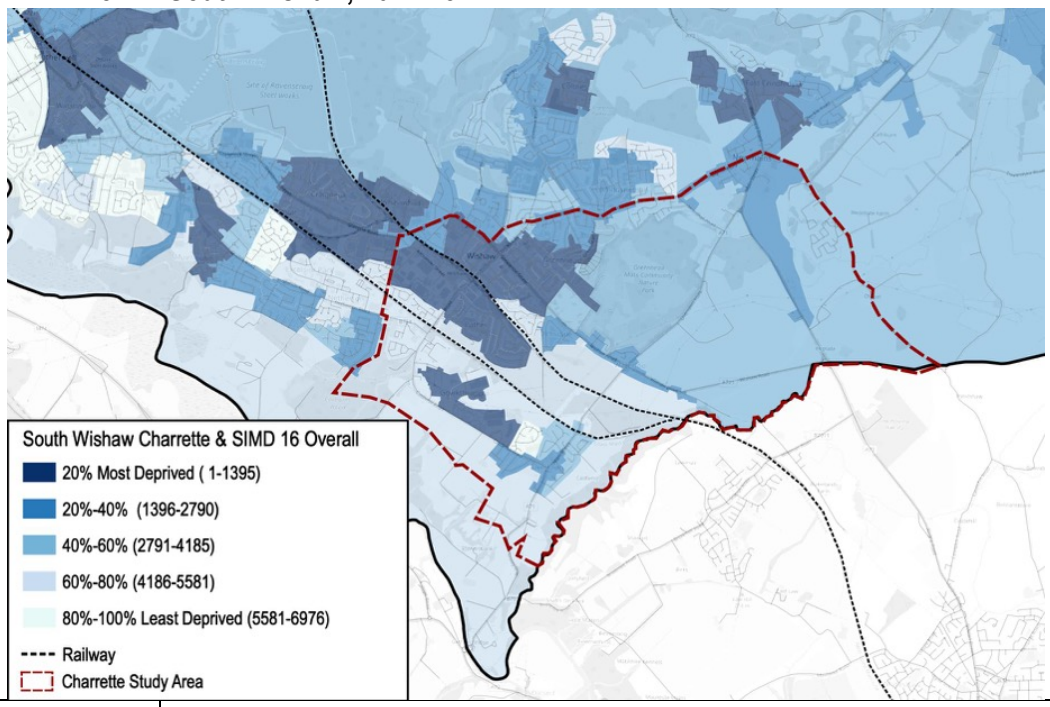
AppxB_Figure 25: North Lanarkshire's most and least deprived datazones



Scale 1: 400000

AppxB_Figure 26: North Lanarkshire categorised using Urban / Rural 6-Fold Classification

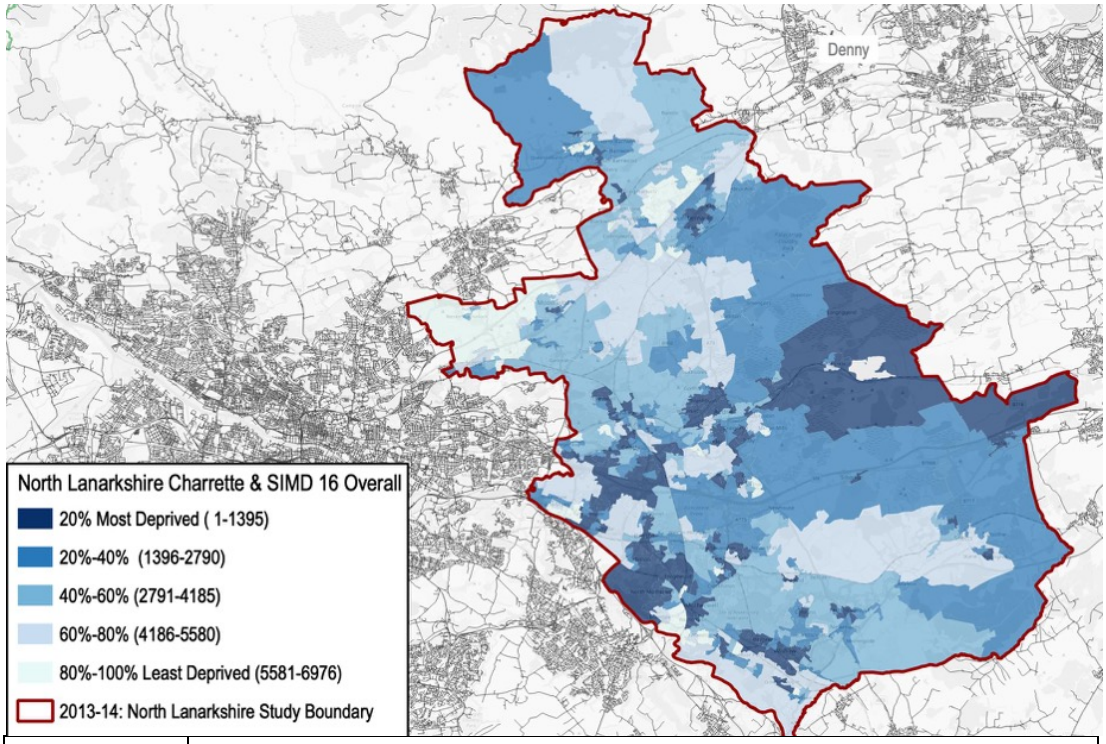
B.1.5.1 South Wishaw, 2012-13



Description	South Wishaw area profile. Scale 1: 67000. The charrette's study area is marked with a red boundary whilst the local authority boundary is marked in black.
Client	North Lanarkshire Council (Strategic Planning Department / Team)
Design Team	Austin-Smith:Lord (lead); Douglas Wheeler Associates Ltd, Transport Planning Ltd., AECOM, and Ryden.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	The study boundary is 1192 hectares including parts of the town centre, existing communities in and around Wishaw as well as development sites 'identified as part of the South Wishaw [Community Growth Area] CGA'. These development sites total 38 hectares (Austin-Smith: Lord et al., 2013 , p. 13).
Focus:	The mini-charrette focussed on 'housing land issues' as North Lanarkshire embarked on its first LDP process. The intended output was a 'spatial strategy for housing development' that reviewed 'housing land supply issues' (Austin-Smith: Lord et al., 2013 , p. 6)
Planning Relation:	The North Lanarkshire Local Plan identified housing land supply as a key issue, thus setting the remit for South Wishaw's mini charrette. The CMP's second round intended charrette outputs to 'support and inform Main Issues Reports (MIRs) and their subsequent Local Development Plans (LDPs)' (Austin-Smith: Lord et al., 2013 , p. 6).
Post-Charrette:	--
Format:	An invite-only charrette engaging with 'community representatives, council staff, land owners, housing developers and other stakeholders' (Austin-Smith: Lord et al., 2013 , p. 6). The two-day event held at Centrepoint Gowkthrapple comprised of drop-in sessions for interested parties and key stakeholder workshops. A 'sense-check' meeting to review emerging strategy was held on 22nd March 2013.
References:	(Austin-Smith: Lord et al., 2013)

AppxB_Figure 27: South Wishaw area profile

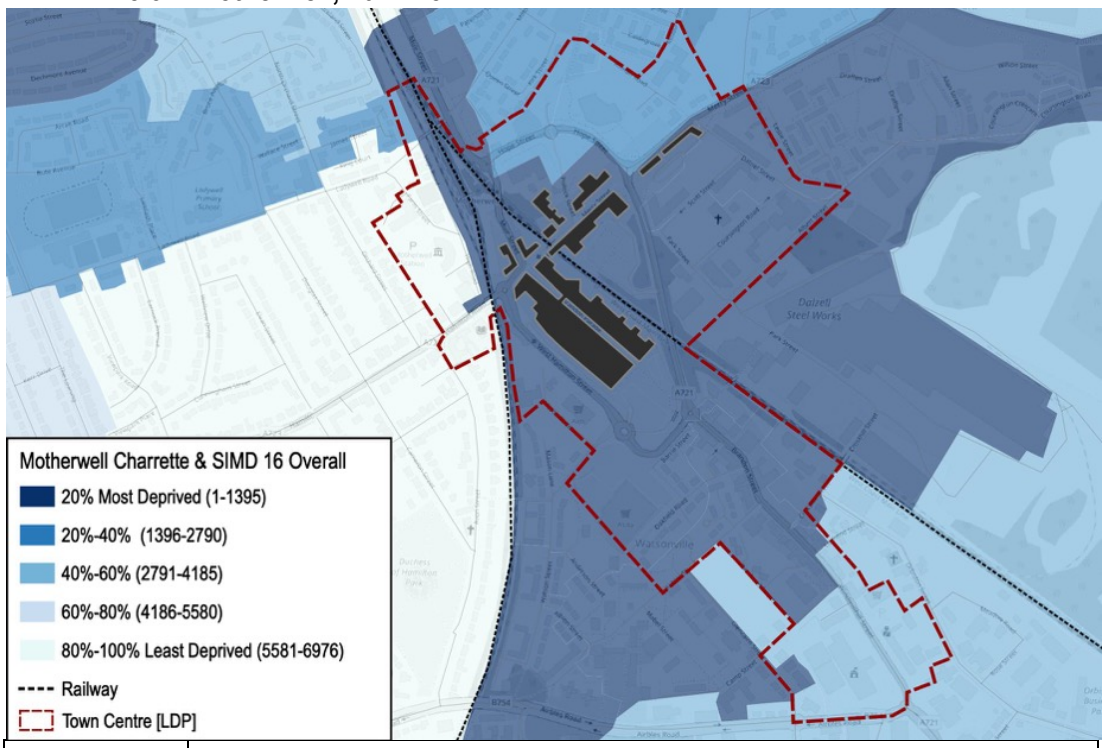
B.1.5.2 North Lanarkshire 2013-14



Description	North Lanarkshire CMP study boundary included the entire local authority boundary; marked here in red. Scale 1: 560000
Client	North Lanarkshire Council
Design Team	URS, Rettie & Co and Nick Wright Planning
Urban / Rural:	--
Study Area:	Charrette was not polycentric (e.g., managing several focus areas) nor focussed on a single site. The project worked at a policy-level affecting an entire local authority boundary.
Focus:	The charrette was tasked with designing a new 'policy framework for business and industry in North Lanarkshire' (URS et al., 2014 , p. 1)
Planning Relation:	The charrette was expected to inform North Lanarkshire's LDP; a subsequent report confirms charrette output contributed to the North Lanarkshire LDP Proposed Plan (North Lanarkshire Council, 2018).
Post-Charrette:	As above, the charrette output was used in the preparation of North Lanarkshire's LDP. It is anticipated the charrette output will 'influence the next generation of planning policy for business and industry in North Lanarkshire' (URS et al., 2014 , p. 21)
Format:	Pre-charrette activities included: baseline research and a workshop with representatives from North Lanarkshire Council, Scottish Government and Glasgow & Clyde Valley Strategic Development Plan Authority to shape charrette engagement strategy. Charrette events held in separate locations on 3rd April 2014 and 25th June 2014. Activities included: face-to-face and telephone interviews, email correspondence, a survey, workshops and DT attendance at relevant business events.
References:	(North Lanarkshire Council, 2018; URS et al., 2014)

AppxB_Figure 28: North Lanarkshire

B.1.5.3 Motherwell, 2014-15



Description	Motherwell's area profile showing town centre boundary and retail core around Merry Street. Scale 1:13000
Client	North Lanarkshire Council
Design Team	PAS
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Town centre; the DT adopted the town centre boundary defined in planning policy.
Focus:	In line with the Scottish Government's Town Centre First Principle, this charrette sought to identify physical and non-physical projects to 'maximise the benefits of public sector investment, service delivery and planning policy in a particular town centre, through the integration of land use and community planning' (PAS, 2015 , p. 5)
Planning Relation:	The output suggests the charrette findings should allow North Lanarkshire Council to finalise their updated Town Centre Action Plan (PAS, 2015 , p. 2).
Post-Charrette:	--
Format:	Model: Charrette*Plus.* Pre-charrette from May-June 2015, activities included: targeted youth engagement, stakeholder interviews / sessions and publicity campaign (i.e., direct emails, flyer distribution, promotion through existing networks, press releases and social media). A four plus one format adopted (21st – 25th June & 20th August 2015) based in GLO Centre. Activities included: drop-in sessions, themed workshops and a follow-up presentation.
References:	(PAS, 2015)

AppxB_Figure 29: Motherwell's area profile

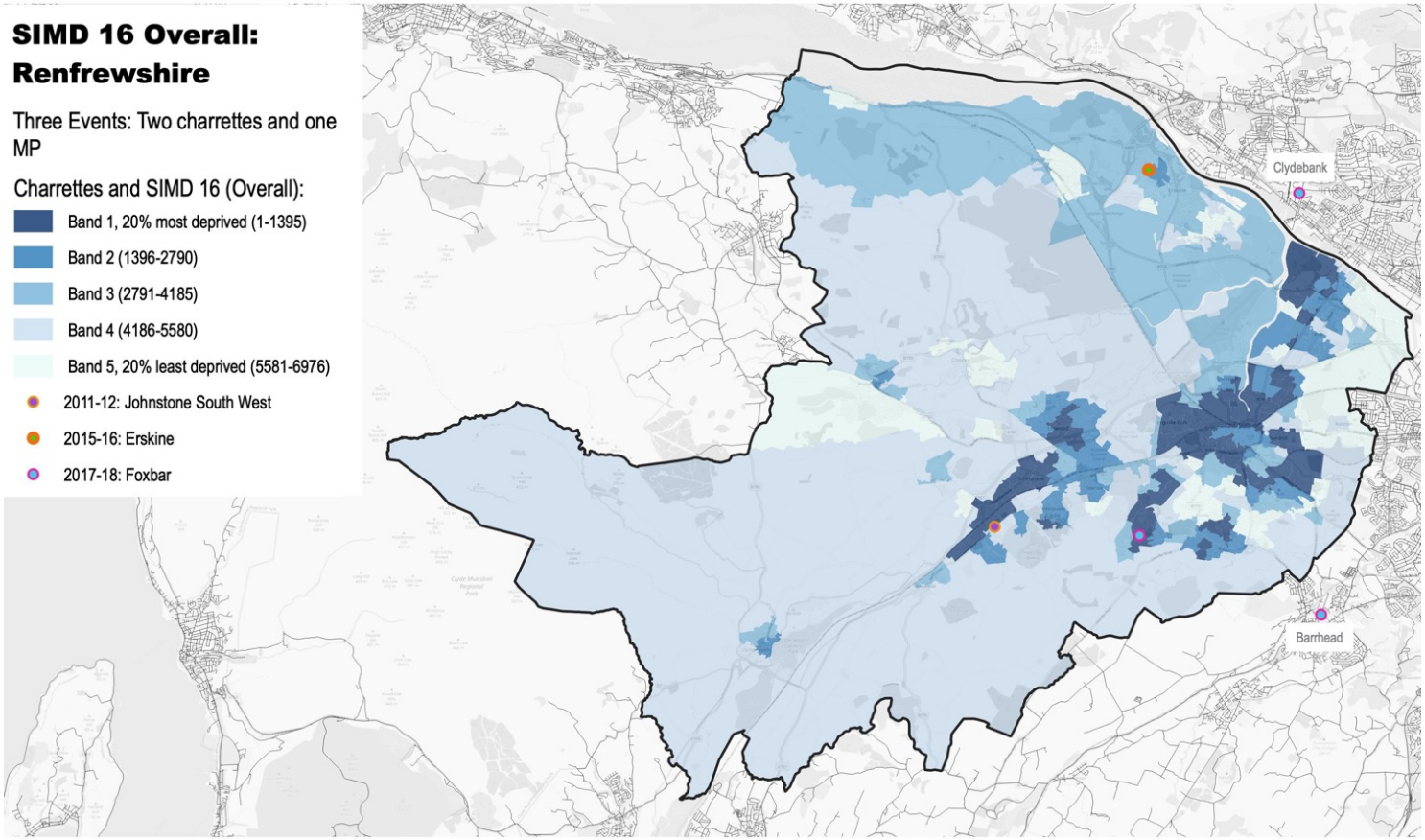
B.1.6 Renfrewshire

Renfrewshire Council has been the lead project proposer in all three CMP and MP projects. The council's CPP recognises a *community of interest* living in areas characterised by 5% most deprived datazones in Scotland; which account for approximately 9,000 Renfrewshire residents (Renfrewshire Community Planning Partnership, 2017). The areas with worst SIMD 16 (Overall) outcomes are found in Johnstone, Linwood, Ferguslie Paisley East, North-East, North-West and Foxbar.

Two out of three projects have worked in areas where datazones are ranked below 348: Johnstone South West and Foxbar. The latter has seven first quintile datazones within the study boundary and the former has three. The authority's 2015-16 project is the only one not to have worked in an area evidencing deprivation; datazones within the study boundary fall into the 40%-60% bracket.

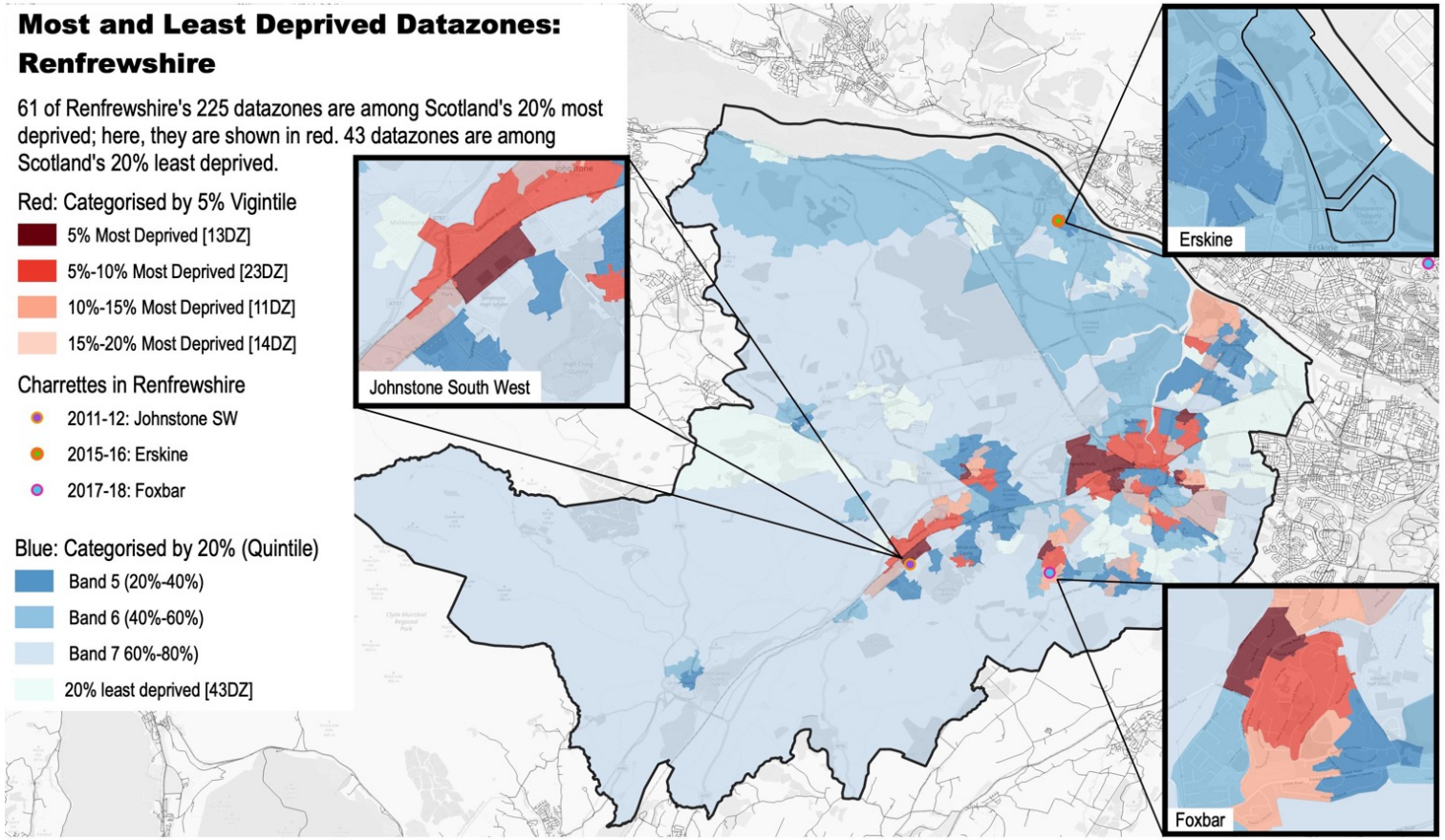
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Johnstone South West	✓						*Yes.* The study boundary has datazones within the 5%, 5%-10% and 15%-20% most deprived vigintile brackets.
Erskine		✓					*No.* SIMD is not a tool to identify areas of affluence; it does indicate which areas may be in greater need of intervention. The Erskine charrette's study boundary focussed on an area that has no datazones from the 40% most deprived bracket.
Foxbar	✓						*Yes.* This area of Paisley is characterised by 5%, 5%-10%, 10%-15% and 15%-20% most deprived vigintile brackets.

AppxB_Table 6 Renfrewshire summary Signs of deprivation according to SIMD 16



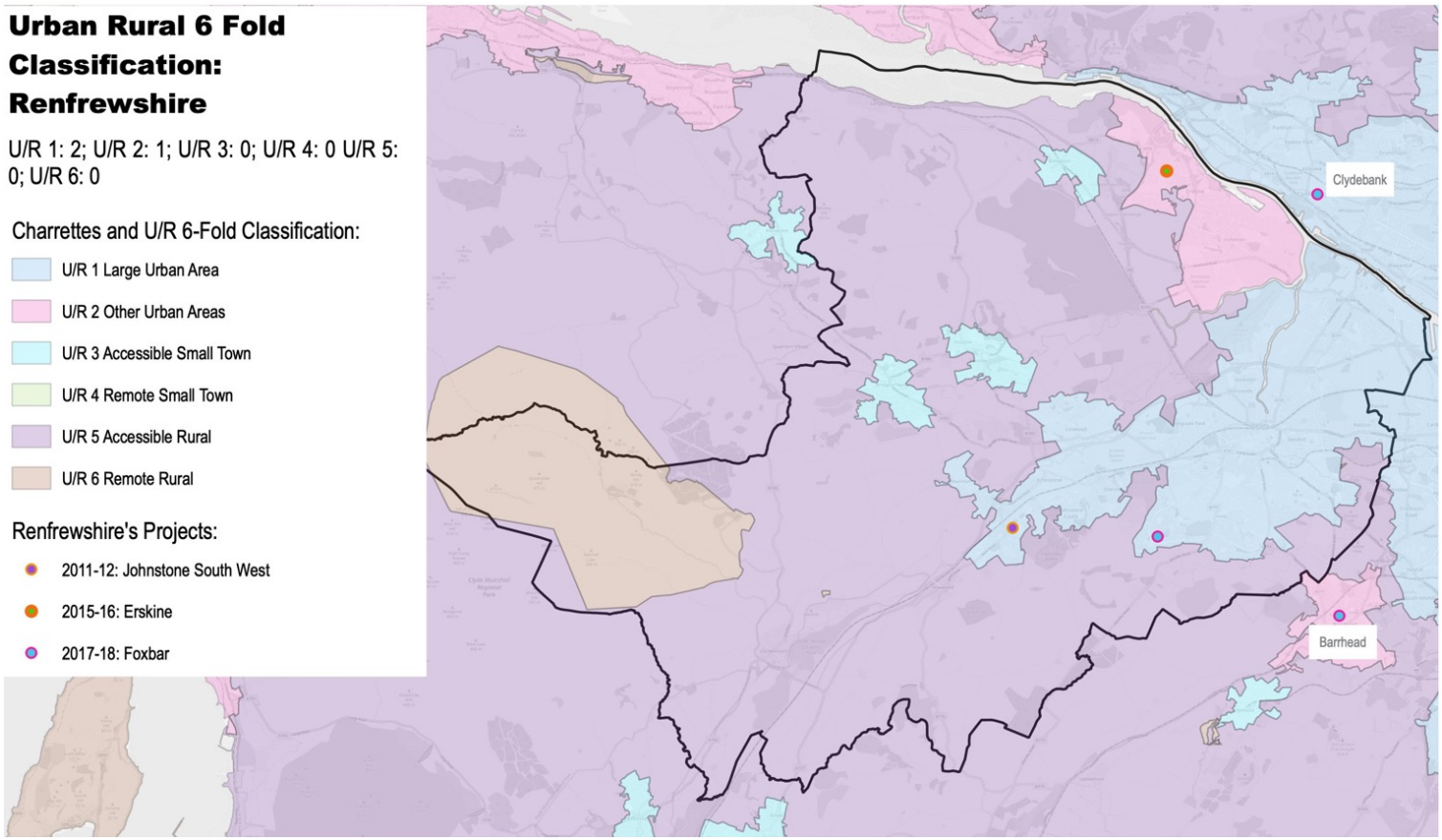
Scale 1: 250000

AppxB_Figure 30: Renfrewshire's projects mapped



Scale 1: 270000

AppxB_Figure 31: Renfrewshire's most and least deprived datazones



Scale 1: 260000

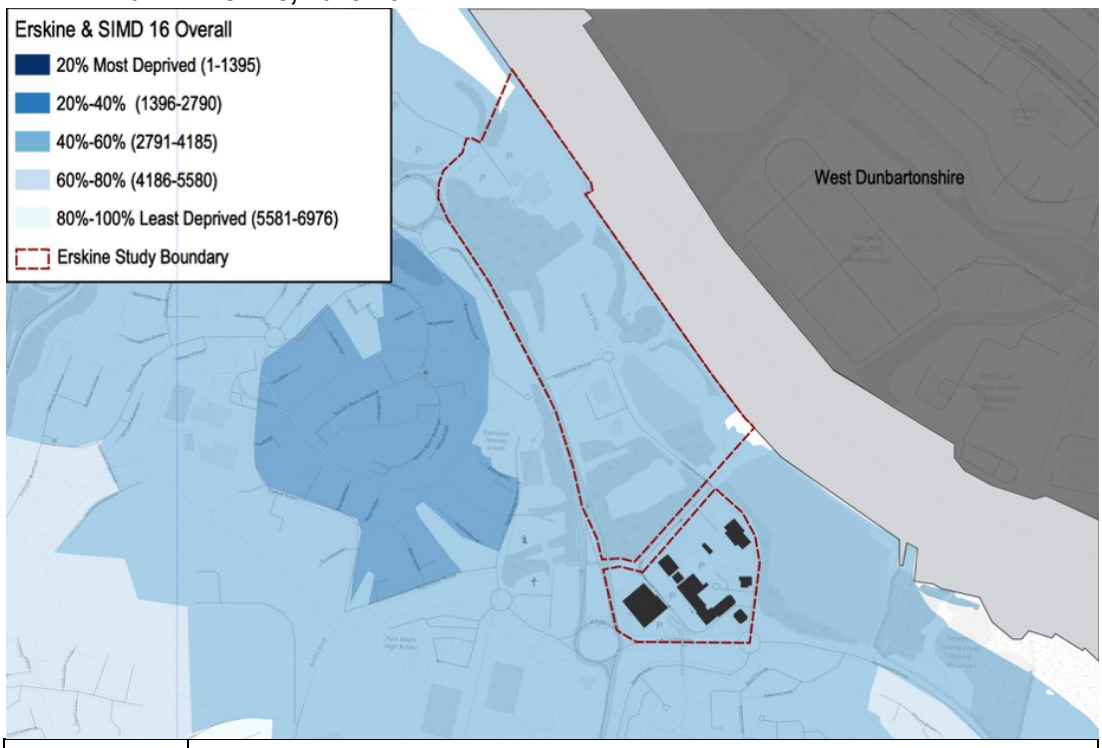
AppxB_Figure 32: Renfrewshire Urban / Rural 6-Fold Classification

B.1.6.1 Johnstone South West, 2011-12

Description	Johnstone South West Study area profile. Scale 1: 19000
Client	Renfrewshire Council
Design Team	Austin-Smith: Lord (lead); Douglas Wheeler Associates, WAVE*Particle*, Transport Planning Ltd., AECOM, Ryden, Neilson Partnership and Icosse
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Charrette focussed on an 'existing urban neighbourhood' identified in the Glasgow and Clyde Valley Structure Plan (2006) as a Community Growth Area. The 290-hectare study area, west of Johnstone town, is described as fragmented with several issues / constraints inhibiting development.
Focus:	This charrette was described as a 'planning type process' considering how to take 'tertiary land and make it prime' (Participant D, Scottish Government Representative, 2017). Charrette aimed to prepare an 'integrated masterplan and development framework for Johnstone South West' (Austin-Smith: Lord et al., 2012, p. 19, 32)
Planning Relation:	The LDP and Supplementary Planning Guidance was due to be adopted in 2013/14. Output was expected to inform the LDP and guide Renfrewshire Council in a 'development strategy for Johnstone South West'. (Austin-Smith: Lord et al., 2012, p. 19).
Post-Charrette:	Ostensibly little development post-charrette: there had been 'no immediate uptake' and output has 'sort of went into the back rooms of planning departments [and] worked its way through discussions with landowners etc.' (Participant D, Scottish Government Representative, 2017).
Format:	Pre-charrette (w/c October 24th, 2011), activities: publicity campaign (i.e., press releases, poster / flyer distribution, social media presence and blog / newssheet emailed to database contacts), targeted school workshop and on-street engagement. Charrette event five consecutive days (November 1st – 5th, 2011) based in Spateston Bowling Club, activities: three 'milestone' presentations, targeted working sessions, drop-in sessions and public review / exhibition.
References:	(Austin-Smith: Lord et al., 2012; Participant D, Scottish Government Representative)

AppxB_Figure 33: Study area profile

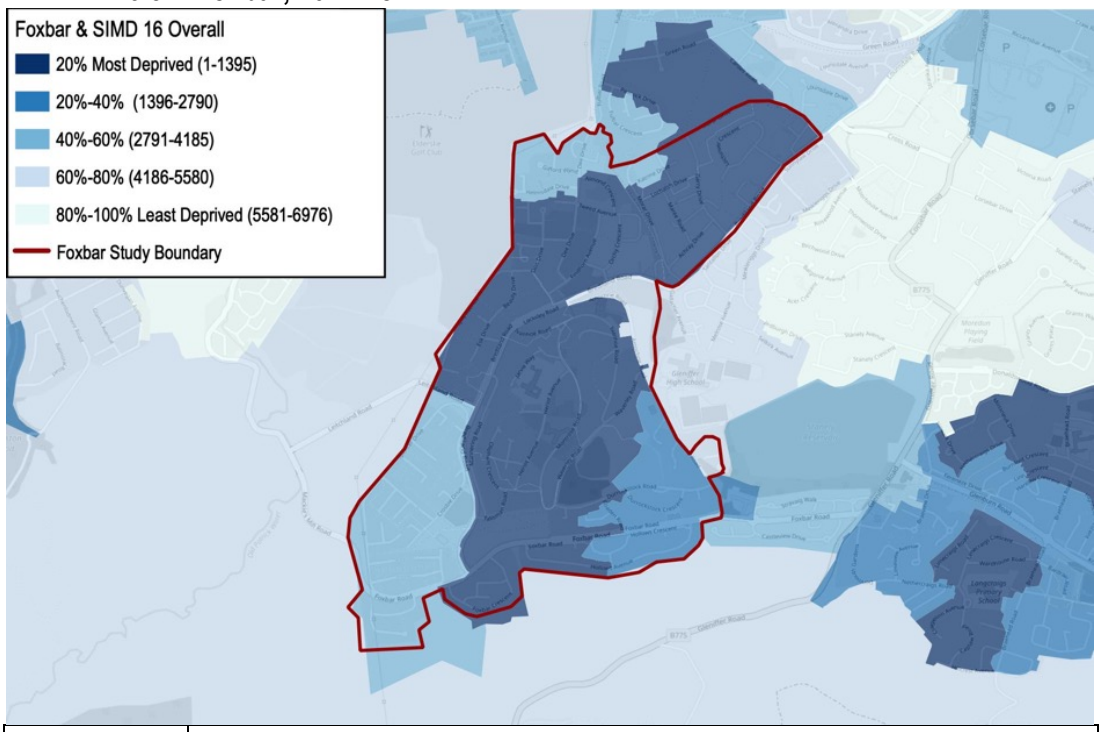
B.1.6.2 Erskine, 2015-16



Description	Erskine's area profile highlighting study boundary and local shopping / leisure facilities. Scale 1: 2300
Client	Renfrewshire Council (i.e., planning authority and main landowner in 'town centre and riverside area').
Design Team	Nick Wright Planning, Aecom, Icecream Architecture, Steven Tolson and Willie Miller Urban Design.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Erskine's town centre and a Riverfront Transition Area (marked above).
Focus:	Address town centre issues (e.g., vacant / brownfield development opportunities, range of uses, connections to the River Clyde) in a series of physical, social and economic project proposals. Local authority was concerned council-owned development sites had progressed 'despite various attempts'. Which was part of the rationale for CMP commission (Participant V1 Private Practice Professional 2017).
Planning Relation:	Charrette output intended to include 'future actions', which the project proposer could use in the preparation of Renfrewshire Council's' Town Centre strategy and Action Plan and the next LDP.
Post-Charrette:	--
Format:	Pre-charrette (starting month prior to man event), activities: publicity campaign (i.e., posters, flyer distribution through existing networks, press releases, social media), targeted school engagement, on-street engagement (vinyl map), targeted key stakeholders through one-to-one meetings. Purpose was to raise charrette-awareness, understand local context and tailor charrette event. Consecutive five-day charrette event (2nd – 6th February 2016), activities: themed public workshops, drop-in sessions and a staffed exhibition.
References:	(Nick Wright Planning et al., 2016)

AppxB_Figure 34: Erskine's area profile

B.1.6.3 Foxbar, 2017-18



Description	Foxbar study area. Scale 1:4500
Client	MP Applicant: Renfrewshire Council. Outputs also list Renfrewshire CPP, Foxbar and Brediland Community Council and Paisley Housing Association as project initiators.
Design Team	Nick Wright Planning and 7N Architects
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Foxbar i.e., a neighbourhood with a local population of approximately 8,500 on the south-western edge of Paisley
Focus:	To pilot a Local Place Plan, which contains a ten-year vision with priority deliverables to help achieve vision.
Planning Relation:	The Scottish Government encouraged MP (2017-18) applicants with intentions of piloting Local Place Plan development; Renfrewshire Council used their MP funding for this purpose. The MP output will support delivery of projects identified in the Renfrewshire Community Plan 2017-2027 and inform future LDPs.
Post-Charrette:	--
Format:	Phase 1 May-June 2018, activities: baseline research, establish MP steering group, agree engagement strategy, meet key stakeholders, online engagement and targeted youth engagement. Phase 2 based in Foxbar Community Centre, activities: themed public sessions Wednesday 16th, 30th May and 20th June 2018. Other activities included on-street engagement, targeted school engagement and DT attendance Foxbar elderly forum.
References:	(Nick Wright Planning & 7N Architects, 2018; Scottish Government, 2017)

AppxB_Figure 35: Foxbar study area.

B.1.7 Fife

Over the course of CMP, AI and MP there have been twelve charrettes and/or design-led events[74] in Fife; four commissioned by the council suggesting the majority were community-led projects. Half place in Fife's most urban areas (U/R 2), four within accessible rural communities (U/R 5) and two in the same accessible small town (U/R 3). Those in more rural areas tend to focus on the whole village and wider environs whilst more urban projects identify boundaries within the town; for example, Victoria Road identified a regeneration corridor and Glenrothes West focussed on a particular site and a self-drawn boundary.

Typically, urban communities have a higher percentage of people living within areas of deprivation (Scottish Government, 2016d). U/R 5 areas (Kincardine, Falkland, Crail and Elie & Earlsferry) are unaffected by Fife's 95 first quintile datazones. Using a 1.5-kilometre boundary around project centre for Cupar, an accessible small town (U/R 3), one datazone in the 15%-20% most deprived bracket is found; Dunfermline, an 'other urban area' (U/R 2), has two datazones between 5%-15% most deprived; and Inverkeithing, an 'other urban area' (U/R 2), has one datazone in the 10%-15% bracket.

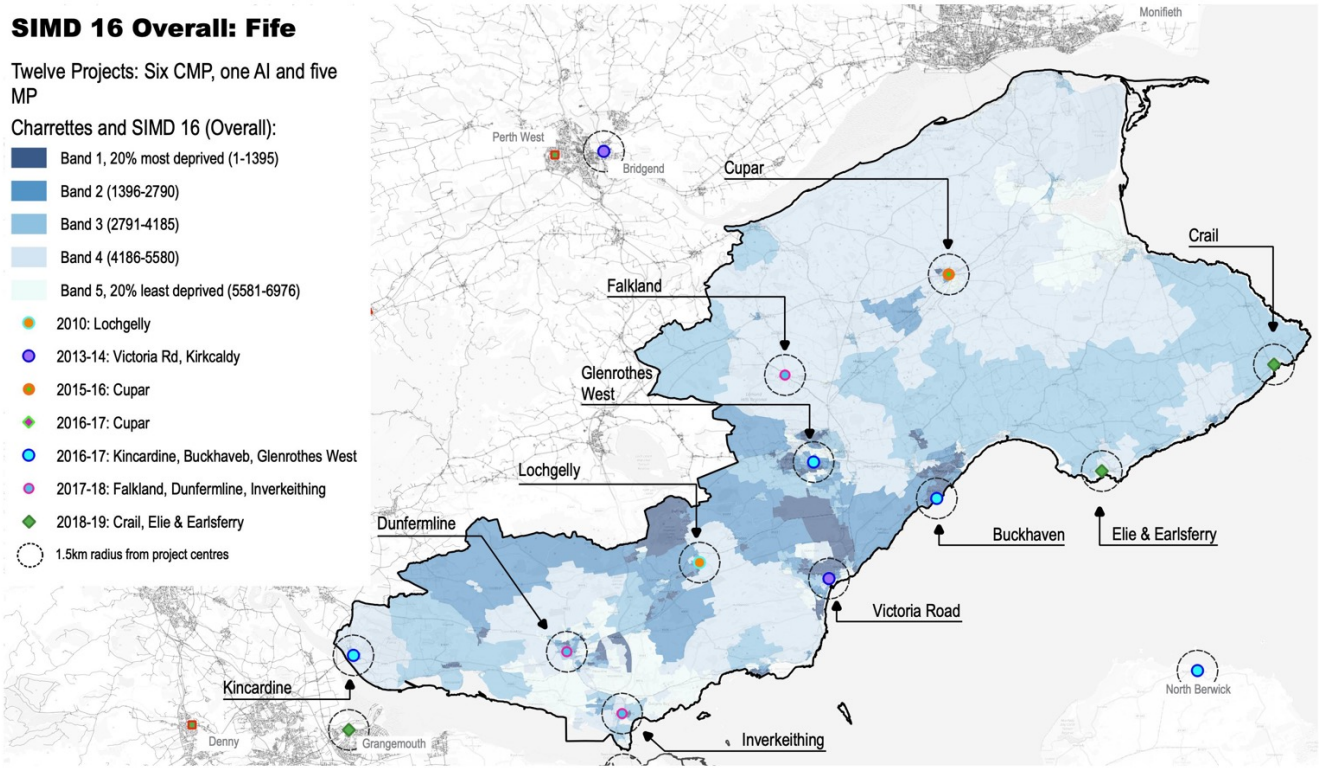
Lochgelly, Glenrothes West, Buckhaven, and Victoria Road are all U/R 2 areas with a higher concentration of first quintile datazones than the other CMP, AI and MP project areas in Fife; the latter two, have datazones in the 5% most deprived vigintile. Other areas within Fife with the worst SIMD 16 (Overall) outcomes (i.e., 5% most deprived) include Ballingry, Kirkcaldy Linktown, Kirkcaldy Sinclairtown, Denbeath and East and West Methil.

Therefore, **two** CMP projects have worked in Fife's most deprived areas where datazones rank below 348 (Buckhaven and Victoria Road); a further **two** charrette projects place in areas where several datazones rank between 5%-20% most deprived (Lochgelly and Glenrothes West); **three** projects work in areas with little sign of major deprivation (i.e. one or two datazones in wider environs place within the 5%-15% bracket); and **four** projects in areas with no first quintile datazones (i.e. all projects in U/R 5 settlement-types) .

[74] This total refers only to those commissioned through CMP, AI and MP. In 2013 the Bawbee Bridge area of Leven was supported by the Scottish Government to pilot PAS's Charrette*plus*® model (Smith Scott Mullan Associates, n.d.). Separate Charrette*plus*® -or similar- projects are not included in this CMP, AI or MP review.

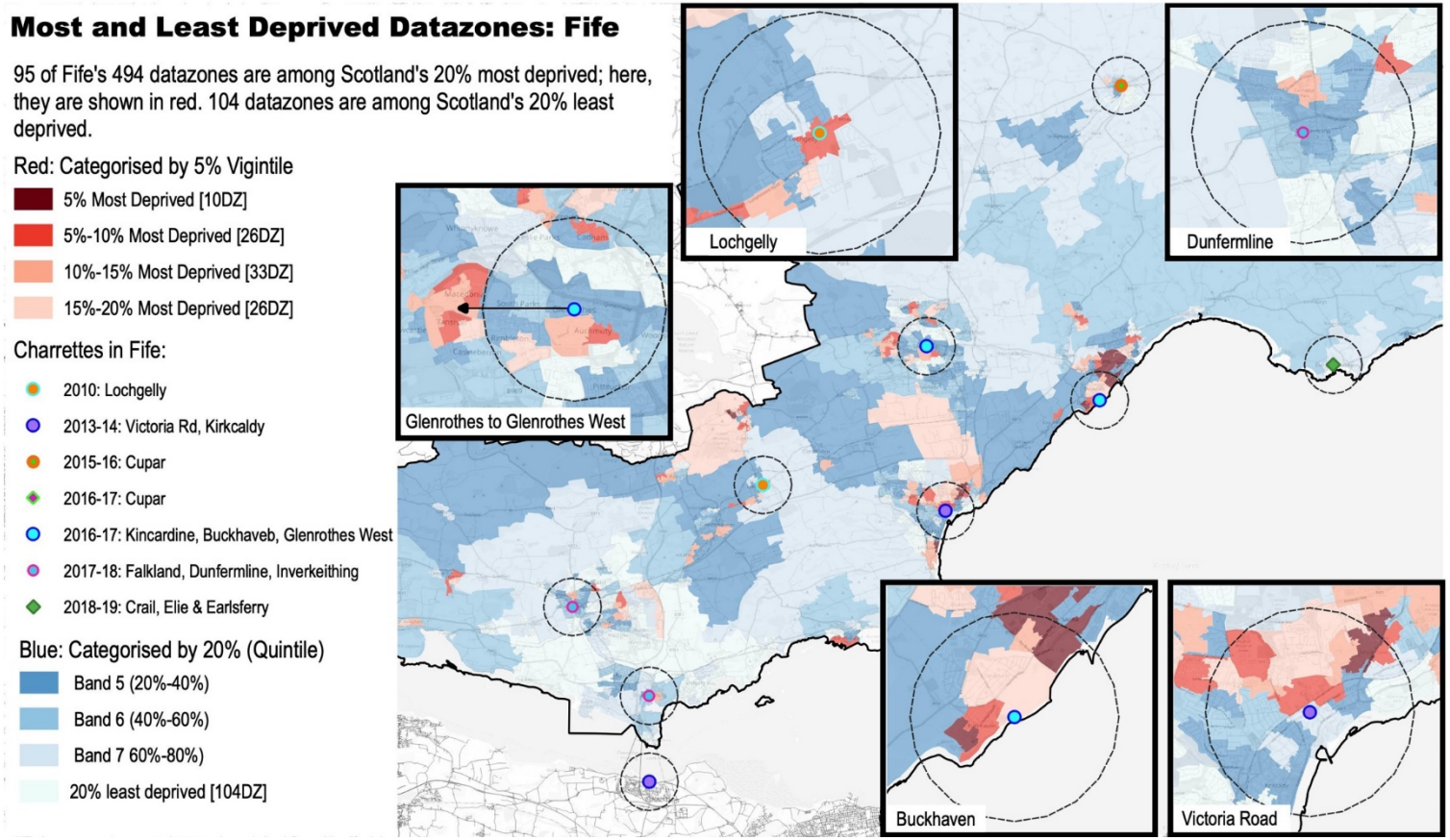
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Lochgelly		✓					*Yes.* Within the immediate study area there are datazones in the 5%-10%, 10%-15% and 15%-20% most deprived vigintiles. No datazones in the immediate area place within the least deprived quintile (i.e., 5580-6976)
Glenrothes West		✓					*Yes.* Within the immediate study area there are datazones in the 5%-10%, 10%-15% and 15%-20% most deprived vigintiles.
Buckhaven		✓					*Yes.* Within the immediate study area all datazones are in the 40% most deprived bracket; three datazones place within Scotland 5% most deprived bracket.
Victoria Rd		✓					*Yes.* Within the immediate study area datazones place within the first, second and fourth quintile. No datazones within the immediate boundary fall into the least deprived quintile.
Inverkeithing		✓					*Little.* Despite its U/R 2 settlement-type, there is little sign of deprivation with one datazone in the 10%-15% vigintile within a 1.5 km radius of Inverkeithing centre.
Dunfermline		✓					*Little.* Within a 1.5 km radius Dunfermline's wider environs has two first quintile datazones; the town centre and project study area are characterised by second quintile datazones.
Cupar (CMP, AI)			✓				*Little.* Cupar's centre falls across second, third, fourth and fifth quintile datazones. A residential area between Belgarvie Road and Bank Street is characterised by the area's only first-quintile datazones.
Kincardine					✓		*No.* Kincardine's datazones all fall into second, third and fourth quintiles; there are no first (i.e., most) or fifth (i.e., least) deprived datazones.
Falkland					✓		*No.* Falkland and Newton of Falkand are characterised by fourth quintile datazones only.
Crail					✓		*No.* Crail is characterised by third and fourth quintile datazones only.
Elie & Earlsferry					✓		*No.* The settlement boundary largely falls into a fourth quintile datazone and wider environ datazones fall into the third quintile.

AppxB_Table 7 Fife's Urban / Rural Classification and SIMD 16



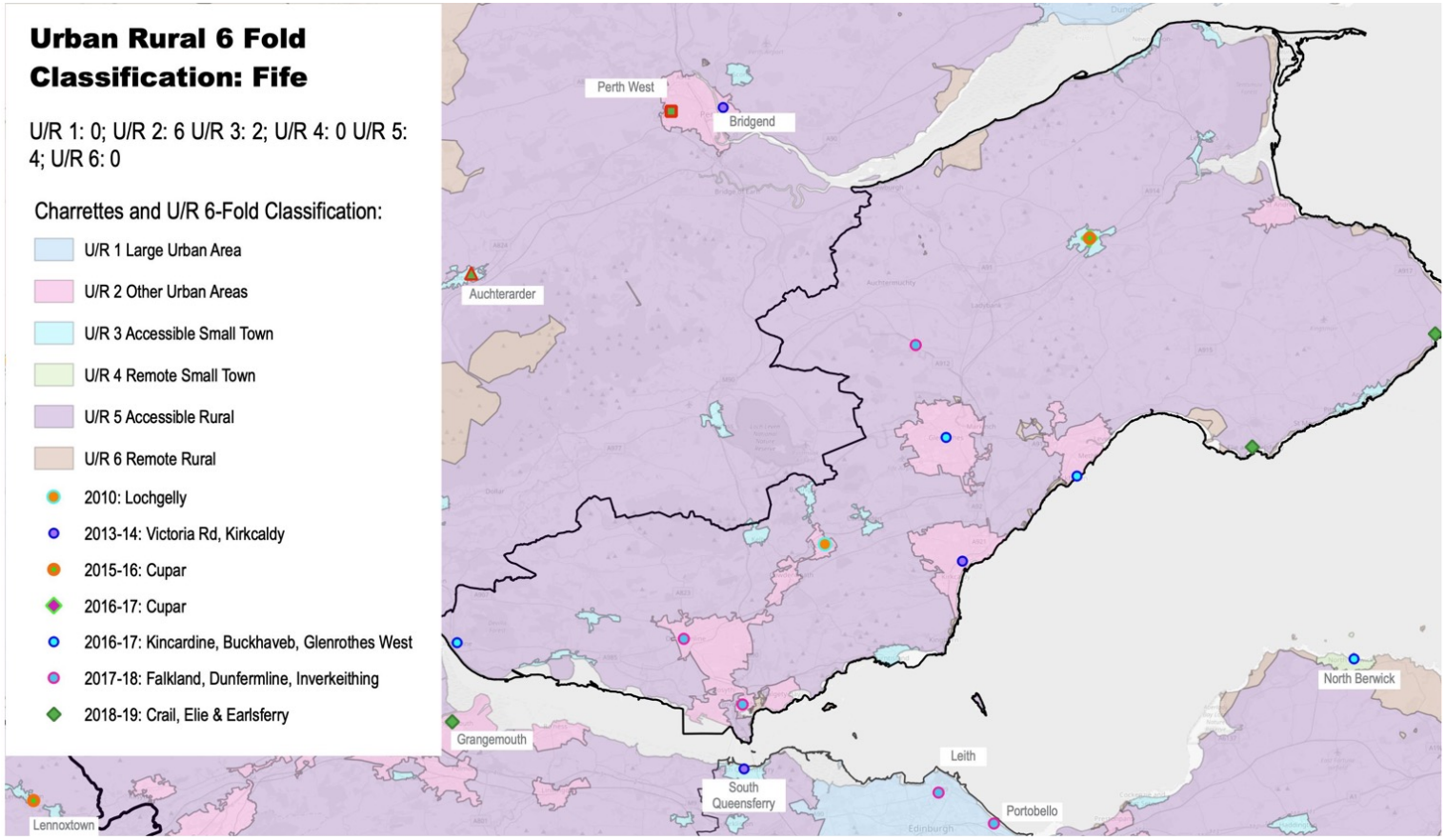
Scale 1: 670000

AppxB_Figure 36: Fife's twelve projects mapped against SIMD 16



Scales: Fife 1: 290000; Glenrothes 1: 91000; Lochgelly 1: 69000; Dunfermline 1: 75000; Buckhaven 1: 80000; Victoria Road 1: 80000

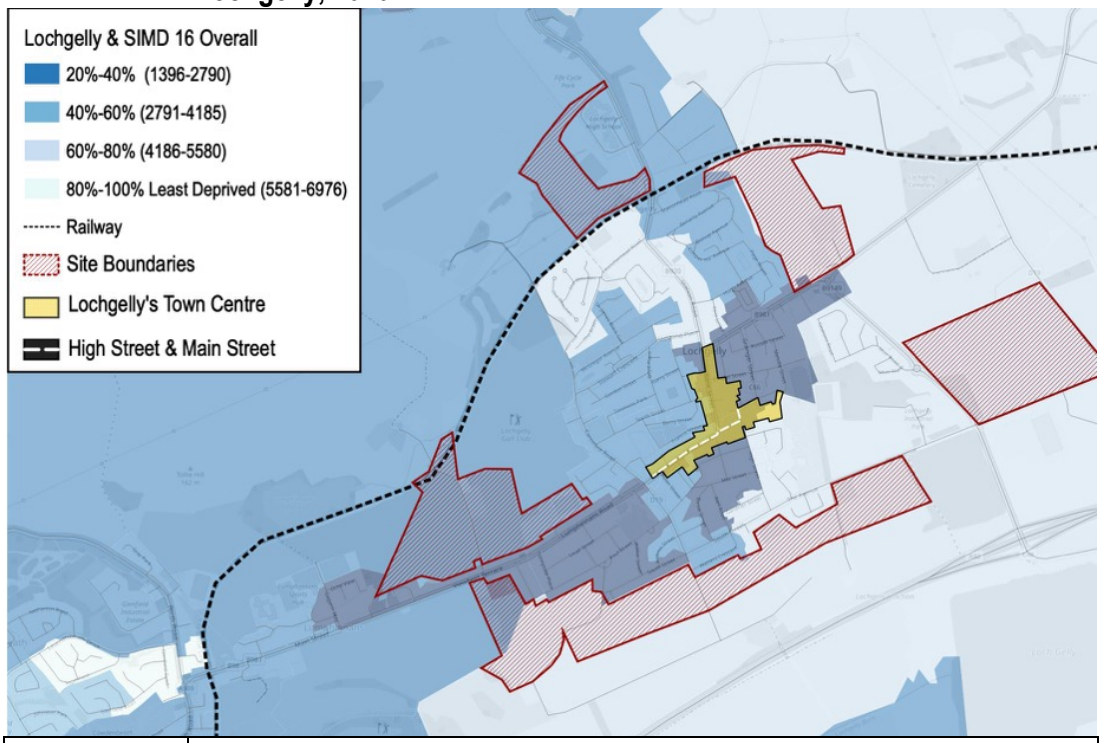
AppxB_Figure 37: Fife's most & least deprived areas



Scale 1:69000

AppxB_Figure 38: Fife's Urban / Rural 6-Fold Classification

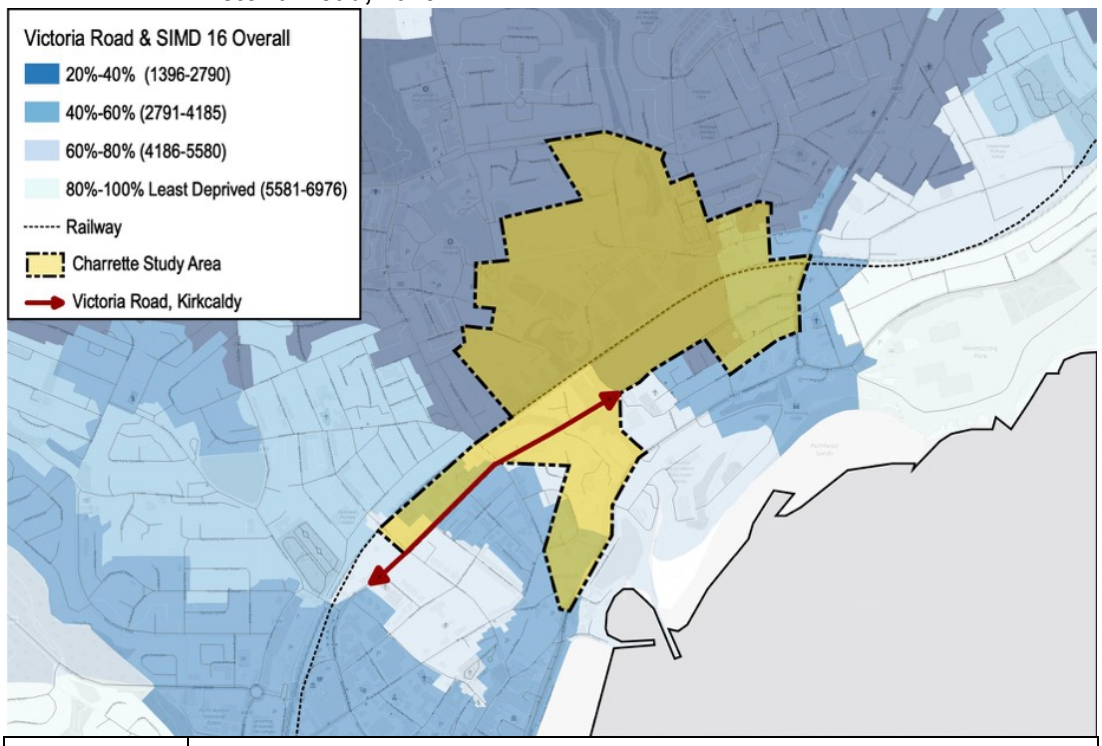
B.1.7.1 Lochgelly, 2010



Description	Lochgelly Charrette Profile highlighting Main Street to High Street and (indicative) development sites identified in charrette report. Scale 1: 50000.
Client	Council-led charrette. Project proposer, Fife Council.
Design Team	DPZ
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Whole town planning initiative considering town centre and expansion proposals. DPZ expanded the original SLA sites identified above.
Focus:	Develop a masterplan and Strategic Design Framework to guide development of Strategic Land Allocation [SLA] sites and a holistic town expansion strategy for 2016-2066.
Planning Relation:	The town received a 'major Strategic Land Allocation' and is expected to expand with 1750 new dwellings. Charrette explored town regeneration and expansion proposals in line with the SLA.
Post-Charrette:	--
Format:	A DPZ-led charrette part of The Charrette Series. Consecutive six-day format. March 8th -13th, 2010.
References:	(Scottish Government, 2010)

AppxB_Figure 39 Lochgelly Charrette Profile

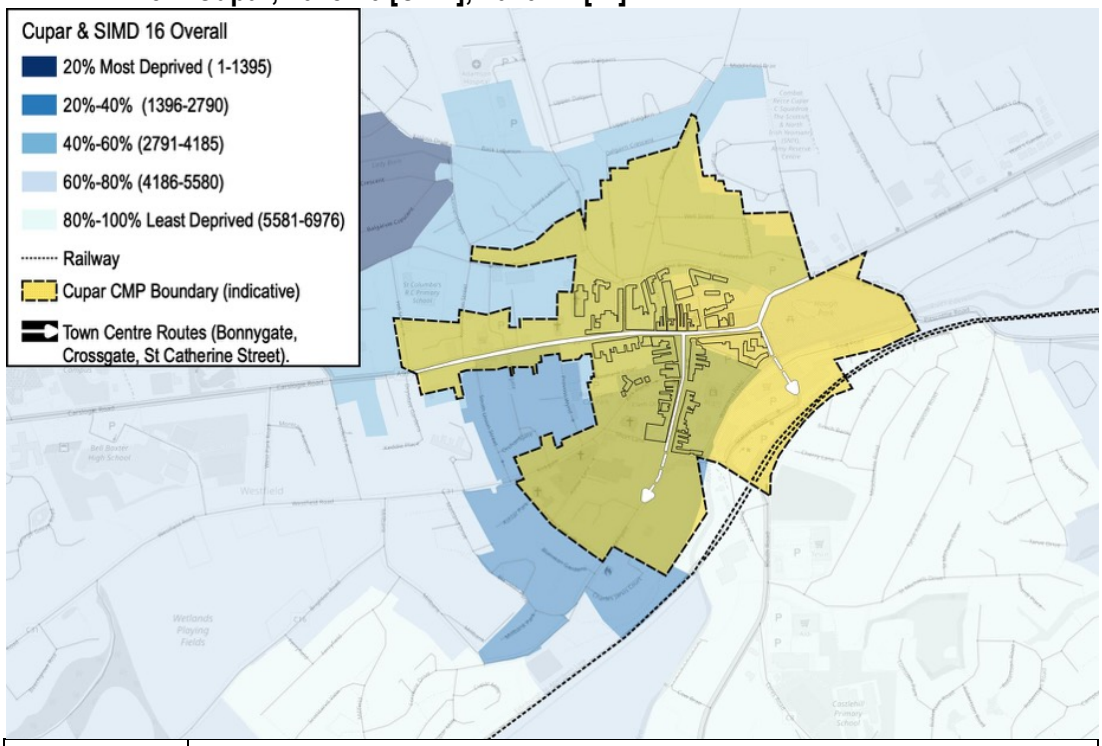
B.1.7.2 Victoria Road, 2013-14



Description	Victoria Road, Kirkcaldy area profile showing indicative study boundary. Scale 1:3800
Client	Council-led charrette. Project proposer, Fife Council.
Design Team	Ironside Farrar Ltd.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Presented above, regeneration corridor i.e., an area within Kirkcaldy.
Focus:	The charrette was expected to inform a Land Use Regeneration Strategy for the area.
Planning Relation:	Outputs anticipated to inform the preparation of the next LDP.
Post-Charrette:	Outputs informed 'FIFEPlan' i.e. Fife Council's Local Development Plan, adopted September 2017 replacing all previous plans for West Fife, Mid Fife and East Fife (Fife Council, 2019).
Format:	Charrette launch, December 2013; consecutive four-day charrette from February 26th – 28th & March 1st, 2014. Pre-charrette activities: public launch session and publicity campaign (i.e., invitations and questionnaires distributed to identified stakeholders / community groups, posters, local press releases, social media presence, webpage), telephone interviews, council officer meetings and targeted school engagement. Charrette event: presentations, exhibition, site visit, themed workshops and creative activities (e.g., Dragon's Den styles session).
References:	(Fife Council, 2019; Ironside Farrar Ltd, 2014)

AppxB_Figure 40: Victoria Road, Kirkcaldy area profile

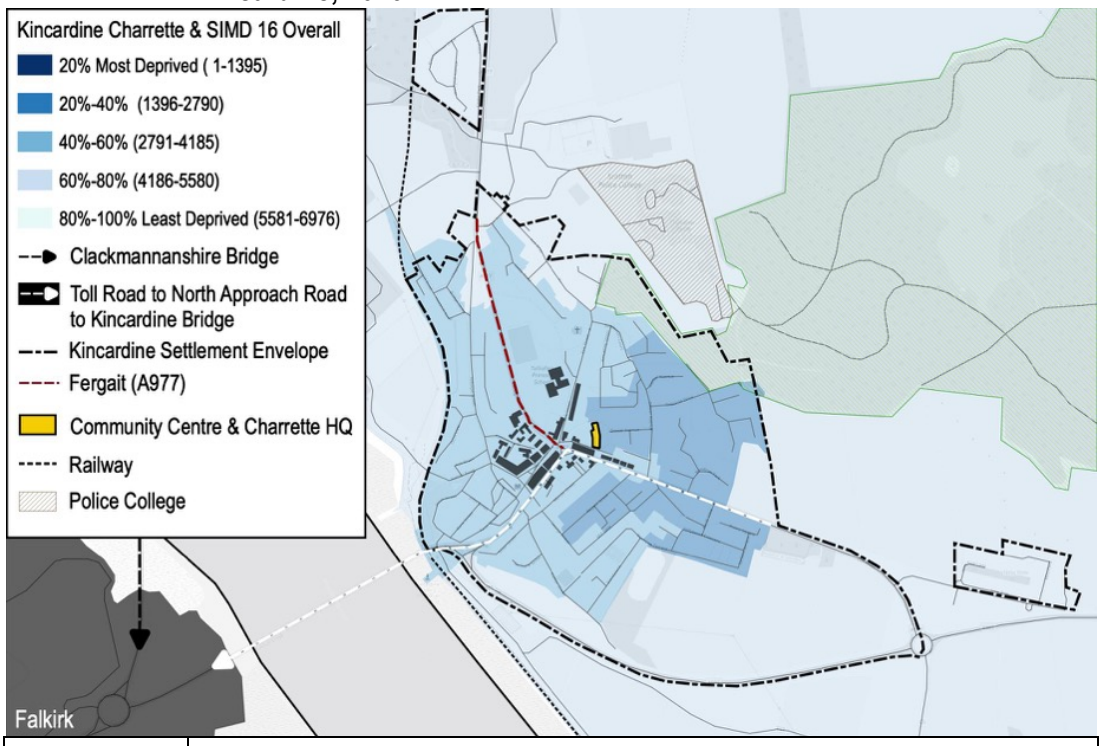
B.1.7.3 Cupar, 2015-16 [CMP], 2016-17 [AI]



Description	Cupar Charrette Profile. Scale 1: 25000
Client	CMP: Cupar Development Trust [CDT]; AI: Working Group formed of Cupar Heritage and CDT.
Design Team	CMP: PAS; AI: CMC Associates.
Urban / Rural:	Accessible small town, U/R 3.
Study Area:	CMP and AI: Whole town; an indicative boundary is drawn above (PAS, 2016a).
Focus:	CMP: To develop a town centre strategy and action plan which identifies and responds to town centre issues; provides a framework / programme for collaborative work; identifies spatial and non-spatial actions all contributing to the development of a 'positive place' (PAS, 2016a). AI: using charrette findings as a basis, the interpretative plan considered implementation / delivery. The interpretative plan aimed to 'define practical steps' to encourage people in engaging with Cupar's heritage and present longer-terms project plans that 'funders can back'.
Planning Relation:	--
Post-Project:	CMP: Post charrette Cupar Development Trust were successful in securing an AI funding and completing the *heritage trail update* project identified in charrette. AI: following development of The Interpretative Plan CDT have been applying for funding to progress implementation.
Format:	CMP: Charrette*plus*® model. Four-day consecutive charrette event (March 17th – March 20th) with exhibitions, ministerial and school visits and design workshops. Pre-charrette phase (January – February) included promotion and targeted engagement, which informed charrette scope. Post-charrette: single day one month later to 'focus minds on delivery and implementation'. AI: Working Group organised a 'consultative forum' for identified stakeholders / community groups to discuss outcomes; CMC Associates led workshops with Cupar Heritage and CDT.
References:	(Built Environment Forum Scotland, 2018 ; CMC Associates Ltd., 2017; PAS, 2016a)

AppxB_Figure 41: Cupar Charrette Profile

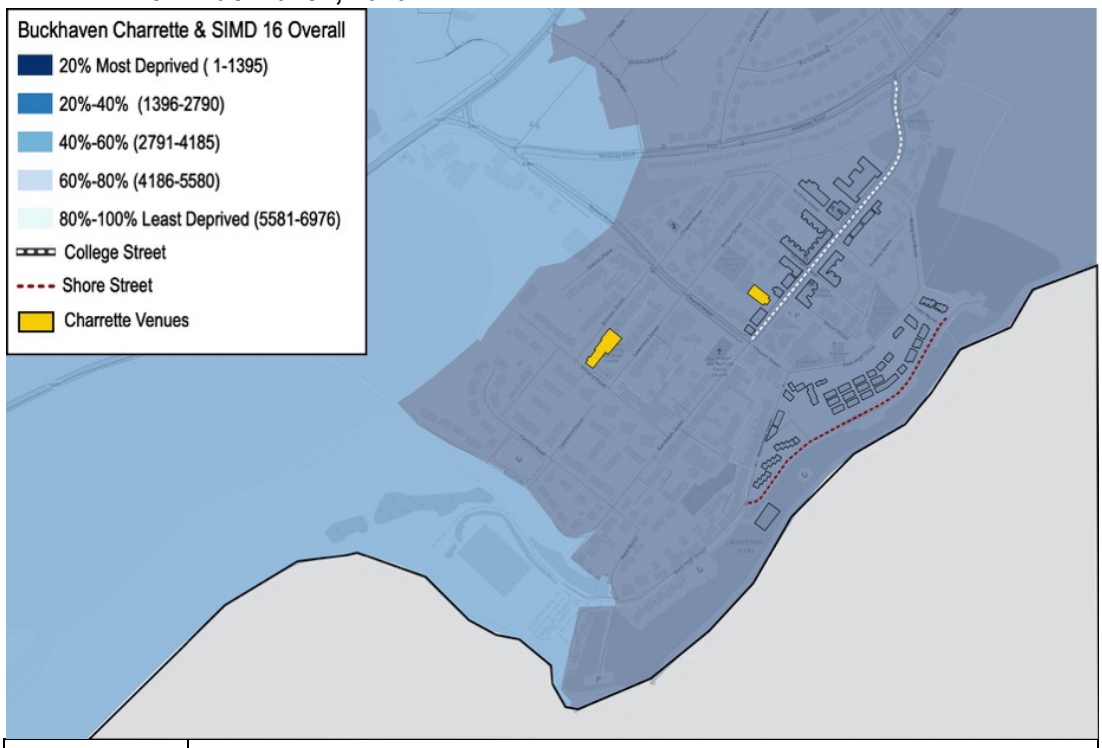
B.1.7.4 Kincardine, 2016-17



Description	Kincardine Charrette Profile. Scale 1: 34000
Client	Coalfields Regeneration Trust (CRT), with support from Fife Council.
Design Team	Oliver Chapman Architects (Lead); HarrisonStevens, Kevin Murray Associates, Thomas Gray, McIlhagger Associates, WAVE*Particle*, Colin Ross Workshop and Context Economics (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Whole town (an indicative settlement boundary adapted from FIFEPlan is marked above in a dash-dot line)
Focus:	Community appraisal of Kincardine's current state identifying 'opportunities for co-ordinated action'.
Planning Relation:	No stated statutory link: although, output stresses collective action and building / re-establishing networks, identifying 'key community individuals to lead' on projects and/or create new community organisation(s) to take the lead.
Post-Charrette:	--
Format:	A three plus one format adopted (June 7th –9th and 11th 2017) with 'investigative group walks', themed workshops, discussion sessions, presentations, creative activities (e.g., Pecha Kucha style-session, 'thermos museum') and drop-in exhibition sessions. Pre-charrette phase delivered comprehensive communication strategy (e.g., social media presence, email campaign, local press releases, flyers, poster and banner, promotion through existing networks), on street-engagement and targeted stakeholder engagement, which all helped to inform charrette scope / agenda.
References:	(Oliver Chapman Architects et al., 2017)

AppxB_Figure 42: Kincardine Charrette Profile.

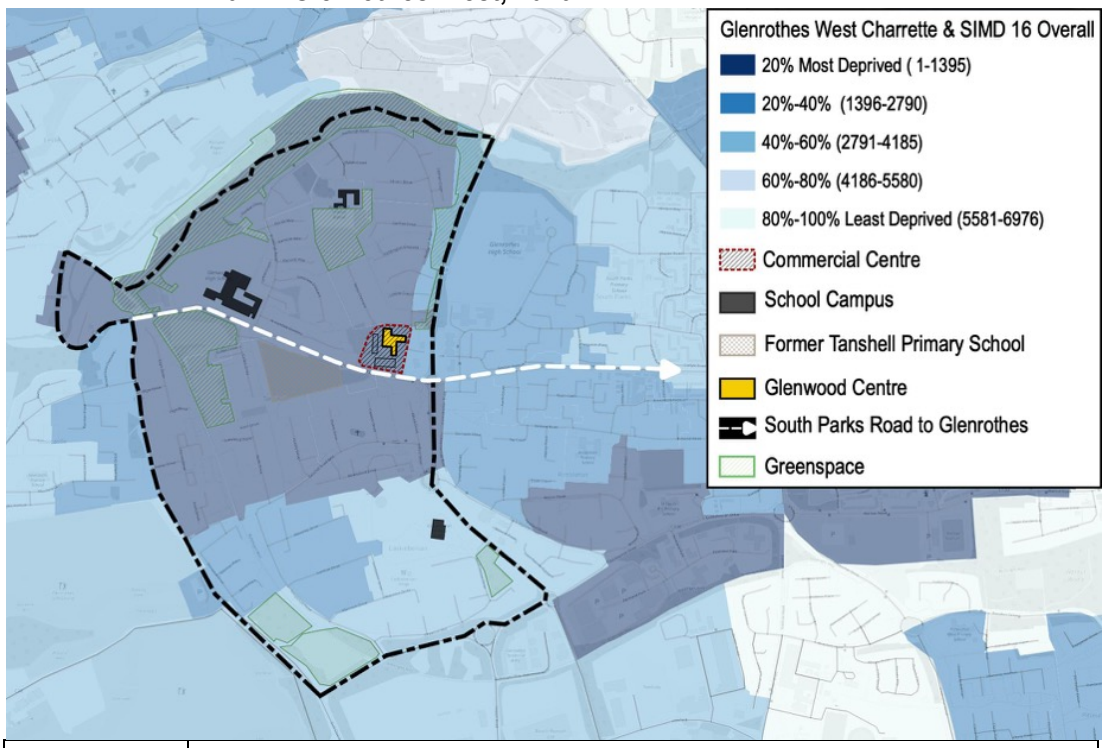
B.1.7.5 Buckhaven, 2016-17



Description	Buckhaven area profile highlighting Shore Street and College Street. Scale 1: 18000
Client	CLEAR (Community-Led Environmental Action for Regeneration), with Fife Council support.
Design Team	PAS
Urban / Rural:	Other urban area, U/R 2.
Study Area:	'The key emerging areas of focus were found to be the Buckhaven foreshore, town centre, and the connectivity and links between these areas' (PAS, 2017a).
Focus:	To develop a community vision, spatial masterplan and vision.
Planning Relation:	Charrette outputs: 'it is intended this Action Plan will inform Fife Council's forthcoming Local Outcome Improvement Plan (LOIP)' (PAS, 2017a, p.21)
Post-Charrette:	--
Format:	Charrette*plus*® model. Non-consecutive format: March (Wednesday) 8th, 15th, 22nd held drop-in and evening workshop sessions and exhibition at the community Spring Fling event on Saturday 25th. School engagement, meetings, workshops, street conversations, drop-in surgeries, and a community survey were carried out January – April 2017. Feedback session, April 26th with exhibition and presentations.
References:	(PAS, 2017a, 2017b)

AppxB_Figure 43: Buckhaven area profile

B.1.7.6 Glenrothes West, 2016-17



Description	Glenrothes West area profile showing study boundary and South Parks Road to Glenrothes. Scale 1: 40000
Client	Council-led. Fife Council.
Design Team	PAS
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Referencing final output reports, an indicative boundary is drawn above to show focus areas including Caskieberran, Macedonia and Tanshall (PAS, 2017c)
Focus:	To develop a community vision, spatial masterplan and vision for Glenrothes West; costed proposals for redevelopment of the Glenwood Centre were also expected (PAS, 2017c, p. 2; 2017d, p.3).
Planning Relation:	The initiative 'fed well into existing Community Planning context' by addressing priorities in the Fife Community Plan, Glenrothes Area Welfare Reform Action Plan and Glenrothes Local Community Plan.
Post-Charrette:	--
Format:	Charrette*plus*® model with four stages comprising pre-charrette, charrette event, feedback and drop-in event. Pre-charrette phase (March – May 2017) included event promotion and targeted engagement with identified stakeholders / community groups to inform charrette scope / agenda. Consecutive format (11th – 17th & 25th May 2017), charrette event activities: drop-in sessions, themed workshops and charrette newsletters. Post-charrette 'feedback' session, 28th June 2017. Glenwood-focussed engagement November 2nd, 2017
References:	(PAS, 2017c, 2017d)

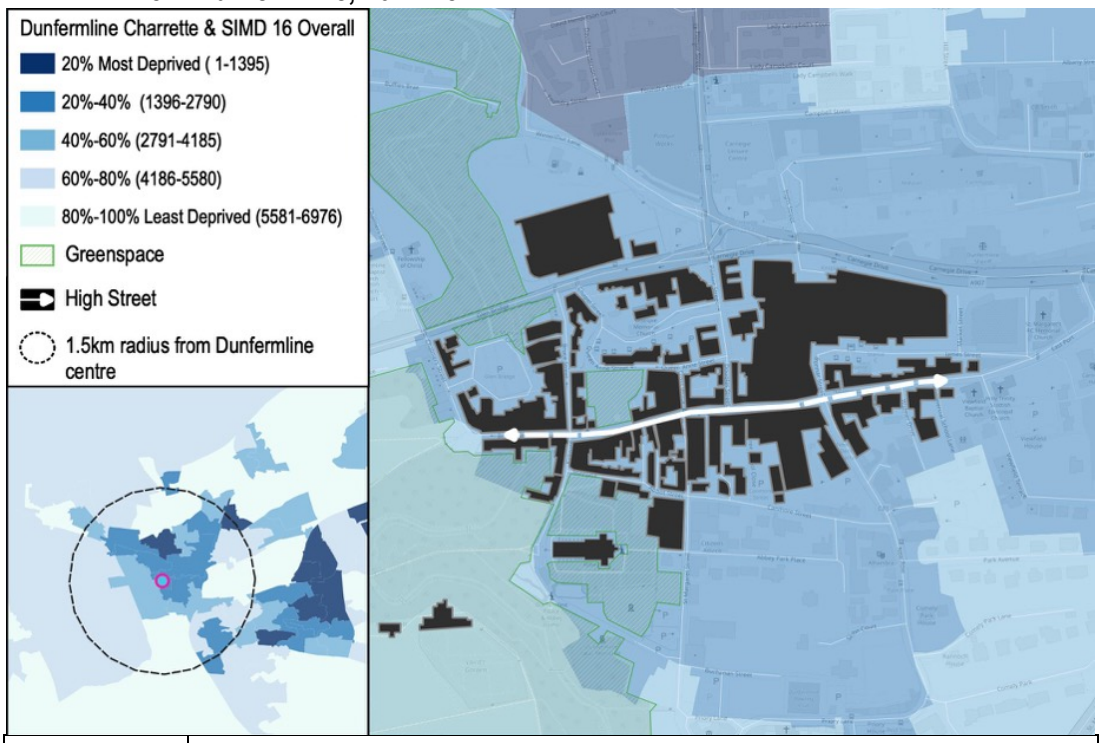
AppxB_Figure 44: Glenrothes West area profile

B.1.7.7 Falkland, 2017-18

Description	Falkland and Newton of Falkland Charrette Profile showing Falkland's High Street and Newton of Falkland's Main Street. Scale 1: 30000.
Client	Falkland and Newton of Falkland Community Council (FNFCC)
Design Team	Austin-Smith:Lord (lead); WAVE*particle*, Transport Planning Ltd and Keddie Consulting (subconsultants).
Urban / Rural:	Accessible rural, U/R 5.
Study Area:	Newton and Newton of Falkland.
Focus:	Charrette objective: 'to prepare a realistic, feasible and integrated strategy and action plan' for Falkland and Newton of Falkland (Austin-Smith: Lord et al., 2018b, p. 6)
Planning Relation:	Out with formal, statutory planning processes. Outputs recommend networking (with council, stakeholders and locals) to establish connections for project delivery. Output recommends reviewing 'fit' between charrette findings and FIFEPlan and the new Plan for Fife (i.e., Fife's new community plan).
Post-Charrette:	FNFCC successful in securing Sustrans Scotland's Community Links funding to support charrette deliverables. Austin-Smith:Lord, Transport Planning Ltd, WAVE*particle,* Baker Hicks, Neilson Partnership and Icosse were appointed to work on developing the communities' plans.
Format:	Pre-charrette: on-street activities March 13th, 2018; three consecutive charrette days (midweek): March 20th – March 22nd with twelve events including drop-ins, workshops, presentations, walkabouts, 'house visits'; report back session (midweek): drop-in and presentations, April 18th, 2018
References:	(Austin-Smith: Lord, n.d.; Austin-Smith: Lord et al., 2018a, 2018b, 2018c)

AppxB_Figure 45: Falkland and Newton of Falkland Charrette Profile

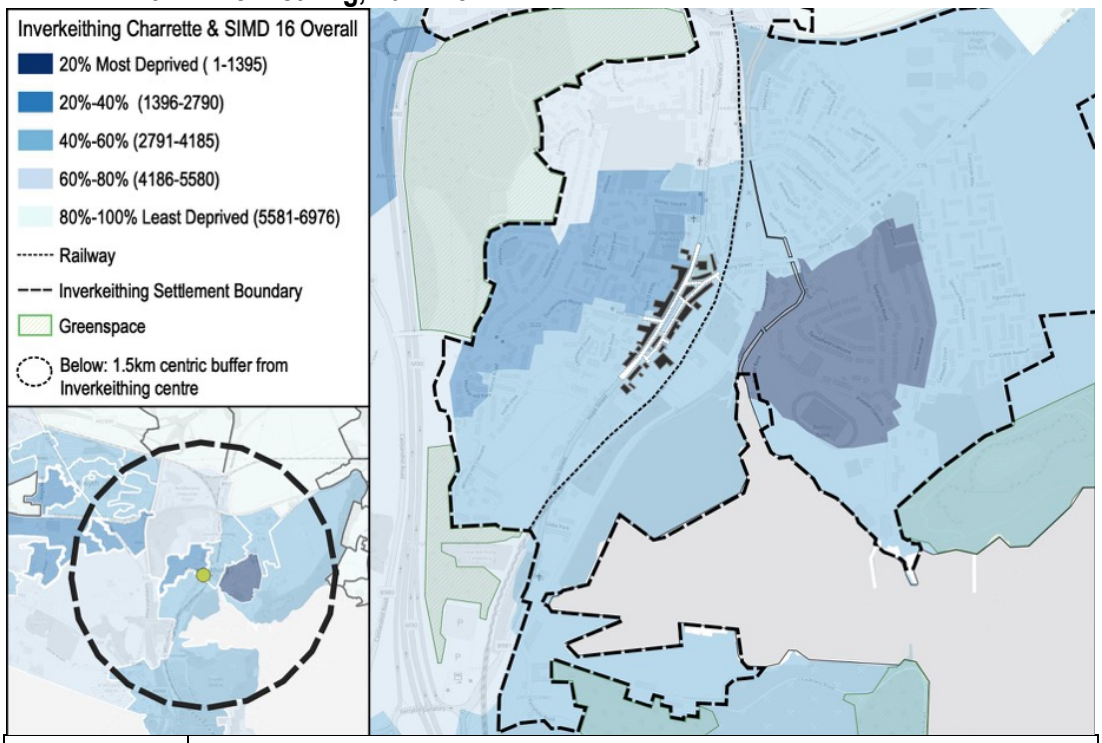
B.1.7.8 Dunfermline, 2017-18



Description	Dunfermline's area profile highlighting High Street and core shopping area. LHS Scale 1: 330000; RHS Scale 1: 15000
Client	A stakeholder collective called the Dunfermline Heritage Partnership, which formed in 2015. Heritage Lottery Fund Great Place Award (and MP award) were thanked for their project support.
Design Team	Sam Foster Architects (lead); Kevin Murray Associates, Oliver Chapman Architects, WAVEparticle, HarrisonStevens, John McIlhagger Associates and 'separate, supporting direct appointments' Michelle McWilliams and David Hicks.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	CMP focussed on the town centre; however, no 'hard boundary was set in acknowledgement of [Dunfermline's] dynamic relationship with its surroundings' (Dunfermline Heritage Partnership et al., 2018)
Focus:	To undertake a heritage asset summary considering 'built, natural, archaeology, archives, and folklore' heritage assets (Dunfermline Heritage Partnership et al., 2018, p. 16). The DT developed a 'shared vision' for Dunfermline (Dunfermline Heritage Partnership et al., 2018, p. 42)
Planning Relation:	Design Dunfermline 2018 was part of a wider project that forms part of the Heritage Lottery Fund Great Place Award.
Post Project:	--
Format:	Four consecutive charrette days, Wednesday April 25th – Sunday 29th 2018 including school presentations, walkabouts, themed workshops, scenario workshops, drop-in sessions, exhibitions and DT presentations. Pre-charrette activity identified three participant groups: stakeholders, businesses and wider community. Promotional activities included on-street engagement, manned information stalls, short media films and hard / soft advertising.
References:	(Dunfermline Heritage Partnership et al., 2018; Great Places Scheme, 2016)

AppxB_Figure 46: Dunfermline's area profile

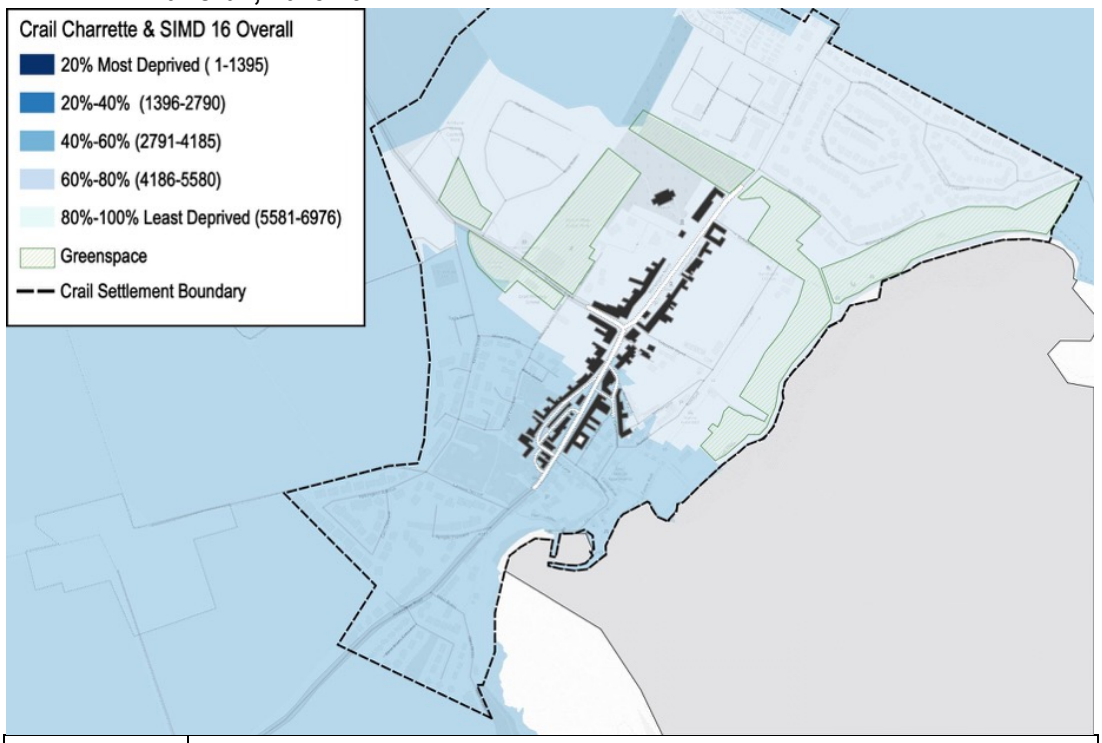
B.1.7.9 Inverkiething, 2017-18



Description	Inverkeithing's area profile highlighting High Street in the RHS map, scale 1: 140000. LHS map shows a 1.5km centric ring around Inverkeithing's centre, scale 1: 20000
Client	Fife Council (The Communities Directorate; Communities and Neighbourhoods)
Design Team	AECOM
Urban / Rural:	U/R 2, other urban areas
Study Area:	Town
Focus:	Create a spatial masterplan, which sets out a 'shared vision to shape investment and community decision-making over the next 20 years'
Planning Relation:	Project commissioners seek output endorsement as South and West Fife Area Committee are asked to *note* and *agree* Imagine Inverkeithing outputs and include findings in preparation of the new Inverkeithing Neighbourhood Plan (part of Community Planning Process).
Post Project:	Develop a Neighbourhood Plan and establish a new delivery group: some 'proactive local residents' (involved in Imagine Inverkeithing) are in the early stages of establishing a 'Trust', which will take ownership of deliverables.
Format:	Pre, during & post charrette activities: April, 21, information day; May 23 & May 30, school engagement; May 30, Place Standard; June 8, leaflet drops, targeted contacts; June 12, drop-in & design workshop 1; June 15, sheltered housing, targeted; June 23, children's gala day; July 3, drop-in & design workshop 2; July 10, drop-in & design workshop 3; August 4, post-charrette Highland Games; October 16, presentation draft Spatial Masterplan.
References:	(MP Respondent 17, Personal communication, 2019)

AppxB_Figure 47: Inverkeithing's area profile

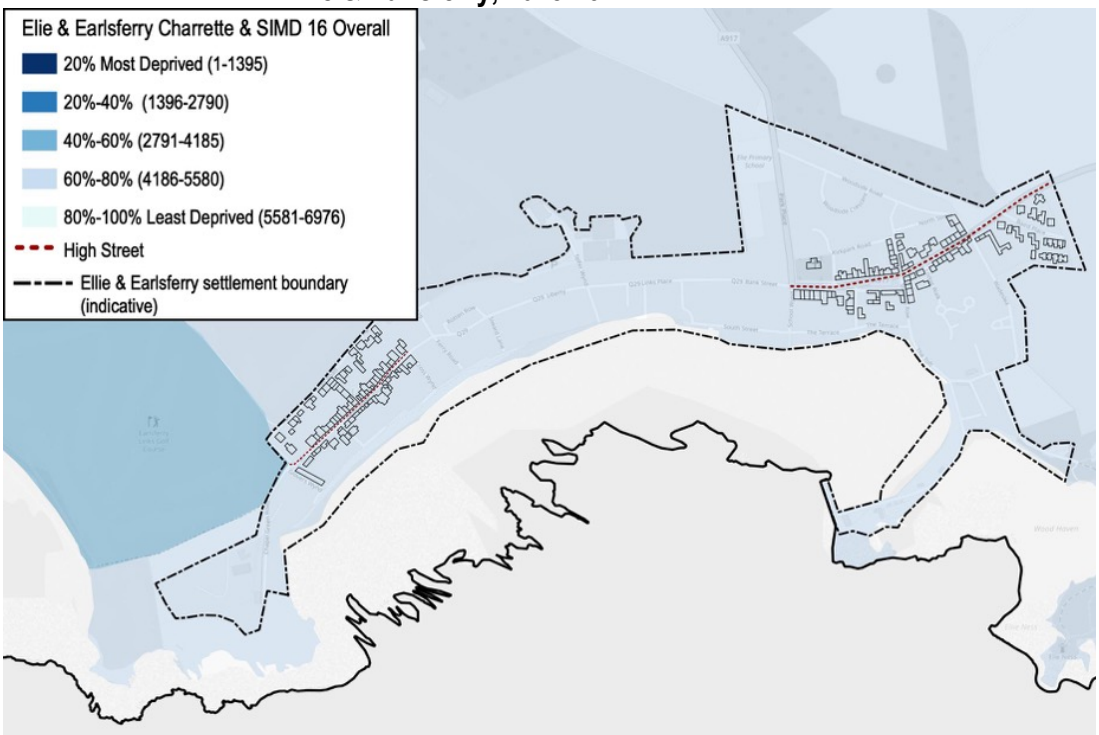
B.1.7.10 Crail, 2018-19



Description	Crail area profile highlighting Crail's centre including High Street and Marketgate. Scale 1: 21000
Client	Initiated by Crail Community Council and Crail Preservation Society. Crail Preservation Society applied for MP funding on behalf of Crail Community Partnership, which is a newly established collective of local community groups.
Design Team	7N Architects; Nick Wright Planning
Urban / Rural:	U/R 5, accessible rural
Study Area:	Entire village, including proposed development sites in Fife's LDP (2017).
Focus:	To generate a sustainable 20 to 30-year vision for Crail's future development amidst 'development pressures for expansion'.
Planning Relation:	Charrette aims to 'build on and inform the work of Fife Council's community planning and land-use planning teams' i.e., Fife's LDP 2017 and North East Fife Local Strategic Assessment 2016.
Post Project:	The plan will require local and national government endorsement. One objective includes shaping 'Planning Policy and major development proposals'. Fife's LDP (2017) identifies development opportunities within Crail.
Format:	May 2018 – on going at time of writing. This is a three-stage process, which started prior to securing MP funding.
References:	(7N Architects & Planning, 2018; MP Respondent 6, personal communication, 2018)

AppxB_Figure 48: Crail area profile

B.1.7.11 Elie & Earlsferry, 2018-19



Description	Elie & Earlsferry MP Profile highlighting High Street and High Street (A917). Scale 1: 25000
Client	Elie and Earlsferry Community Council
Design Team	PAS
Urban / Rural:	U/R 5, accessible rural.
Study Area:	Village
Focus:	To create a community-led plan.
Planning Relation:	It is anticipated Fife Council will pay attention to all Community Action Plans: 'Local legislation going through whereby FC will act on results of charrettes and Community Action Plans' (Elieandearlsferrycc, 2019)
Post Project:	--
Format:	Charrette*plus*® model. Three consecutive charrette days at Earlsferry Town Hall (Thursday 28th March – Sunday 30th March 2019), which included drop-in sessions and themed workshops. Charrette follow-up session April 13th, 2019.
References:	(Elieandearlsferrycc, 2019; Frost, 2019; PAS, 2019d)

AppxB_Figure 49: Elie & Earlsferry MP Profile

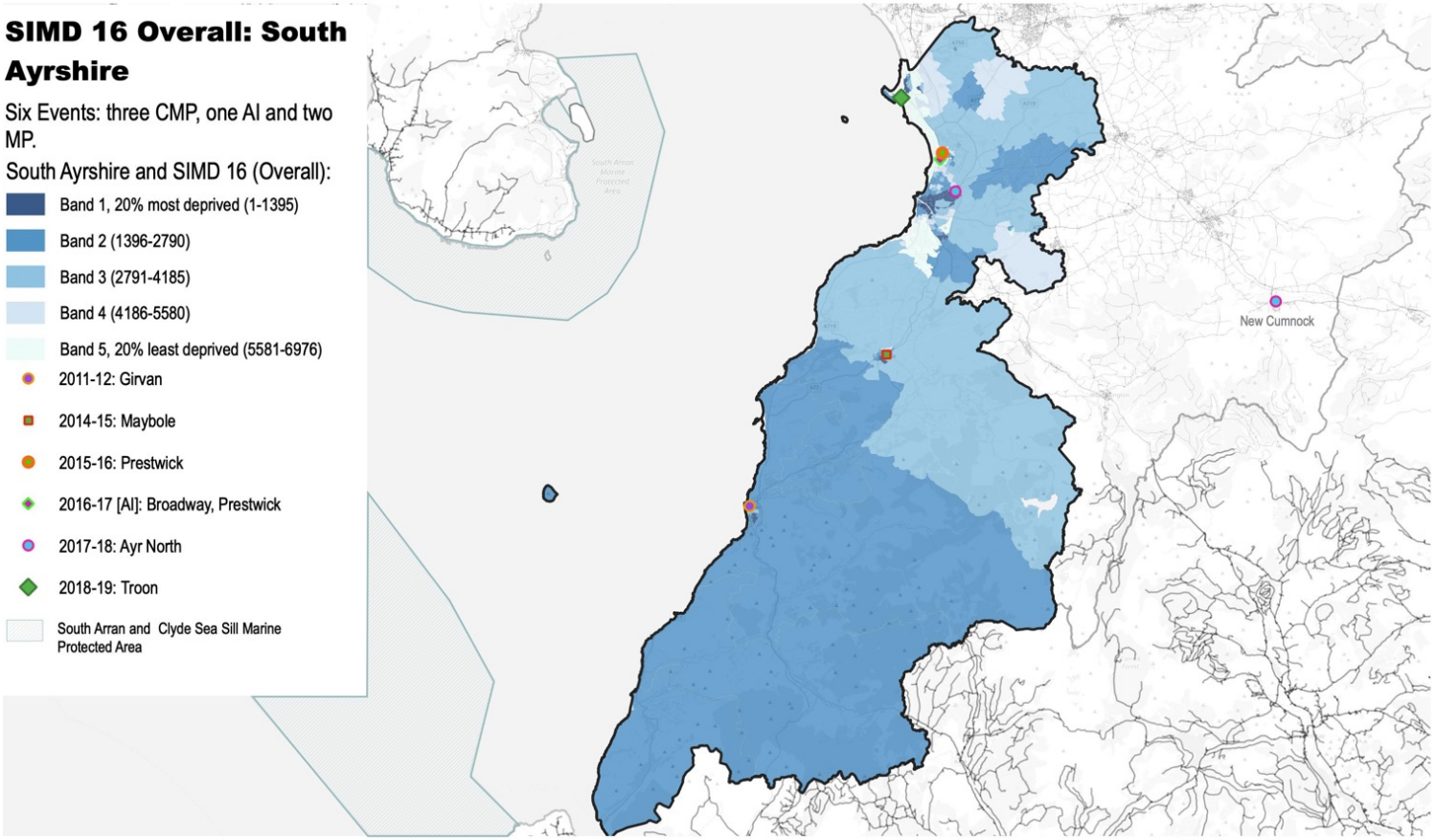
B.1.8 South Ayrshire

South Ayrshire council have led on six projects, partnered for one whilst a community organisation spearheaded the Broadway (AI) project. Overall, these projects target areas that are arguably most in need of intervention and support within South Ayrshire. The authority has twenty-eight datazones in the 20% most deprived bracket; those within the first vigintile are found in and around Ayr's harbour and Wallacetown, Newton South, Braehead, Whitletts and Dalmilling. Out with central Ayr, evidence of inequality is also found in Maybole (U/R 3), Girvan (U/R 4), Troon and Ayr's residential Kincaidston (U/R 2) with datazones in the 5%-20% most deprived bracket.

Over the CMP, AI and MP initiative, four out of six projects place within areas evidencing deprivation; therefore, all South Ayrshire's settlements that have 20% deprived datazones have received CMP or MP project funding. CMP and AI projects centred in Prestwick (i.e., Prestwick CMP and Broadway AI) are the only projects working in an area (i.e., U/R 2) comprised of third, fourth and fifth quintiles datazones.

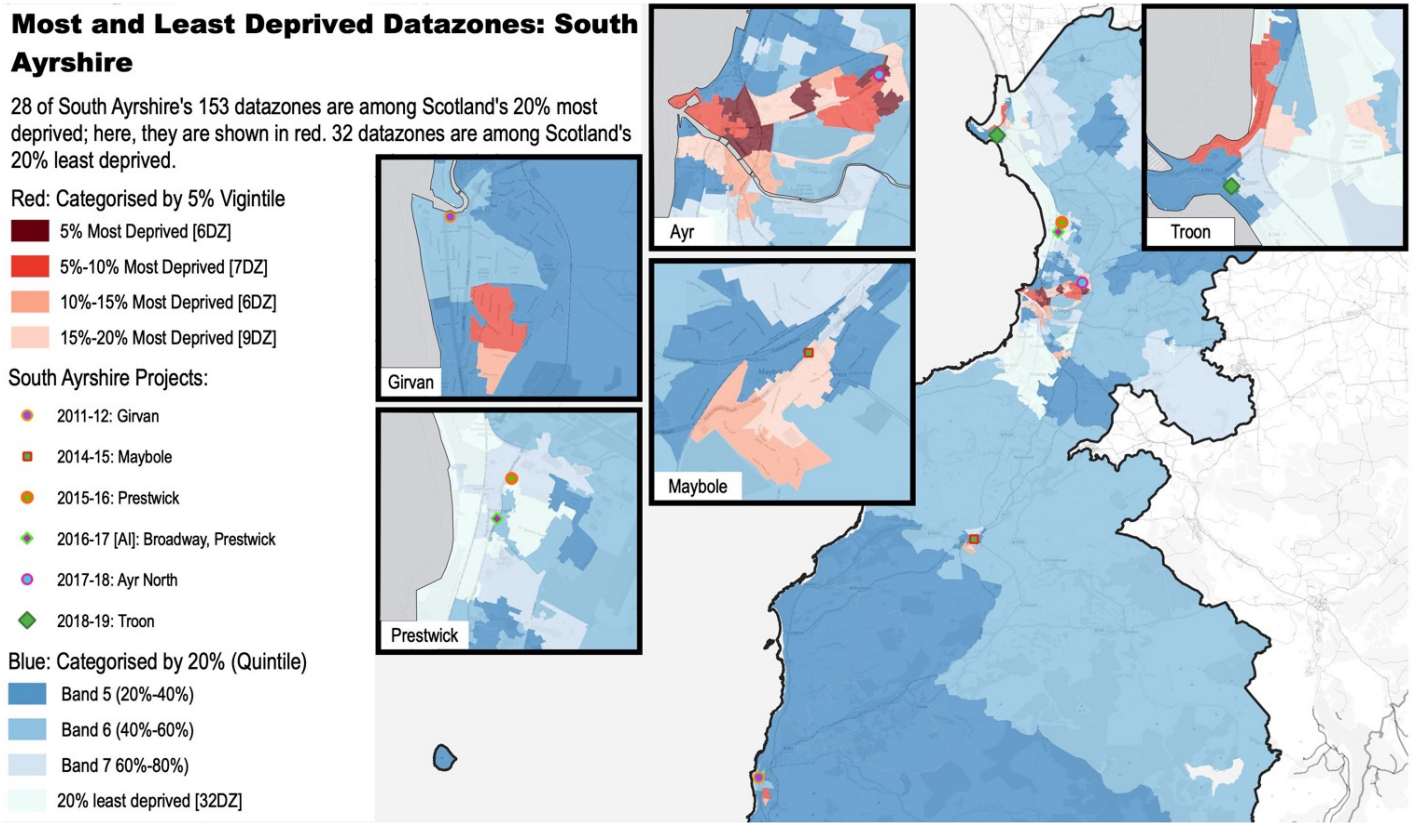
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Girvan				✓			Some. Town centre and Harbour fall into third quintile datazones; whilst residential areas south of town centre fall into 5%-10% most deprived bracket (S0102426, S0102425) and 10%-15% most deprived bracket (S01012427).
Maybole			✓				Some. Town centre boundary includes datazones in the second and fourth quintile as well as one datazone in the 15%-20% (S01012435). Maybole has one other datazone in the 10%-15% bracket south-east and south-west of town centre (S01012436).
Prestwick		✓					No. Prestwick's town centre boundary includes third and fourth quintile datazones. Using a central point on Main Street a 1.5-kilometre boundary shows only second, third, fourth and fifth quintile datazones place within Prestwick's immediate environs.
Broadway		✓					No. As above, Prestwick's town centre falls into third and fourth quintile datazones. The Broadway site falls into a fourth quintile datazone.
Ayr North		✓					Yes. Ayr North has the largest concentration of 20% most deprived datazones than other settlements in South Ayrshire. It is home to all six datazones ranked in the 5% most deprived bracket.
Troon		✓					Some. Troon's town centre boundary includes datazones in the second and fourth quintiles. North and north-east of the town centre are datazones in the first quintile; one in 5%-10% vigintile (S01012559) and two in the 15%-20% vigintile (S01012549, S01012495).

AppxB_Table 8 South Ayrshire Signs of deprivation according to SIMD 16



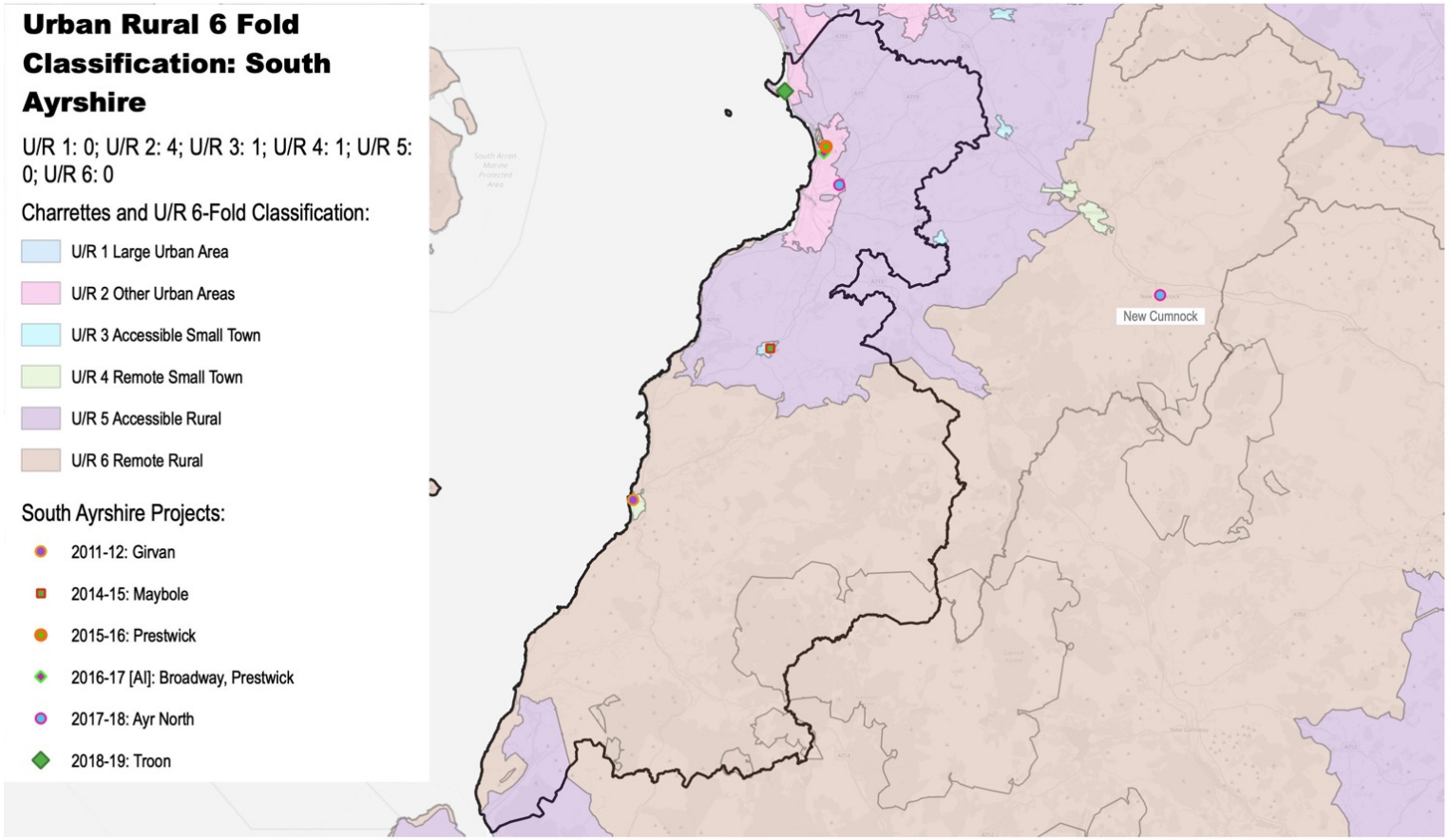
Scale 1:800000

AppxB_Figure 50: South Ayrshire's CMP and MP projects mapped



Scale: South Ayrshire 1: 500000; Girvan 1: 80000; Ayr 1: 150000; Troon 1: 105000; Prestwick 1: 120000; Maybole 1: 55000

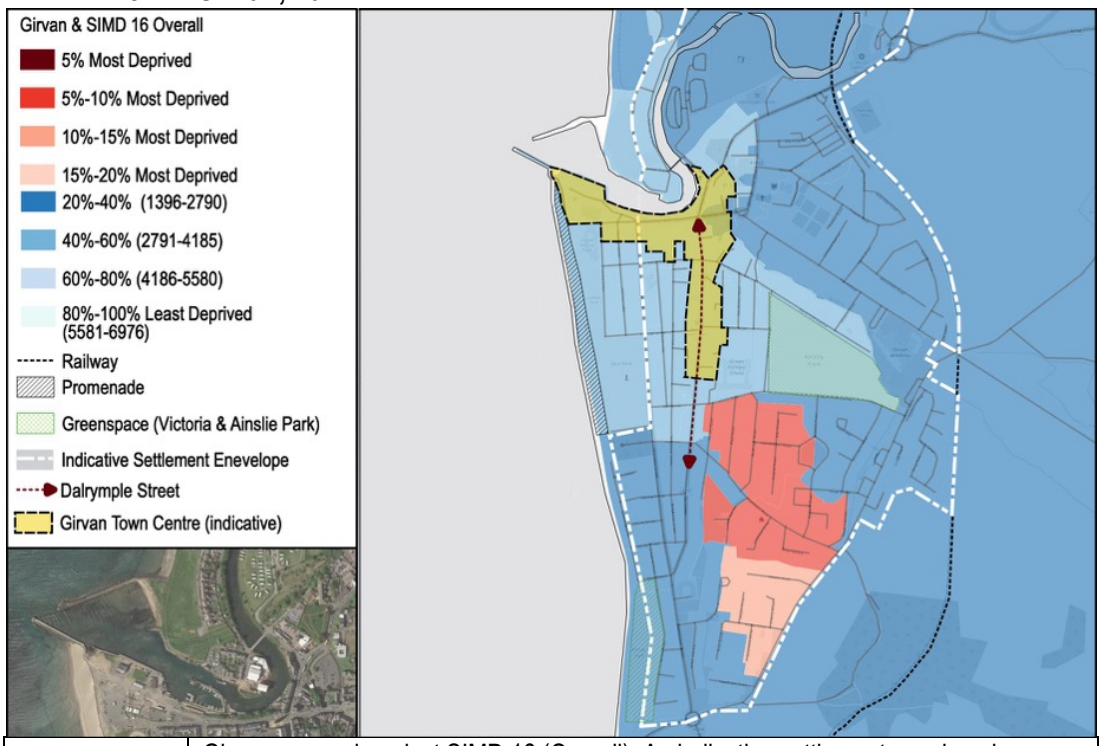
AppxB_Figure 51: South Ayrshire's most and least deprived datazones.



Scale 1: 800000

AppxB_Figure 52: South Ayrshire's Urban / Rural 6-Fold Classification

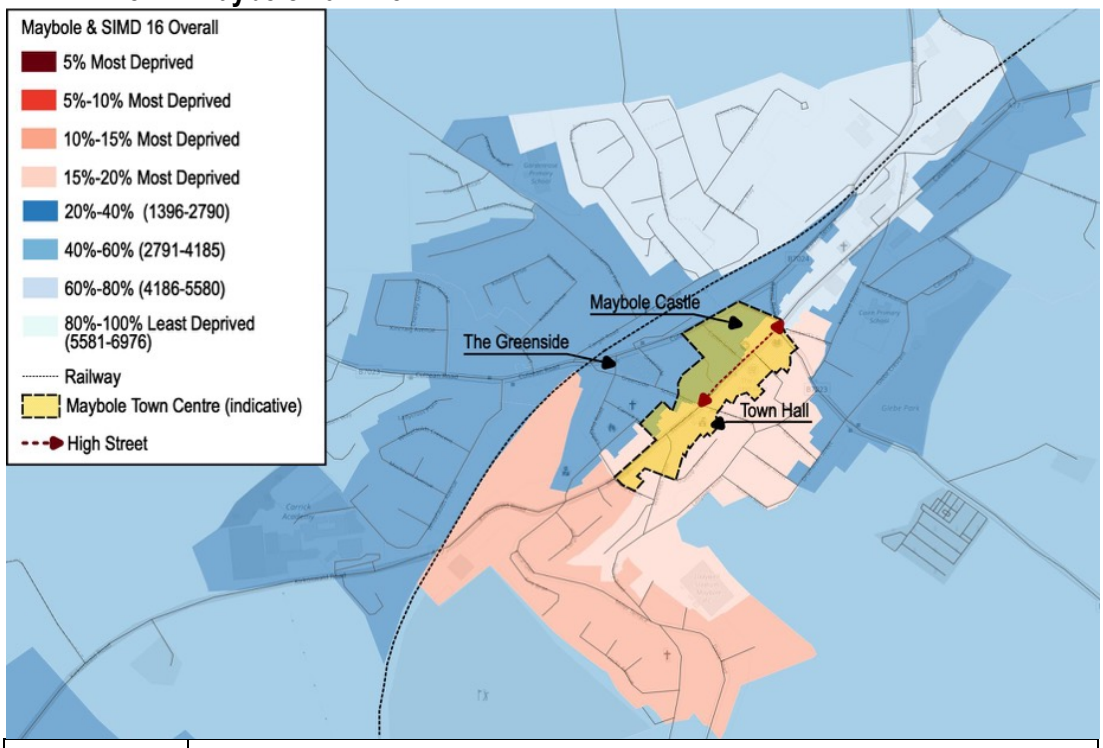
B.1.8.1 Girvan, 2011-12



Description	Girvan mapped against SIMD 16 (Overall). An indicative settlement envelope is marked in white; a black dotted line marks the trainline; and Girvan's Dalrymple Street is highlighted by red arrows. LHS Scale 1: 28500; RHS Scale 1: 40000
Client	South Ayrshire Council
Design Team	John Thompson & Partners (lead); Wardell Armstrong LLP, SKM Colin Buchanan, Gillespies, The CADISPA Trust and Scarborough's Future Urban Renaissance
Urban / Rural:	Remote small town, U/R 4.
Study Area:	Town and its environs.
Focus:	Focussed on 'how best to deliver physical, social and economic regeneration' the charrette aimed to establish a *vision* proposing a 25-year revitalisation strategy. This vision is presented in the form of an 'illustrative masterplan' with short, medium and long-term projects.
Planning Relation:	Output intends vision and its indicative proposals to be the basis for further 'discussion and refinement', which 'could contribute to the strategic vision for the town's future'.
Post-Charrette:	The Scottish Government awarded Girvan a small funding award post-charrette, which enabled charrette participants to retain the DT's services. DT returned once a month for three months as a Town Team was established.
Format:	The illustrative masterplan is the result of baseline research / analysis and hands-on planning workshops that brought together key stakeholders, politicians, council officers and community members.
References:	(Participant C, Scottish Government Representative; John Thompson & Partners et al., 2012)

AppxB_Figure 53: Girvan mapped against SIMD 16

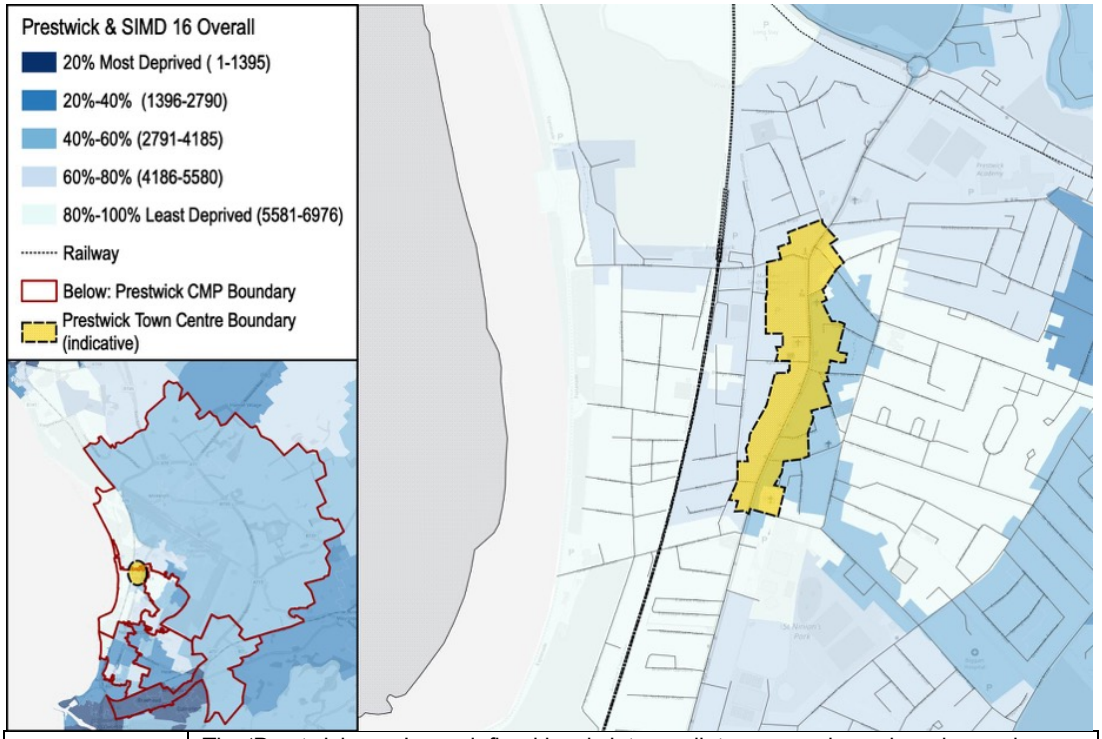
B.1.8.2 Maybole 2014-15



Description	Maybole mapped against SIMD 16 (Overall) highlighting CMP's 'key sites': the greenside, town hall, Maybole Castle and Maybole's High Street. Scale 1: 30000
Client	South Ayrshire Council
Design Team	DPT Urban Design (lead); Andrew Carrie, Iglu, HarrisonStevens, Studio 42 Design Ltd, LX Arts, 4 Consulting and Jura Consultants (subconsultants).
Urban / Rural:	Accessible small town, U/R 3.
Study Area:	Key sites in and around Maybole mentioned in output: Maybole Castle, Town Hall, High Street and The Greenside.
Focus:	'The Brief: make the most of existing buildings and key spaces in 4 key town centre locations'. The output includes 'tasks / projects' organised in line with a pending decision regarding Maybole's by-pass.
Planning Relation:	--
Post-Charrette:	South Ayrshire Council list Maybole Town centre charrette as 'Pre-MIR Engagement' suggesting the participatory process is an example of frontloaded engagement contributing to early preparations in LDP development.
Format:	LX Arts conducted pre-charrette school engagement and pre-charrette assessments (e.g., on topics tourism & economy); during the four-day-charrette event, DT held themed discussions, youth sessions, drop-in one-to-one design conversations and a final charrette presentation.
References:	(DPT Urban Design et al., 2015 ; South Ayrshire Council, 2019a)

AppxB_Figure 54: Maybole mapped against SIMD 16

B.1.8.3 Prestwick



Description	The 'Prestwick area' was defined by six intermediate zones; shown here in a red outline on the LHS map. Prestwick's town centre boundary is shown in yellow. LHS Scale 1: 305500. RHS Scale 1: 30000. See Broadway [AI] below for greater detail of Prestwick's Main Street.
Client	South Ayrshire Council
Design Team	Willie Miller Urban Design (lead); Icecream Architecture & Kevin Murray Associates (subconsultants); Vivienne Brown Associates, Lingo Flamingo & Lucy Payne (additional support).
Urban / Rural:	Other urban area, U/R 2
Study Area:	The report defines Prestwick area by referring to six intermediate zones (see above red outline). The town centre is primarily: 'Main Street from The Cross at the northern end, extending to Bellevue Road at the southern end. The core area is contained between Saunterne Road and Hunter Street'.
Focus:	The charrette purpose was to assist the CT in developing 'visions' for the regeneration of Prestwick Town Centre. The output includes thirty-seven project proposals.
Planning Relation:	The charrette was expected to follow-on from the Town Centre Action Plan. The output suggests charrette findings address the ten big issues identified by the relevant Community Planning Partnership and begin to establish 'frameworks for further work in this area'.
Post-Charrette:	Friends of the Broadway Prestwick secured AI funding post-charrette to take forward one of the charrette-identified projects. In total, the charrette output describes progress that has been made (since March 2016) on eight charrette identified projects.
Format:	Pre-charrette (01/2016-03/2016) activities included one agenda-setting stakeholder workshop, on-street engagement (cart & vinyl map), publicity (e.g., flyers, banner) and social media for promotion and gathering responses. Four-day charrette (16th–19th March) held in two locations. Activities included: public drop-in themed workshops and a drop-in exhibition on final day.
References:	(Willie Miller Urban Design et al., 2016)

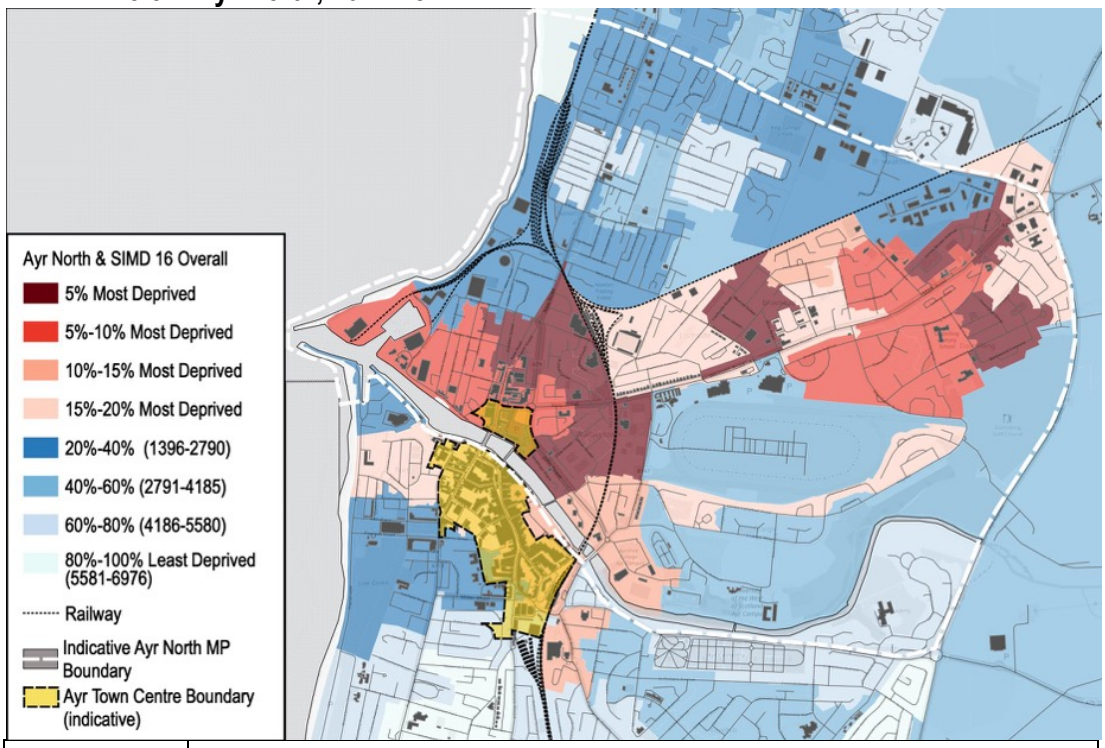
AppxB_Figure 55: The Prestwick area

B.1.8.4 Broadway (Prestwick), 2016-17 [AI]

Description	The Broadway follow-on project from previous year's CMP project is highlighted at 80 Main Street, Prestwick. Scale 1: 7500
Client	Friends of the Broadway Prestwick (i.e., a small volunteer organisation formed in 2012 committed to bringing the former Broadway cinema into community ownership)
Design Team	Page\Park (lead); with support from Creative Services Scotland, NBM Construction Cost Consultants, David Narrow Associates and Harley Haddow Ltd.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	The Broadway, 80 Main Street, Prestwick (i.e., a Grade C listed building, formally a cinema opened in 1935 and built-in art deco style)
Focus:	AI funding was used to deliver a feasibility study tasked with assessing the building's current condition and producing a report that could be used as a 'pragmatic tool' by the FoBP. The output concluded with two options: a commercial option and community option.
Planning Relation:	An independent project identified in the Prestwick charrette (2015-16), which local volunteers (FoBP) have decided to progress.
Post Project:	The Broadway is currently privately owned; FoBP may have a potential funder with tentative support from private sector owner (a live project, therefore details subject to change).
Format:	DT facilitated a workshop with the volunteers of FoBP to better understand their priorities.
References:	(Participant N, Community Group Volunteer; Page\Park, 2017)

AppxB_Figure 56: The Broadway follow-on project

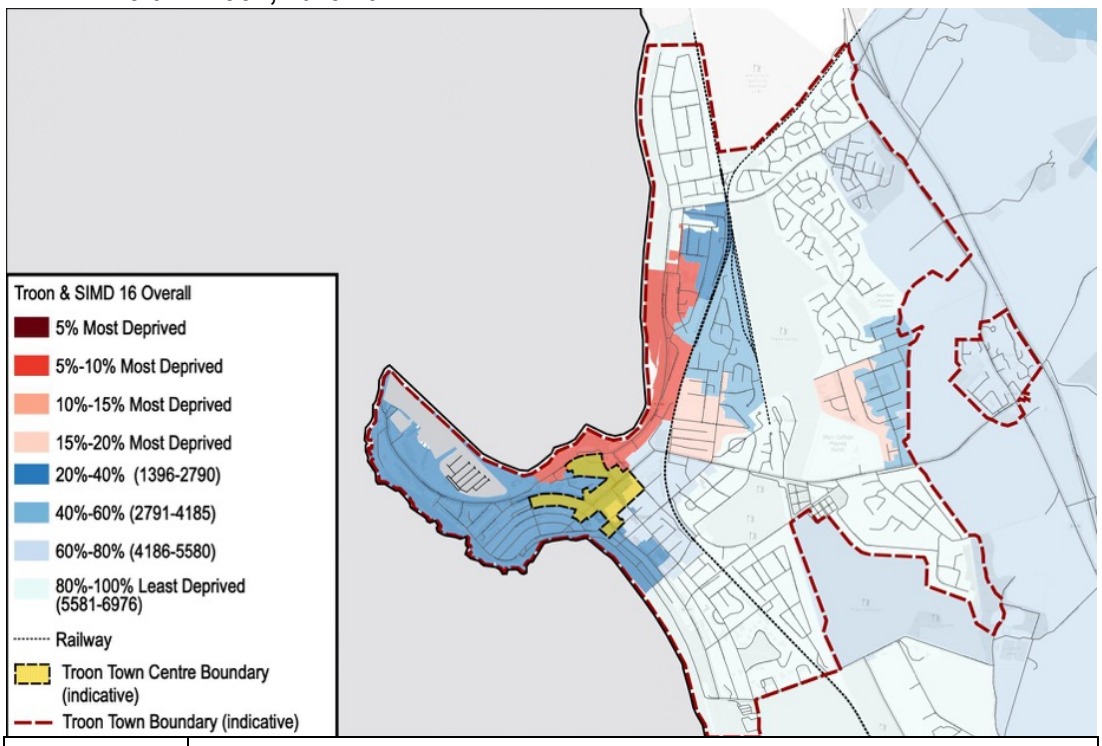
B.1.8.5 Ayr North, 2017-18



Description	An indicative study boundary for Ayr North MP project mapped against SIMD 2016 (Overall) and Ayr centre. Scale 1: 6200
Client	South Ayrshire Council
Design Team	Willie Miller Urban Design (lead); Icecream Architecture, Benton Scott-Simmons and Kevin Murray Associates (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	MP Project focussed primarily, not exclusively, on greenspaces within North Ayr i.e., an area within the town of Ayr. An indicative study boundary was drawn from area-maps presented in MP project output.
Focus:	Focussed on greenspaces, the MP project aimed to engage people on designs for open spaces at the former Whittlets Primary School site; identify short, medium and long-term projects utilising available space / buildings for green activities, business or social enterprise; and establish a vision or action plan that partners can commit to progressing. The output includes a spatial strategy with core proposals.
Planning Relation:	The output encourages South Ayrshire Council to include MP project findings in future iterations of the LDP; additionally, output suggests progress would likely 'accelerate with the future emphasis on Locality Planning and on Local place Plans'.
Post Project:	--
Format:	Recognising the typical charrette format does not allow for sustained engagement CT and DT spread project over nine months. Engagement activities (March-November 2018) included: establishing a steering group, DT attendance at local events, community organisations' meetings, an agenda setting workshop, targeted meetings and workshops (e.g., youth workshop), door-to-door engagement, site visits, 'flag raising' community event and a final placemaking and action plan workshop.
References:	(Willie Miller Urban Design et al., 2018)

AppxB_Figure 57 Ayr North

B.1.8.6 Troon, 2018-19



Description	Troon's town centre and wider environs mapped against SIMD 16 (Overall). Scale 1: 75000
Client	South Ayrshire Council with Troon Development Trust
Design Team	ERZ appointed by South Ayrshire Council
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Troon.
Focus:	The project aims to gather views and create a vision or community led action plan for Troon, which will be progressed / delivered by various groups.
Planning Relation:	--
Post Project:	Troon Development Trust intend to be one of the delivery agencies post-charrette.
Format:	A steering group with key-group representatives met with ERZ prior to charrette engagement delivery. The project is expected to last six months, with community engagement potentially starting in May 2019. Anticipated activities include surveys and community events.
References:	(South Ayrshire Council, 2019b; Troon Development Trust, 2018, 2019a, 2019b)

AppxB_Figure 58: Troon's town centre and wider environs mapped

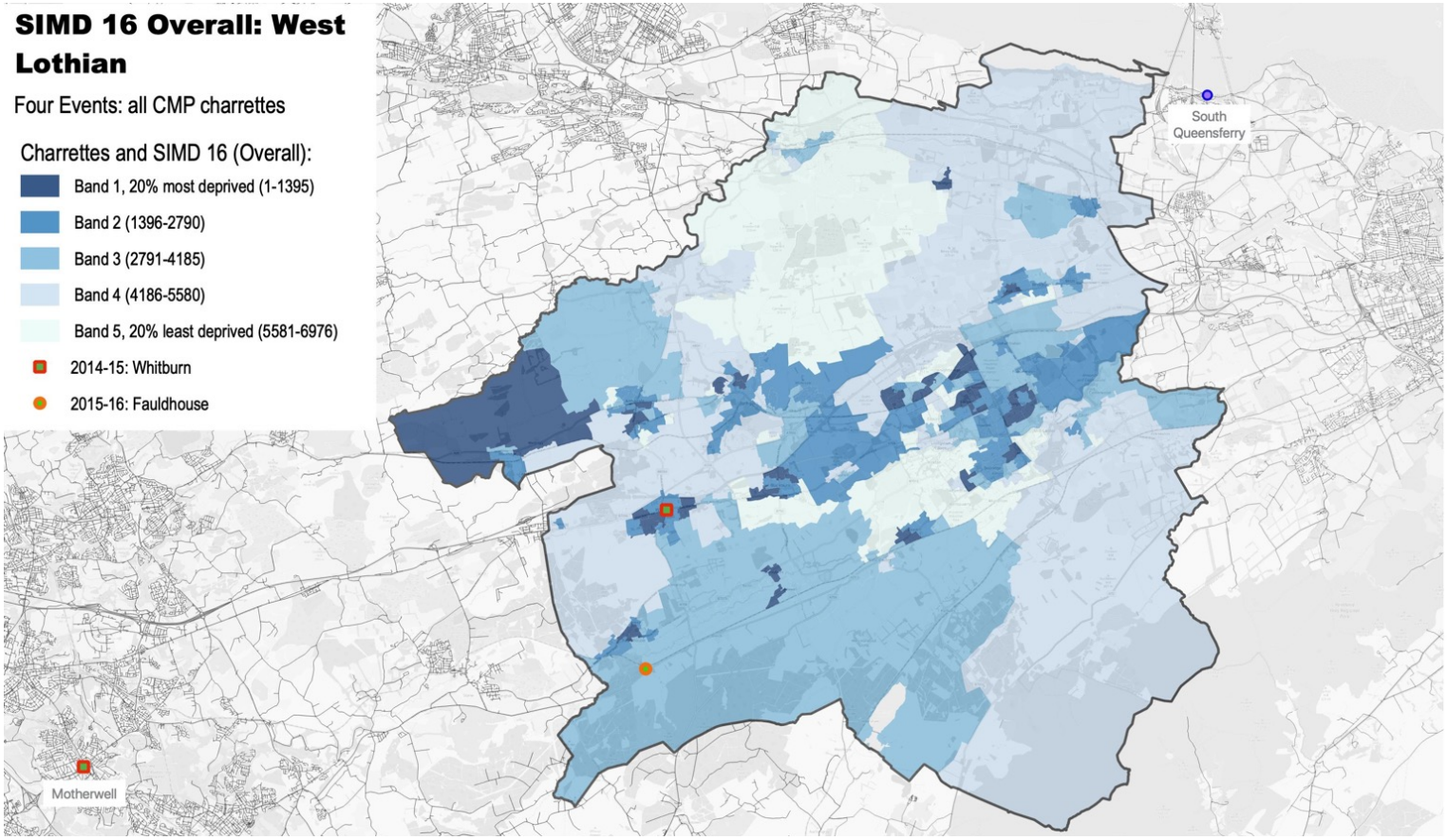
B.1.9 West Lothian

Similar to other council-led projects mapped thus far, West Lothian has used their CMP funding as part of their community planning approach. All thirty-two CPPs, representing a local authority, are required to produce a LOIP, as well as more focussed LPs outlining action in specific areas (Scottish Government, 2018a; West Lothian Council, 2019). West Lothian's CPP identifies eight LP areas that all have datazones within the first quintile (i.e., 20% most deprived). Localities include Armadale, Blackburn, Bathgate, Bridgend, Craigshill, Fauldhouse Breich Valley, Livingston Central and Whitburn.

The authority's areas with the poorest SIMD 16 (Overall) outcomes (i.e., datazones in the first vigintile) are Central Whitburn, Knightsridge, South Armadale, Blackburn, Craigshill and East Bathgate. Whitburn and Fauldhouse are among the CPP's 'localities' with the former among the list of areas with 5% most deprived datazones. Charrette outputs were intended to inform their respective LPs, referred to as 'Local Regeneration Action Plans' (Austin-Smith: Lord, WAVEparticle, et al., 2015 ; PAS, 2016b; West Lothian Council, 2019).

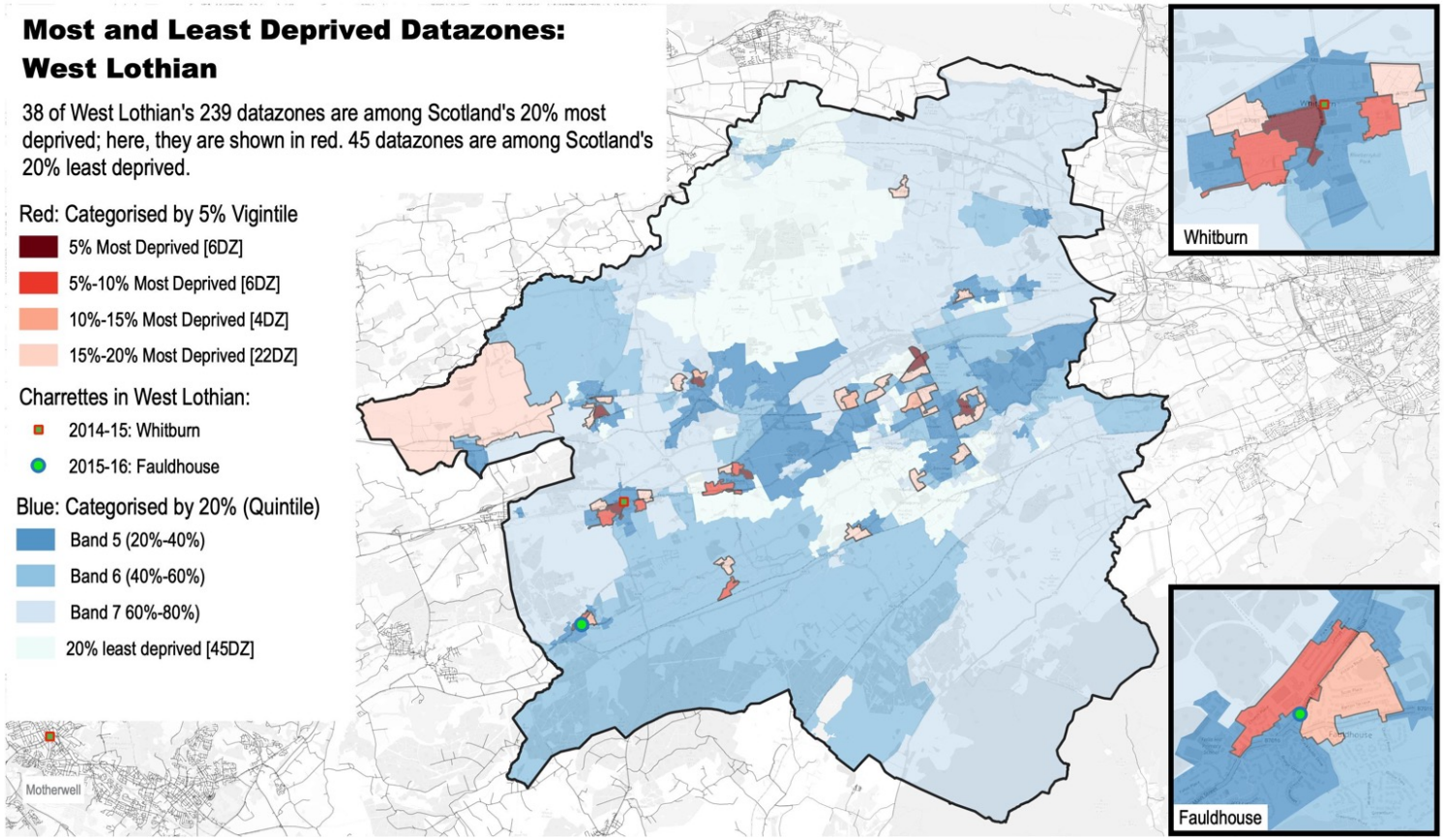
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Whitburn		✓					*Yes.* Both 'localities' have been identified by West Lothian's CPP as areas subject to a LP because they have datazones in the 20% most deprived; Whitburn's datazone (S01013374) is amongst Scotland's 5% most deprived.
Fauldhouse			✓				

AppxB_Table 9 West Lothian summary Signs of deprivation according to SIMD 16



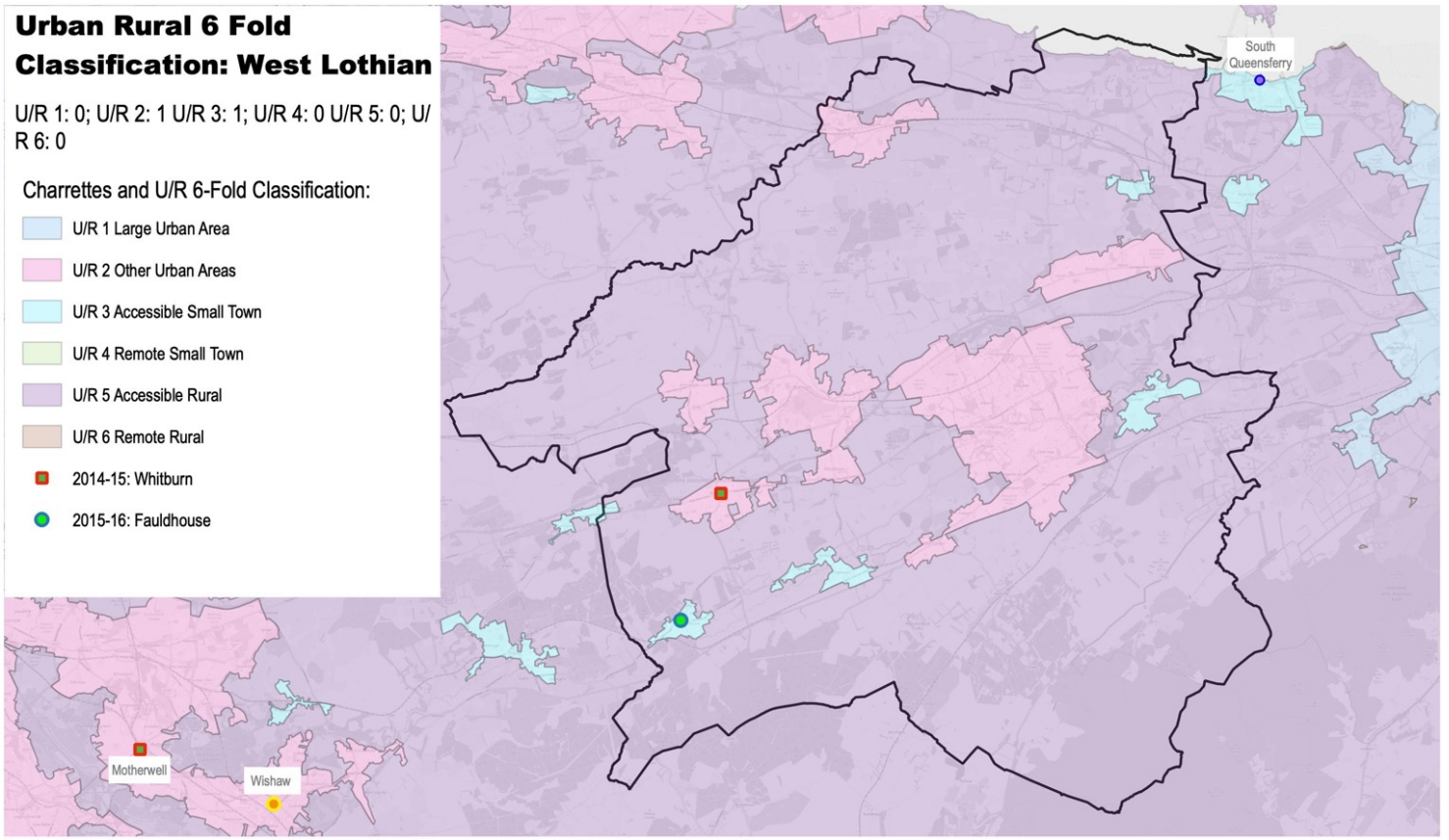
Scale 1:330000

AppxB_Figure 59: West Lothian's charrette profile mapped



Scale 1: 330000

AppxB_Figure 60: West Lothian's most and least deprived datazones



Scale 1: 330000

AppxB_Figure 61: West Lothian Urban / Rural 6-Fold Classification

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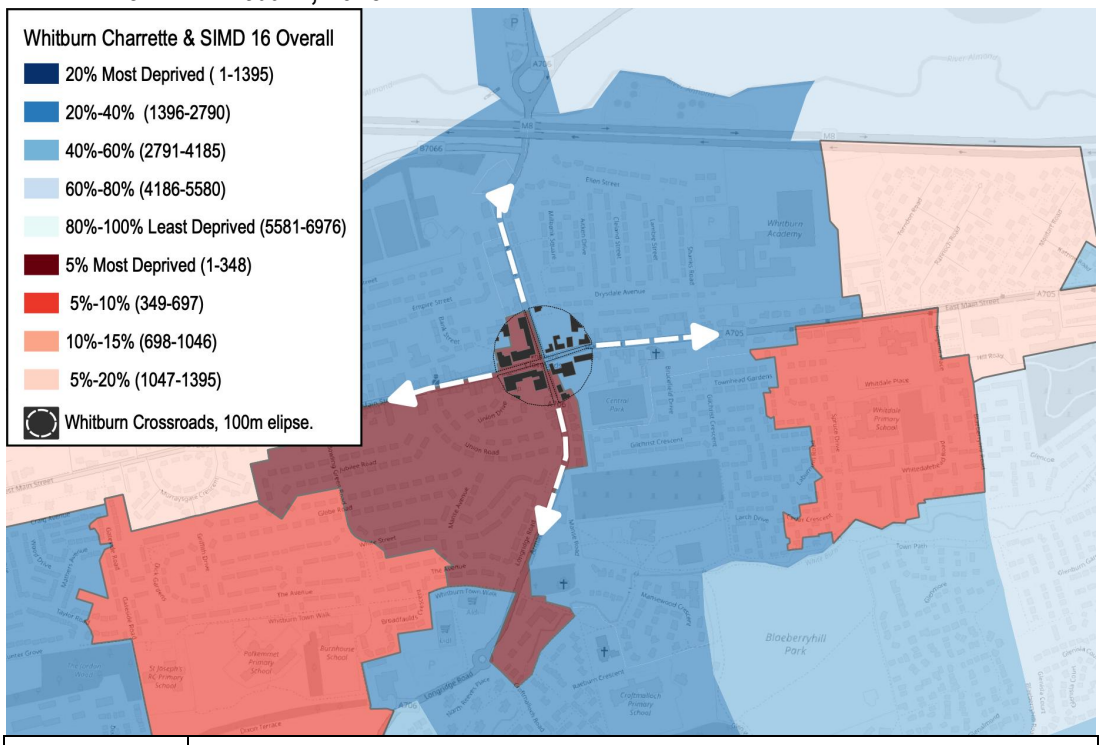
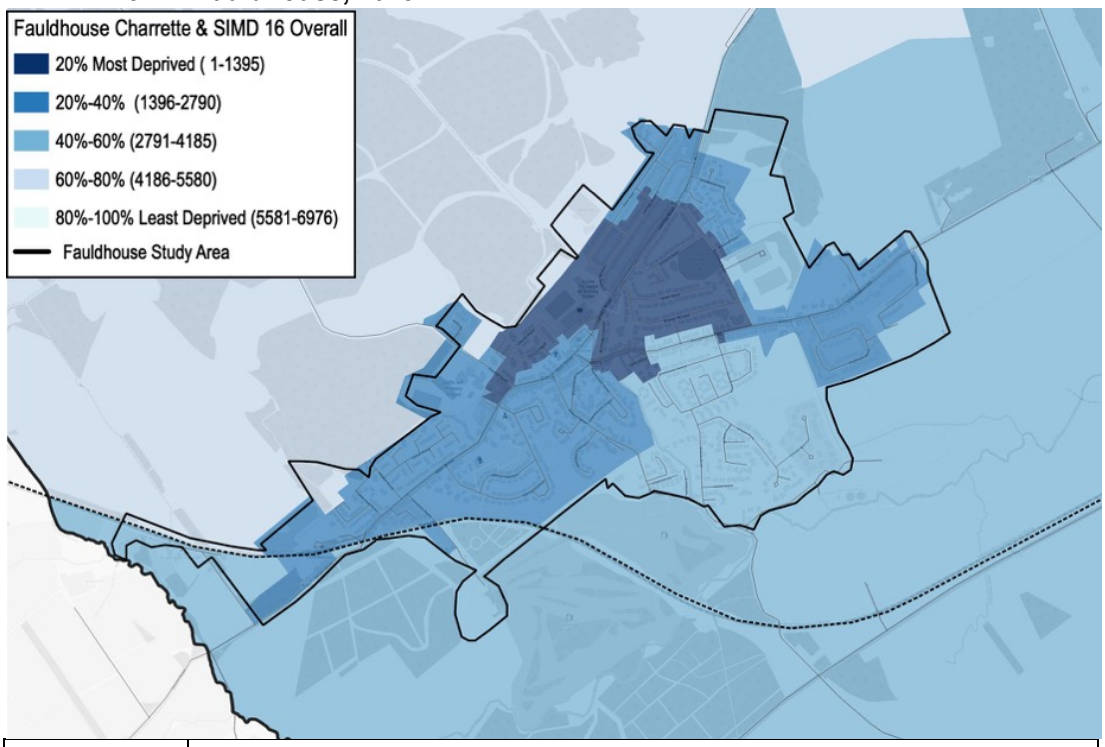
B.1.9.1 Whitburn, 2013-14



Description	Whitburn area profile highlighting crossroads at town centre. Scale 1: 13000
Client	West Lothian Council and West Lothian CPP. Funding support from West Lothian Council's Town Centre Improvement Fund.
Design Team	Austin-Smith:Lord (lead); Ryden, WAVEparticle and Peter Brett Associates (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Primarily Whitburn town centre: however, charrette considered connections to wider environs including connections/ integration of Heartlands development and Polkemmet Country Park.
Focus:	Outputs sought include a long-term vision for Whitburn, a development framework and masterplan, which should 'assist in coordinating planned council investment' (pg. 7).
Planning Relation:	The charrette is part of an earlier 2014 'Placemaking in Whitburn' initiative, which was part of the Scottish Government's 'Good Places Better Health' initiative. This earlier work 'informed the brief for the charrette'. The charrette output(s) will inform the development of Whitburn's Local Regeneration Action Plan that outlines actions aimed at tackling inequality (Austin-Smith: Lord, WAVEparticle, et al., 2015 , p. 6-7)
Post Project:	--
Format:	Pre-charrette activities included targeted school engagement (workshop) and community Gazebo Days (24th & 27th March 2015). Charrette was a four-day consecutive event (30th March – 2nd April) with a 'report back' session on 23rd April 2015. Activities included launch sessions, walkabouts, themed / targeted forums / workshops and pin-up review sessions.
References:	(Austin-Smith: Lord, WAVEparticle, et al., 2015)

AppxB_Figure 62: Whitburn area profile

B.1.9.2 Fauldhouse, 2013-14



Description	Fauldhouse area profile. Scale 1: 40000
Client	West Lothian Council (project proposer) alongside 'other local stakeholders, including Fauldhouse Community Development Trust (FCDT) who formed part of the charrette steering group' (PAS, 2016b, p. i)
Design Team	PAS
Urban / Rural:	Accessible small town, U/R 3.
Study Area:	Whole town: output discusses 'village centre' and its wider environs.
Focus:	The charrette intended to create a long-term vision and framework to help coordinate / guide 'regeneration activity'. The output is a series of physical and non-physical proposals and an action plan to support delivery (PAS, 2016b, p. 1).
Planning Relation:	The charrette output(s) will inform the development of a Local Regeneration Action Plan for Faudhouse, which is West Lothian's approach to Locality Planning.
Post-Project:	--
Format:	Model: Charrette*plus*®. Pre-charrette from March-May; four consecutive days for charrette event 11th – 14th May; and follow-up session June 2016. Preceding charrette event activities included: targeted engagement with schools / youths, community organisations, businesses; a community survey (hard / soft copies); publicity / marketing campaign. Purpose was to raise charrette-awareness, understand local context and tailor charrette event. Charrette & follow-up activities: launch session, drop-in sessions, themed workshops, exhibition / pin-ups and follow-up presenting developed proposals.
References:	(PAS, 2016b)

AppxB_Figure 83: Fauldhouse area profile.

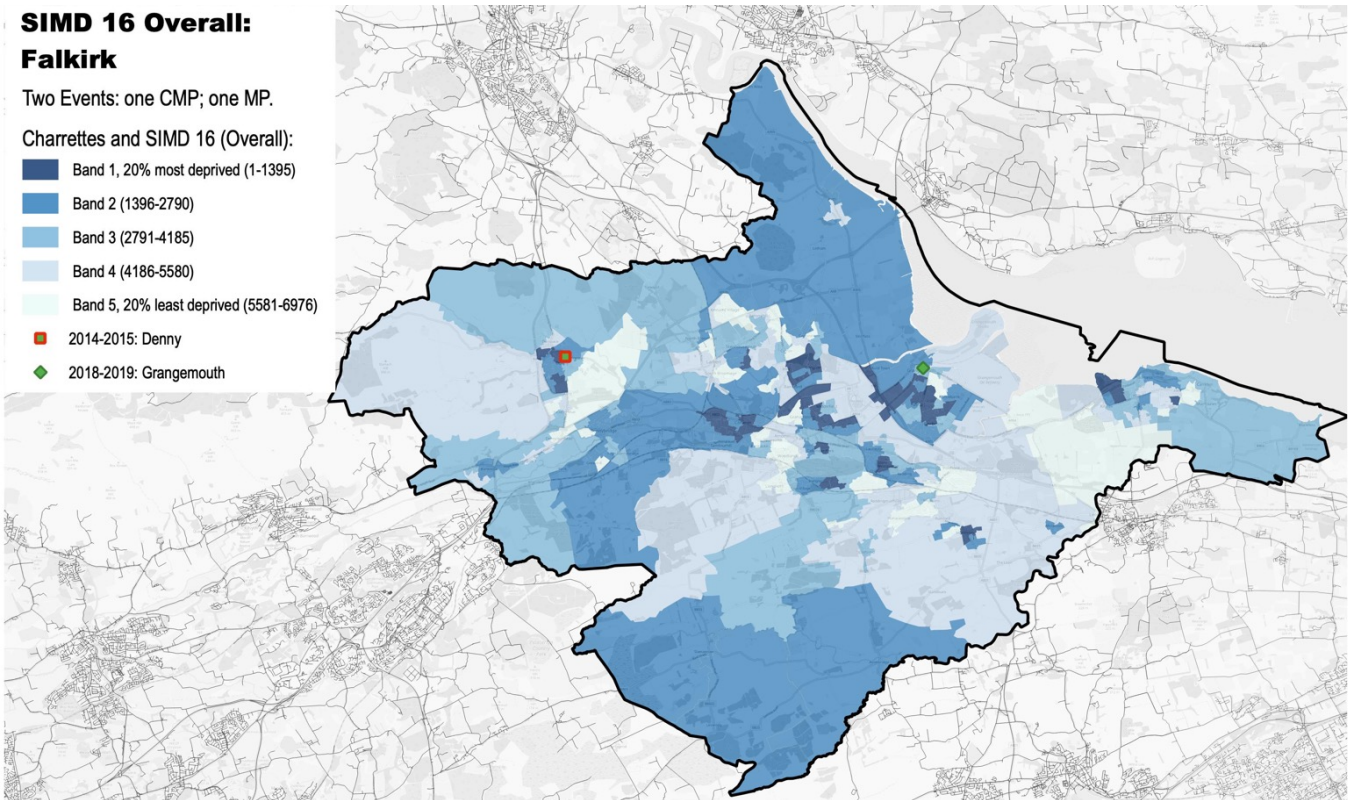
B.1.10 Falkirk

Falkirk Council has been the lead project proposer in the authority's two charrettes. However, the DT in the first charrette, Denny, described their involvement as instrumental in creating the charrette proposal. Both charrettes had a place in wider spatial planning and/or community planning work; Denny was embedded in wider regeneration work involving the DT and CT, whilst Falkirk Council used the second charrette, Grangemouth, to support their approach to Locality Planning.

Denny and Grangemouth are areas with some of the poorest SIMD 16 (Overall) outcomes. With a 15% Local Share of Scotland's 20% most deprived datazones, Falkirk has four datazones ranked in the first vigintile (i.e., ranked below 348) and among Scotland's 5% most deprived. These can be found in and around Bainsford / Langless, Dunipace, East Camelon and Bowhouse Grangemouth. Therefore, charrette mapping shows Falkirk's CMP and MP funding has been used in communities evidencing a need for support and intervention.

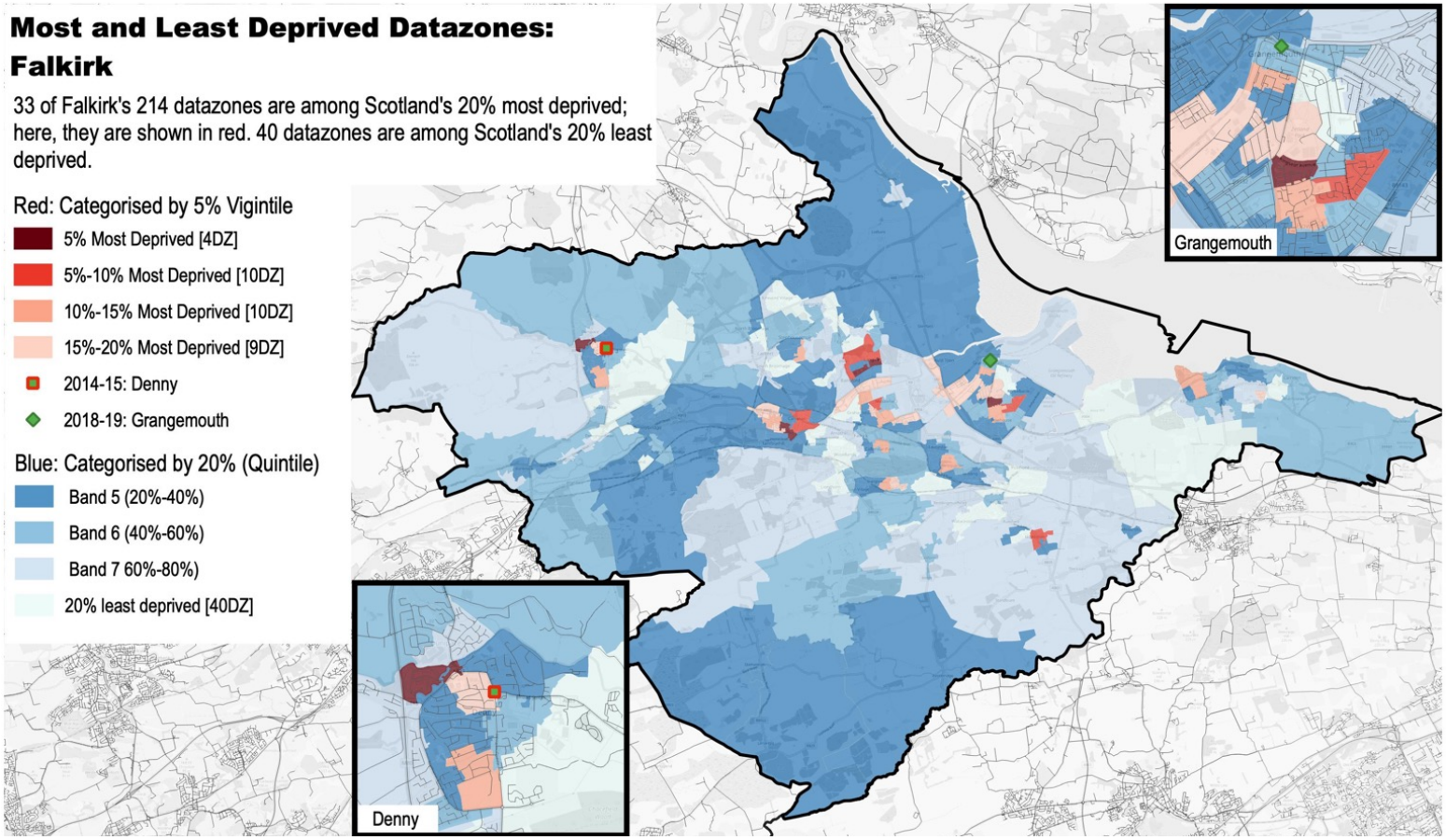
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Denny		✓					*Yes.* Datazone S01009053 (ranked 230) is within Denny / Dunipace area. Although not restrictive, the specific study boundary presented in charrette output falls neatly into a 15%-20% datazone (S01009057).
Grangemouth		✓					*Yes.* MP project commissioners recognise areas with low SIMD ranking and intend to make Bowhouse / Kersiebank priority sites within the charrette / community design-led event.

AppxB_Table 10 Falkirk Summary Signs of deprivation according to SIMD 16



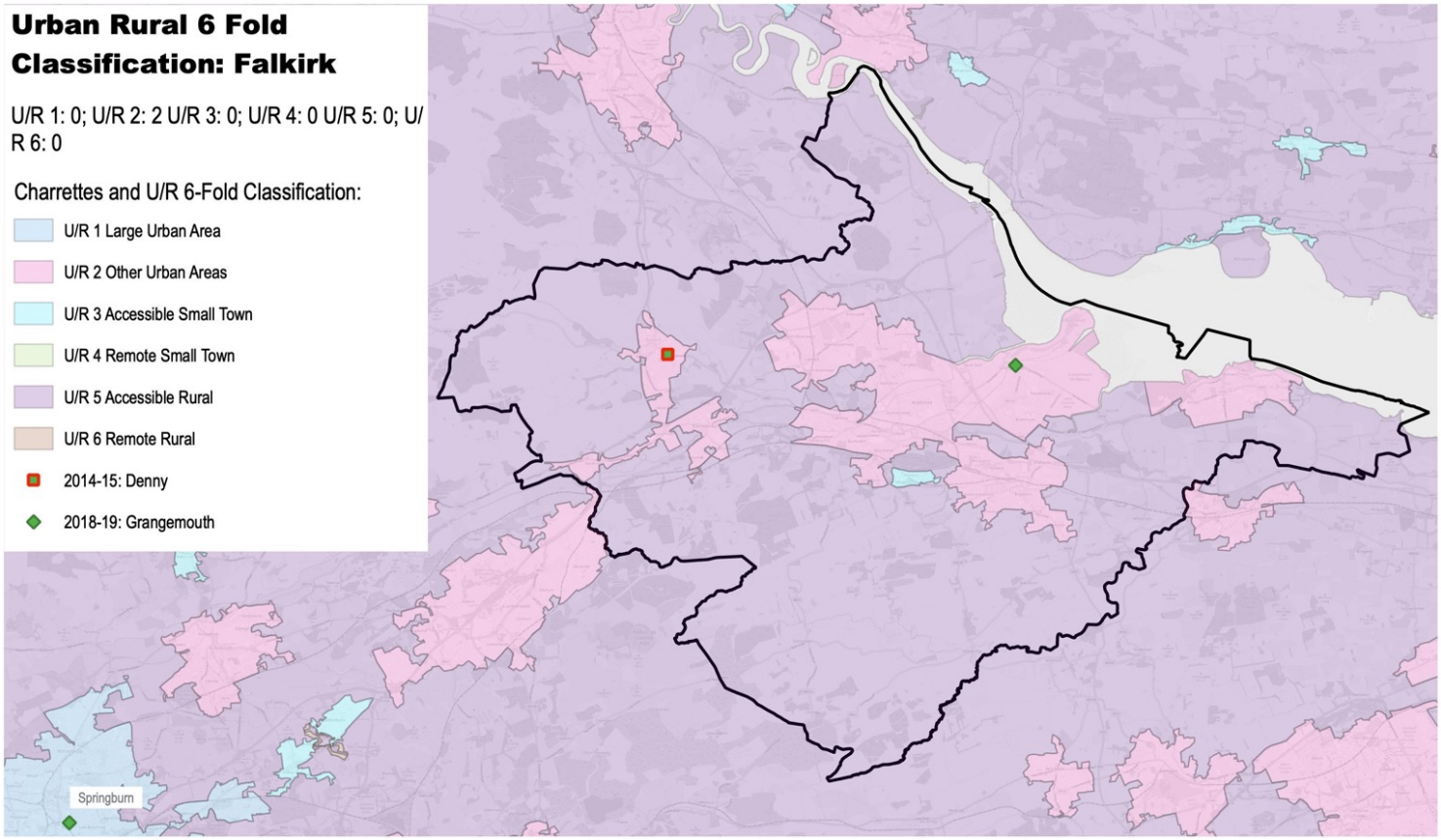
Scale 1: 100000

AppxB_Figure 63: Falkirk's two projects (one CMP and one Making Places project) mapped



Scale 1: 300000; Denny and Grangemouth Scale 1: 100000

AppxB_Figure 64: Falkirk's most and least deprived datazones.



Scale 1: 300000

AppxB_Figure 65: Falkirk Urban / Rural 6-Fold Classification

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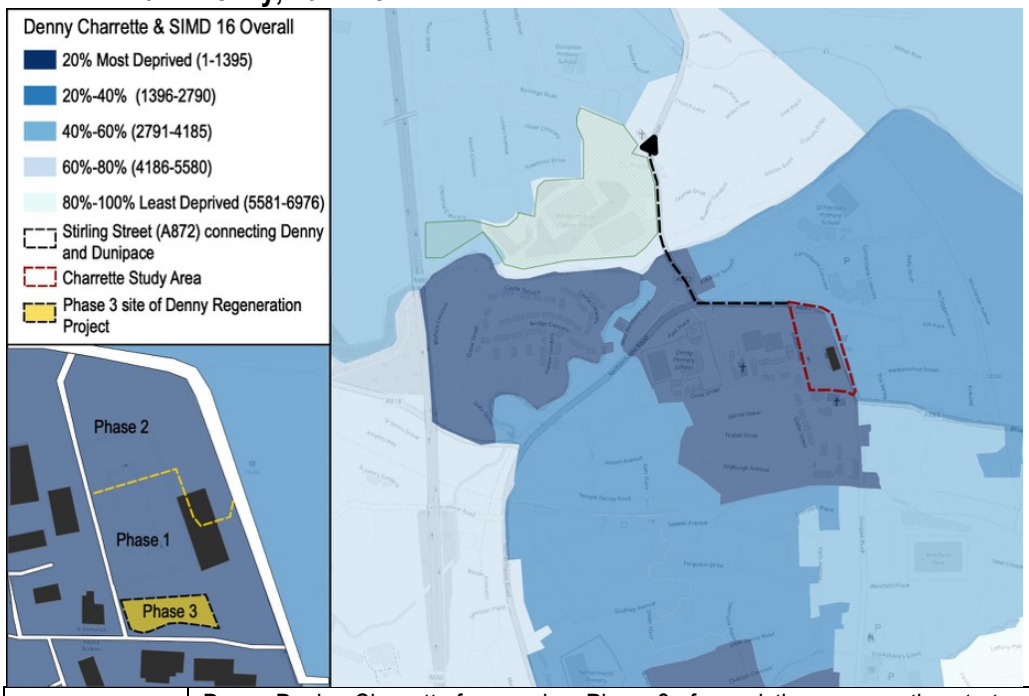
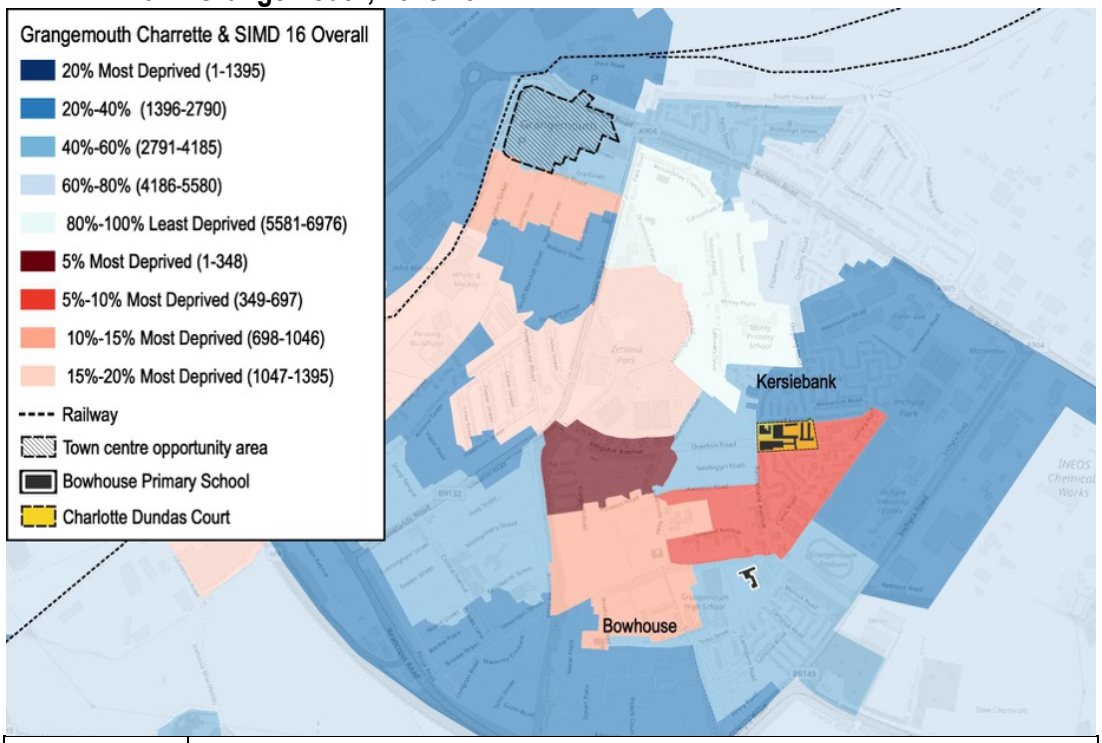
B.1.10.1 Denny, 2014-15



Description	Denny Design Charrette focussed on Phase 3 of an existing regeneration strategy for Denny's Town Centre (LHS) between Stirling Road, Davies Row and Duke. Street. It also considered the wider town including the village of Dunipace. RHS Scale 1: 14000; LHS Scale 1: 4000
Client	Falkirk Council (economic development team); however, DT are described as instrumental in the 'proposal to bring the charrette process to Denny' based on earlier work.
Design Team	Icrecream Architecture (lead); Kevin Murray Associates, Nick Wright Planning, CLES (Centre for Local Economic Strategies) with additional support from independent artists, designers, key speakers, workshop hosts and performers.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	A three-phased regeneration strategy identified a parcel of land at the heart of Denny town centre; the charrette concentrated on Phase 3 but also considered the wider town and Dunipace.
Focus:	Intended outputs: project plans / proposals and a developed business case for the Town Centre.
Planning Relation:	The charrette was embedded in an on-going regeneration strategy and followed on from earlier engagement work on a Public Art Plan in 2013-14. The charrette also acknowledged and anticipated its outputs would support the delivery of priorities identified in Falkirk West Local Community Action Plan.
Post Project:	£10,000 fund available post-charrette to help further test and/or develop the charrette project plans; applicants encouraged to use the project plans for inspiration in their application.
Format:	January – May 2015 pre-charrette activities: DT attendance at local meetings / events, stakeholder meetings, on-street engagement, targeted youth workshops and artist-led project resulting in book and short film. Three-day charrette event (28th -30th May 2015), activities: walking tours (led by local primary children) with land mapping exercise, cycle & heritage tours, community meals (e.g., afternoon BBQ), creative workshops, live-build workshops, informal DT working sessions, speakers / presentations and exhibition. Follow-up event, 20th August 2015.
References:	(CVS Falkirk, 2015 ; Icecream Architecture et al., 2015)

AppxB_Figure 66: Denny Design Charrette

B.1.10.2 Grangemouth, 2018-19



Description	Grangemouth area profile highlighting charrette study areas. Scale 1: 24000
Client	Falkirk Council
Design Team	Community Links South Lanarkshire (lead); with support from A+DS and Scottish Futures Trust (SFT) later in process. Community Links are primarily engagement specialists therefore additional expertise from A+DS and SFT provides design expertise.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Grangemouth; particular focus on SIMD areas around Kersiebank and Bowhouse.
Focus:	Falkirk Council is using their MP funding award as part of their approach to Locality Planning. Outputs should inform Grangemouth's LP and provide project proposals for town centre and Charlotte Dundas Court.
Planning Relation:	MP award will be used to provide recommendations for the council's LP; a required document as per Community Empowerment Act.
Post Project:	--
Format:	Only an indicative engagement strategy available at time of writing. Anticipated start, late February; anticipated ending, early May 2019. Anticipated methods include door-to-door engagement, adult and children focus groups, two community workshops, on-street engagement and DT to occupy a vacant shop unit in Grangemouth's town centre.
References:	(MP Respondent 3, personal communication, 2019)

AppxB_Figure 67: Grangemouth area profile

B.1.11 City of Edinburgh

Two CMP and six MP projects have taken place in the City of Edinburgh; each commissioned by a community and/or third-sector organisation. The authority's first charrette was held in one of two 'accessible small towns' in Edinburgh (U/R 3), South Queensferry, by (the now dissolved) Business Improvement District [BID]. The second in 2016-17 was commissioned by Leith Creative, a partnership between LeithLate and Citizen Curator. The following year, Leith Creative commissioned a follow-on MP project. The majority of projects have taken place in the initiative's more recent MP rounds, 2017-18 and 2018-19: Portobello and Westside Plaza were part of the former, whilst Niddrie / Craigmillar, Astley Ainslie and Murrayburn and Hailesland were all commissioned in 2018-19.

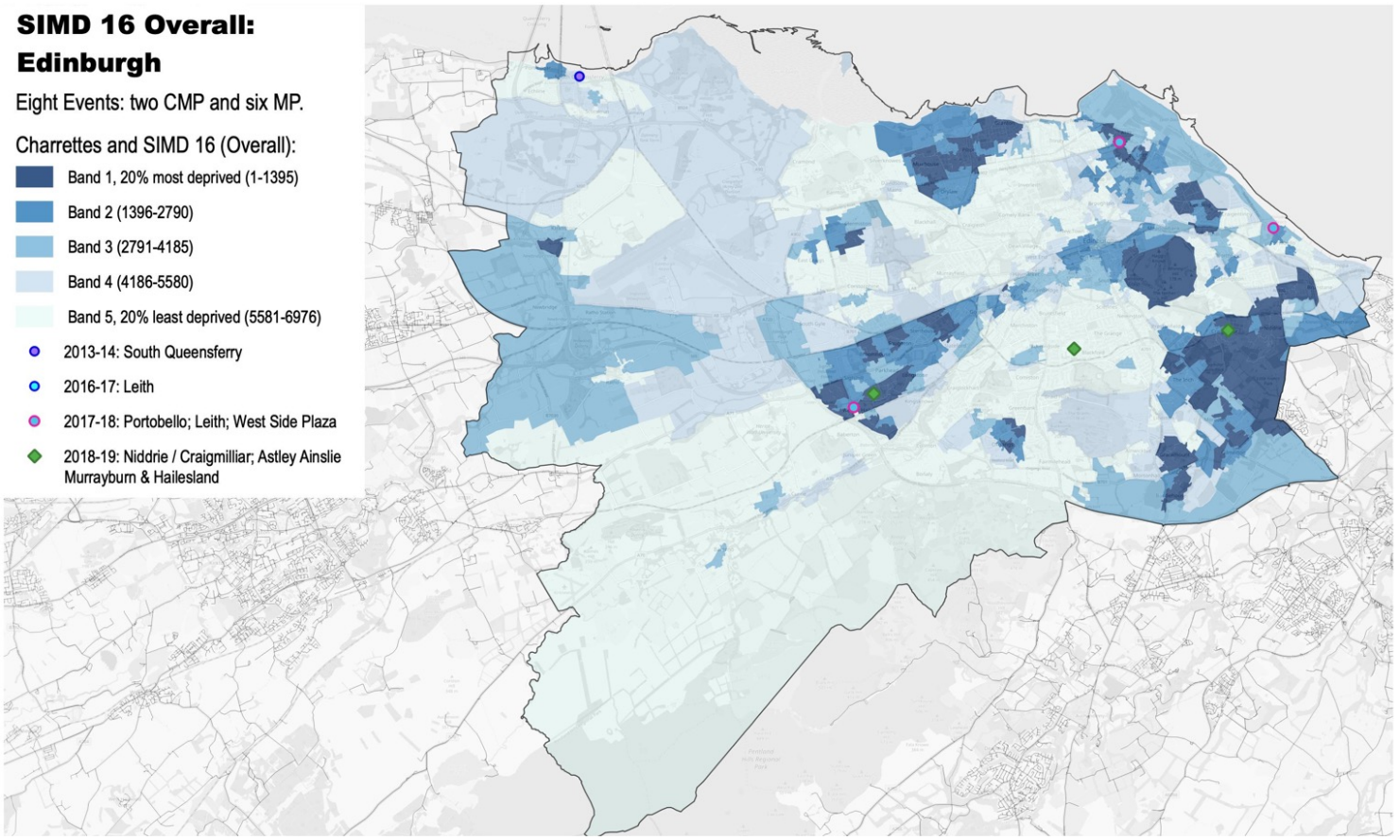
Scotland's capital city has a 14% Local Share of Scotland's most deprived datazones with areas Bingham, Magadelene (north of Niddrie), West Craigentinny, Moredun and Craigour, Murrayburn and North Westerhailes, Clovenstone and Westerhailes, Lochend and Restalrig, Niddrie and Craigmillar, Muirhouse, Great Junction Street (Leith) and The Calders having the worst SIMD 16 (Overall) outcomes i.e., 5% most deprived. Four of the local authority's eight projects place within these areas i.e., Niddrie and Craigmillar, Leith (CMP & MP) and Murrayburn & Westerhailes. However, Westside Plaza too has signs of deprivation with datazones in the immediate study boundary falling into the 5%-10% (S01008459) most deprived bracket.

The study boundaries of the remaining three projects (South Queensferry, Astley Ainslie and Portobello) place within second, third, fourth and fifth quintile datazones. Therefore, project mapping shows that five out of eight projects place within areas evidencing a need for support and intervention; three of which are within areas with the greatest need (i.e., datazones ranked below 348). Three projects place within areas with no first quintile datazones.

	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
South Queensferry			✓				No. The study areas fall into second, fourth and fifth quintile datazones. South Queensferry's neighbouring villages (Dalmeny, Scotstoun and Echline) largely fall into fourth and fifth quintile datazones.
Leith	✓						*Yes.* Leith and North Leith have several first quintile datazones: 5% most deprived (S01008787); 5%-10% most deprived (S01008777); 10%-15% most deprived

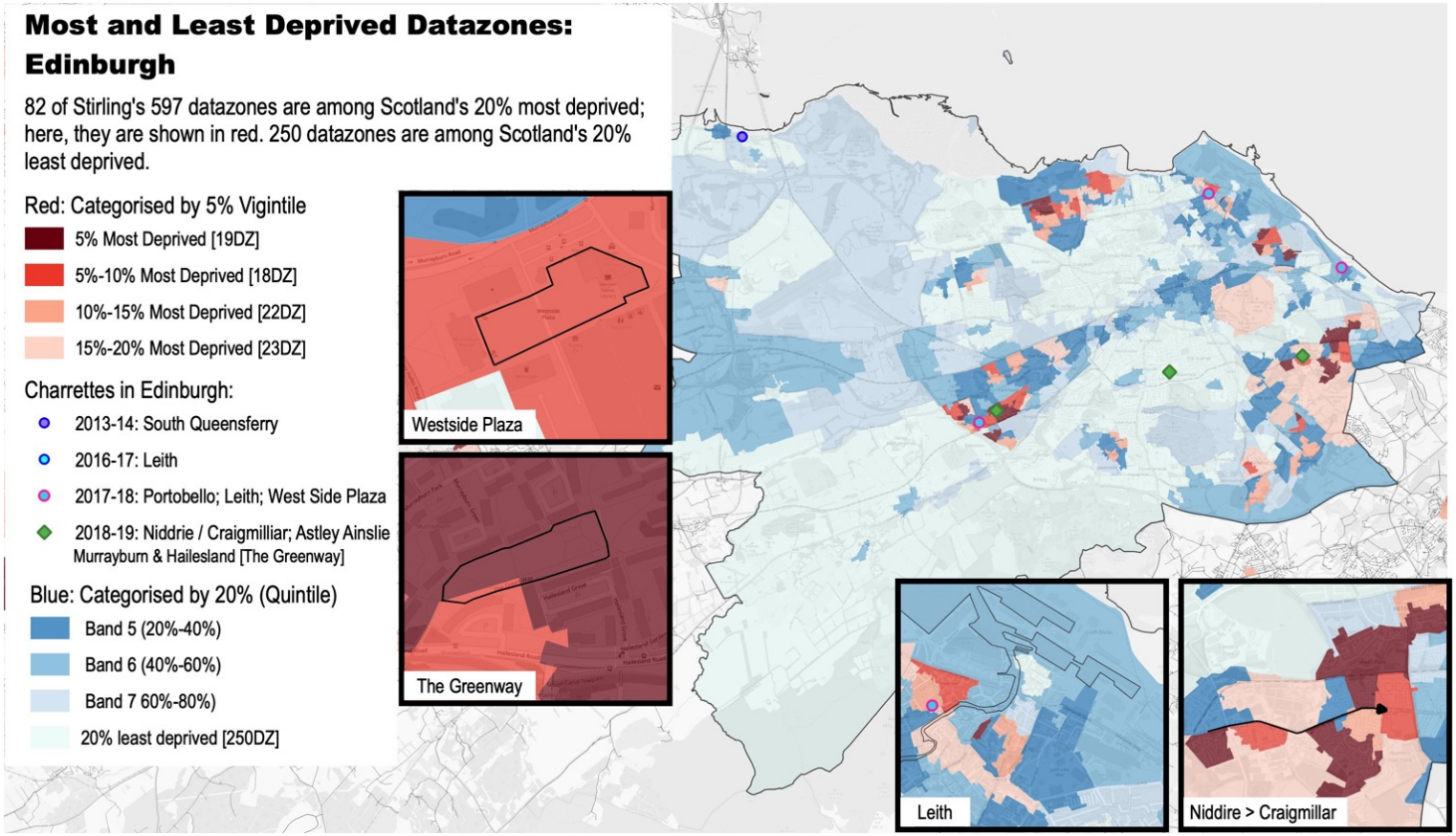
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
							(S01008785, S01008776); and 15%-20% most deprived (S01008793, S0100789, S01007890, S01008774).
Portobello	✓						*No*. The site falls into a third quintile datazone with others in the surrounding area falling into second, fourth and fifth quintiles.
Westside Plaza	✓						*Yes*. The immediate study boundary falls into a 5%-10% most deprived vigintile, with neighbouring datazones in first, second and third vigintiles (i.e., 5%, 5%-10% and 10%-15% most deprived brackets). However, datazones south and west of study boundary fall into fifth (least deprived) quintile.
Niddrie / Craigmillar	✓						*Yes*. The majority of the MP study boundary falls within first quintile datazones: 5% most deprives (S01008707, S01008710, S01008708, S01008703); 5%-10% most deprived (S01008705 / S01008711), 10%-15% most deprived (S01008709); and 15%-20% most deprived (S01008704, S01008701).
Astley Ainslie	✓						*No*. all datazones within the study area fall into the fifth (least deprived) quintile.
Murrayburn & Hailesland	✓						*Yes*. The study boundary falls neatly into first vigintile datazones (S01008460, S01008461) with more first and second vigintile datazones in with immediate environs.

AppxB_Table 11 City of Edinburgh. Signs of deprivation



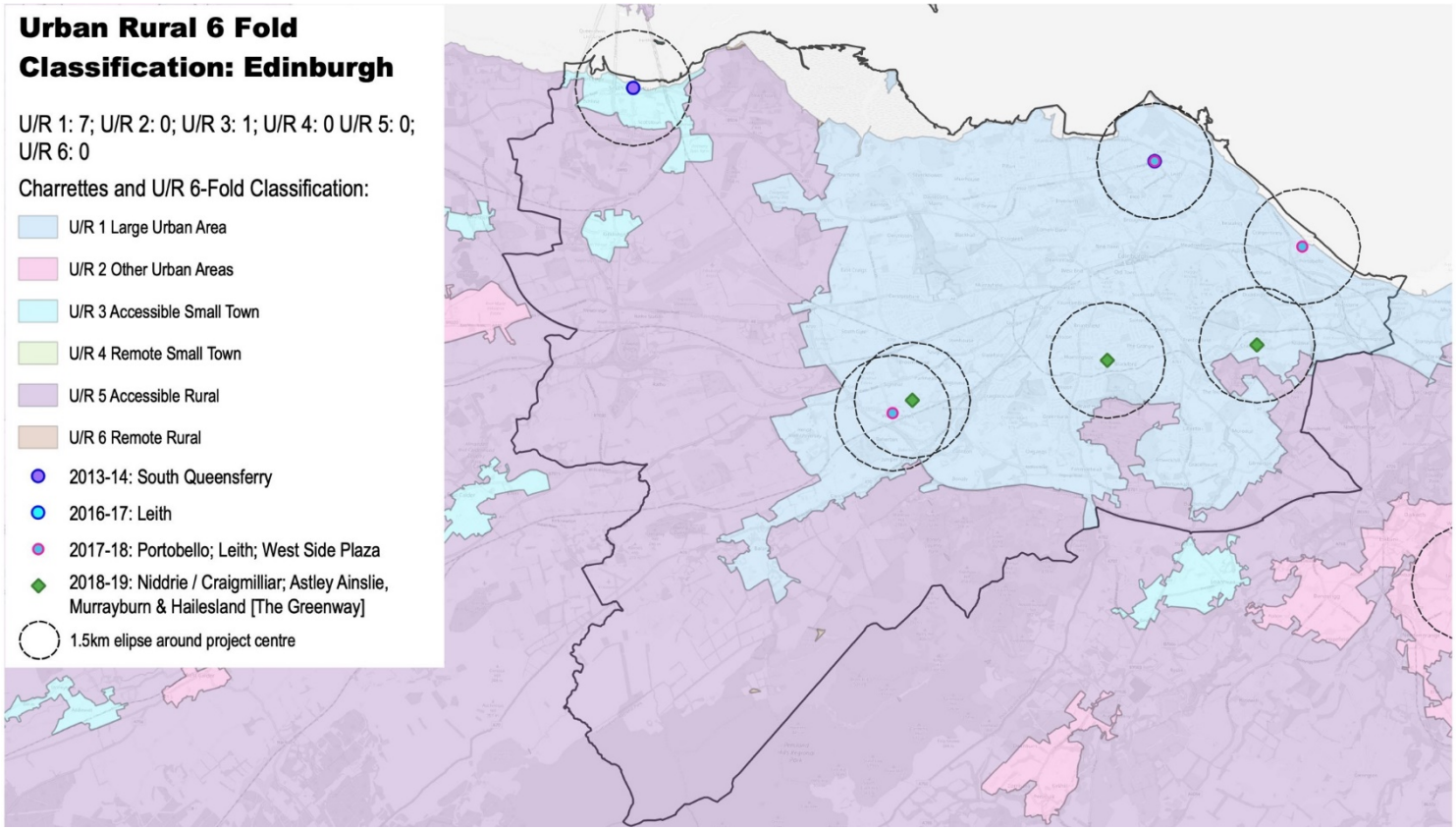
Scale 1: 145000

AppxB_Figure 68: City of Edinburgh's projects mapped



Westside Plaza 1: 7000; Westside Plaza, The Greenway 1: 13000; Leith 1:7500; Niddrie / Craigmillar 1: 90000; City of Edinburgh 1: 290000

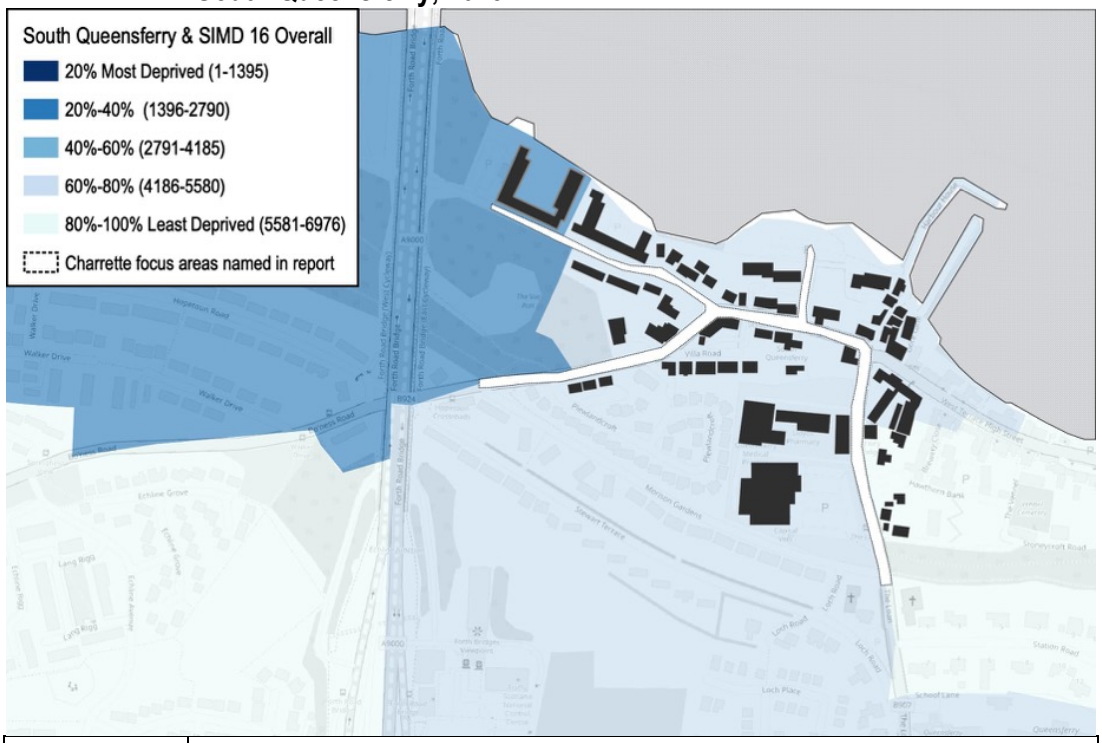
AppxB_Figure 69: City of Edinburgh's most and least deprived datazones



Scale 1: 145000

AppxB_Figure 70: City of Edinburgh categorised using Urban / Rural 6-Fold Classification

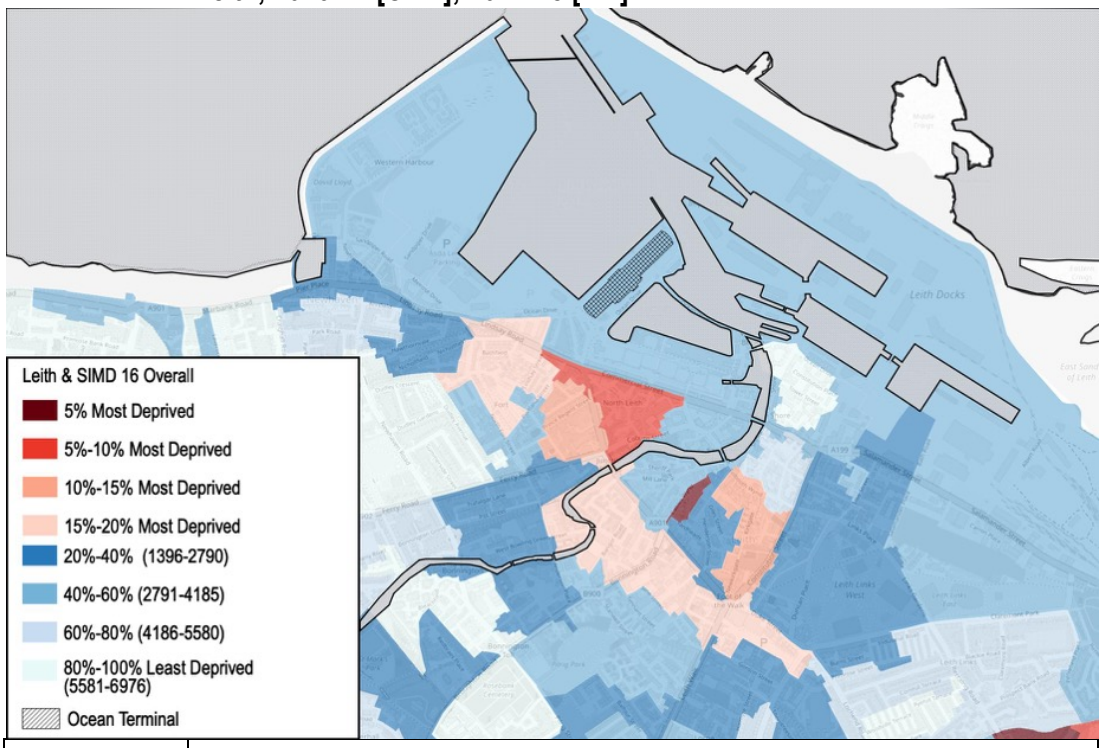
B.1.11.1 South Queensferry, 2013-14



Description	South Queensferry's charrette study area. Scale 1: 6500
Client	Queensferry Ambition (i.e., the local Business Improvement District, BID).
Design Team	WT Architecture (Lead); Indigo Project Solutions, SIAS Limited and Macleod & Aitken (subconsultants)
Urban / Rural:	Accessible small town, U/R 3.
Study Area:	Charrette considered a part of the town, namely the 'area around the Priory, Binks and Hopetoun Road, Shore Road and The Loan'. However, this was not a fixed boundary as the charrette would consider adjacent sites and connectivity.
Focus:	WT Architecture produced a 2012 report on the charrette focus area; in response, the BID proposed a charrette. The charrette sought to gather views, develop a 'shared vision for public places and spaces', identify priorities for improvement and respond with indicative design proposals. The output should 'form a brief for the preparation of a series of potential projects'.
Planning Relation:	The report encourages local and national authorities as well as community organisations to use it in guiding 'positive change'. The output acknowledges a policy context noting the charrette may not contribute directly but 'indirect benefit may be realised in the longer term'.
Post Project:	Quensferry Ambition remained committed to charrette project delivery in their 2017-2022 Business Plan. However, after failing to secure enough votes the BID was dissolved in 2018.
Format:	Two stage process: first, public consultation leading to stakeholder workshop before second report writing stage. Stage one, activities: publicity (press releases, social media, posters and flyer distribution), survey, public workshops, targeted workshops with schools, parent / toddler, retiree group and the elderly, finally an invited stakeholder workshop. Stage two (report writing) include a feedback presentation to core stakeholders, April 2014.
References:	(Beers, 2017; Companies House, 2018; WT Architecture et al., 2014 -a, 2014 -b)

AppxB_Figure 71: South Queensferry's charrette study area

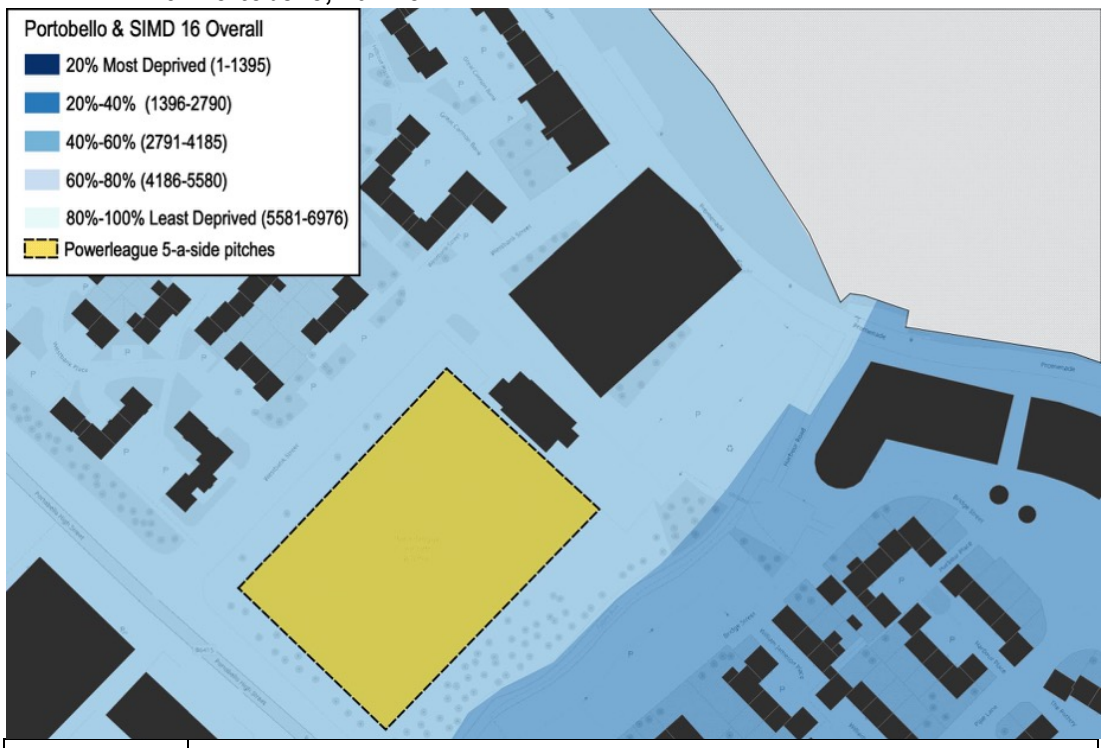
B.1.11.2 Leith, 2016-17 [CMP]; 2017-18 [MP]



Description	Leith area profile. Study boundary considered EH 6 / 7 post code areas. Scale 1: 45000
Design Team	Leith Creative, Lateral North, Here + Now and Biomorphis. Latter three specialised in a particular engagement methodology. Lateral North, interactive mapping; Here + Now, Place Standard Wheel; Biomorphis, Leith Listings.
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Leith, particular focus on EH6 and EH7 postal codes. Four 'community clusters' were identified in the area, which played host to engagement activities: Out of the Blue Drill Hall; Edinburgh Sculpture Workshop; St Margaret's House and the Newkirkgate Community Education Centre.
Focus:	Recognising Leith has been subject to 'a series of failed masterplans' the focus was not to develop another. The 'blueprint' output is a record of findings from the charrette process.
Planning Relation:	The charrette followed from project proposer's earlier 2015 cultural mapping research project. Charrette outputs i.e., Leith Blueprint created a community Main Issues Report informing future iterations of the LDP.
Post Project:	Subsequent funding secured from Scottish Government's MP 2017-18 fund to 'Develop and pilot a People's Place Plan for Leith' (Scottish Government, 2018c). At the time of writing, this project was on-going with no firm outputs available for review.
Format:	Six-month project aimed at gathering responses to three questions regarding Leith assets, challenges and next steps. Activities: online & face-to-face survey, eighteen pop-up / curated public events, round table conversations, two-day public conference and a report back event October 19th, 2017.
References:	(Leith Creative, 2017a, 2017b, 2017c)

AppxB_Figure 72: Leith area profile

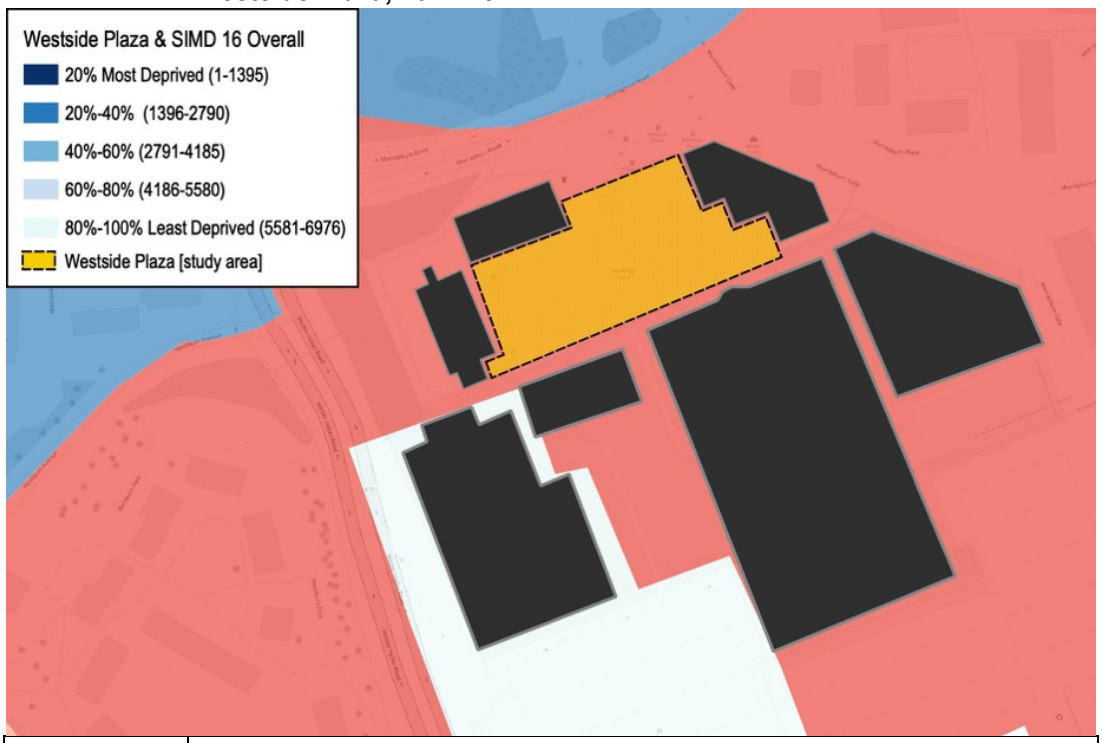
B.1.11.3 Portobello, 201-18



Description	Portobello area profile. Scale 1: 2200
Client	Action Westbank, which is a sub-group of Action Porty.
Design Team	Mostly Portobello-local volunteers (mainly from architecture / landscape architecture or design-based profession) comprised three DTs, which were led by primary facilitator Nick Wright Planning.
Urban / Rural:	Large urban area, U/R1.
Study Area:	Described as a 'threat', Action Westbank concentrated their efforts on the above Pitz/Tumble site that was pending sale, potentially to private sector developer, Cala.
Focus:	With a sense of urgency, Action Westbank aimed to gather views and contributions to three community-generated design proposals for the Pitz/Tumbles site, which were to be submitted to the local authority for consideration. The local authority was due to consider Cala as the preferred bidder / site developer on 27th March 2018. Action Westbank hoped their community-alternative proposals would stop the site's sale.
Planning Relation:	MP funding was not used as part of council-led planning processes (e.g., contribute to LDP or Locality Planning). Funding used to support the efforts of Acton Westbank.
Post Project:	Design weekend generated three indicative site proposals. These were not site-briefs, rather 'illustrative examples of what thoughtful mixed-use development might look like' (Action Westbank, 2018). In October 2018 Action Westbank announced the Pitz/Tumbles site sale had been withdrawn, and the council would develop a site masterplan with the local community.
Format:	Design weekend, 3rd & 4th March 2018 hosted at Portobello Town Hall.
References:	(Action Westbank, 2018)

AppxB_Figure 73: Portobello area profile

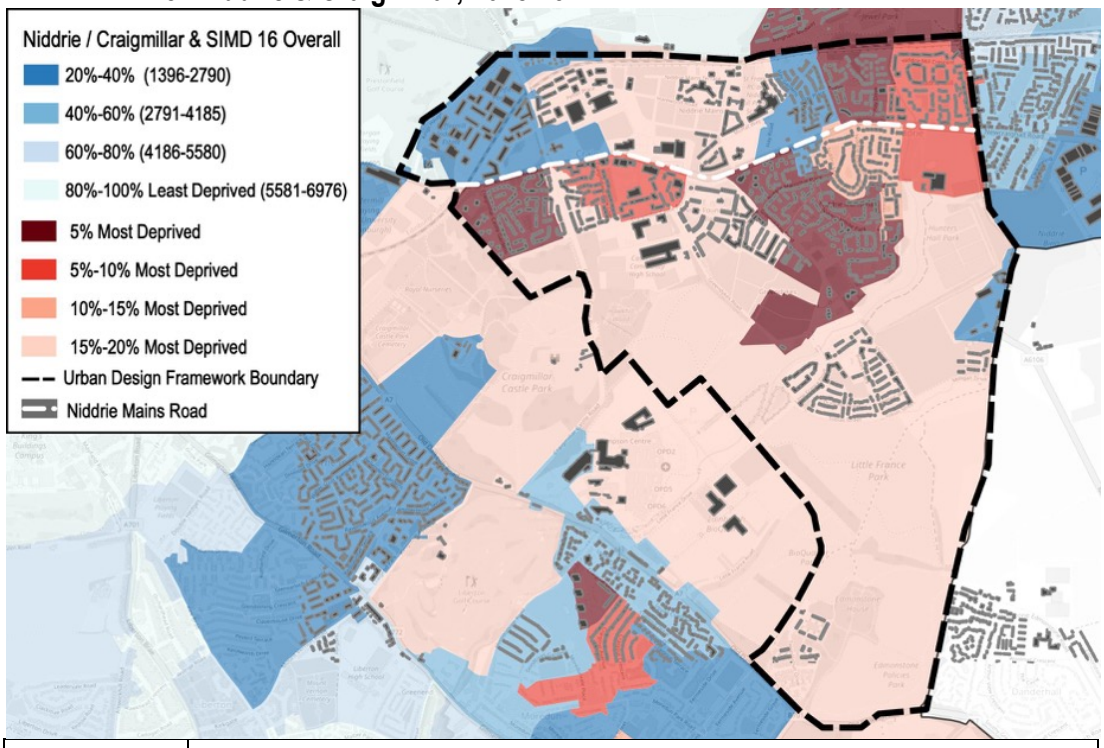
B.1.11.4 Westside Plaza, 2017-18



Description	Westside Plaza area profile. Scale 1: 3000
Client	Wester Hailes Community Trust [WHCT] i.e., a newly established community organisation formed after Open Space event, 2015.
Design Team	HarrisonStevens (Lead); Colin Ross Workshop, Oliver Chapman Architects and Thomas Gray (subconsultants)
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Westside Plaza Civic Square i.e., the main transport and retail hub in the local area.
Focus:	Earlier engagement (2015) identified much dissatisfaction with Westside Plaza. MP funding aimed to support a community-led design process to create site improvement proposals.
Planning Relation:	WHCT expect the MP output to be used as a 'plan for future developments' and assist in the development of the Local [Outcome] Improvement Plan (Wester Hailes Community Trust, 2018).
Post-Charrette:	Paving construction work is expected to start after City of Edinburgh Council secure funding.
Format:	WHCT host 'Love the Plaza?' event, 14th February 2018 to raise MP project awareness. Introductory stakeholder session, 24th April. Engagement strategy used 'tertiary', 'secondary' and 'primary' methods and identified four participant-types i.e., school, youth, stakeholder and community. Activities included: publicity campaign (flyers, posters, invitation-flyers and social media), questionnaire (tertiary); drop-in presentations part of other activities and/or agenda item, distribution of engagement materials and community workshop invitations (secondary); pop-up / drop-in sessions, workshops, speed talk session, on-street engagement with vinyl map, comments boxes and place standard tool. Report complete, October 2018.
References:	(HarrisonStevens et al., 2018; Wester Hailes Community Trust, 2018)

AppxB_Figure 74: Westside Plaza area profile

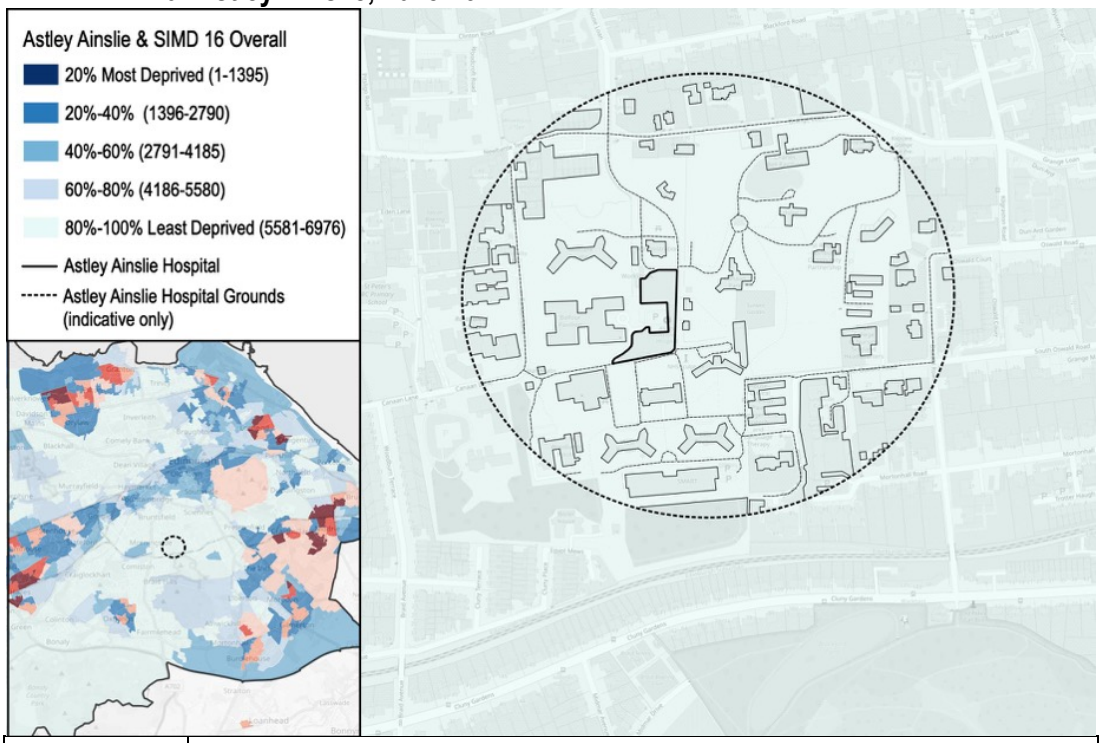
B.1.11.5 Niddrie & Craigmillar, 2018-19



Description	Niddrie / Craigmillar area profile. Scale 1: 30000
Client:	Community Alliance Trust
Design Team:	--
Urban / Rural:	Large urban area, U/R 1.
Study Area:	MP project primarily focussed on the study area identified in Craigmillar Urban Design Framework (2013).
Focus:	Using the Place Standard tool, the project proposer aimed to produce a community appraisal and generate a 'lessons-learned' piece of research to inform future decision-making.
Planning Relation:	--
Post Project:	Project proposer intends to provide local and national government with MP output(s).
Format:	--
References:	(Council, 2013; MP Respondent 11, personal communication, 2019)

AppxB_Figure 75: Niddrie / Craigmillar area profile

B.1.11.6 Astley Ainslie, 2018-19



Description	Astley Ainslie area profile. LHS Scale 1: 400000 RHS Scale 1: 15000Ch. 7_
Client	Astley Ainslie Community Trust (AACT) i.e., a community organisation formed in 2018.
Design Team	AACT with a series of speakers and discussion panel guests.
Urban / Rural:	Large urban area, U/R 1.
Study Area:	Astley Ainslie Hospital grounds.
Focus:	AACT's long-term campaign is to negotiate community ownership of Astley Ainslie hospital grounds after NHS leave in 2025. Short-term aim for the MP project, as part of this wider campaign, was to create community vision for the site.
Planning Relation:	Hospital closure is planned for 2025; however, AACT recognise the NHS could begin site-marketing at any time, whilst City of Edinburgh Council (CEC) is expected to produce a new planning policy for the site, 2019-2020. CEC would like to use MP project outputs in their policy preparations. AACT are therefore working with council, NHS Lothian and other groups to explore community-led options.
Post Project:	If the community vision expresses part or full community ownership of site, AACT intend to lead this project and use MP project output(s) as the 'basis of applications for funding a feasibility study and business plan'.
Format:	Community engagement activities included targeted school engagement, high-street pop-up events, online & social media, digital youth survey and a public 'ideas' (23rd March) and 'vision' (31st March) event. Former (i.e., ideas event) included speakers and discussion panels, walking tours and information displays. Vision event reports on emerging vision and hosts guest speakers.
References:	(Astley Ainslie Community Trust, 2019a, 2019b)

AppxB_Figure 76: Astley Ainslie area profile

B.1.11.7 Murrayburn & Hailesland, 2018-19

Description	Murrayburn & Hailesland area profile. Scale 1: 3200
Client:	Murrayburn & Hailesland Community Park Association (M&HCPA) working in collaboration with South West Edible Estates (SWEE). M&HCPA established in 2017 with aim of providing local participation in development of greenspaces.
Design Team:	City of Play and independent artist.
Urban / Rural:	Large urban area, U/R 1.
Study Area:	The Greenway (i.e., a large greenspace) and nearby adjacent / associated greenspaces to be considered in the study. Land included in study is owned by City of Edinburgh Council.
Focus:	With various features (e.g., adventure playground, neighbourhood garden and so forth), M&HCPA aim to create a community garden on The Greenway site. February 2019, M&HCPA do not have funds to support implementation but keen to establish a 'design and implementation strategy'.
Planning Relation:	City of Edinburgh Council have agreed in principle to a community park; however, unable to assign funds for construction.
Post Project:	--
Format:	CT's brief suggests four participatory design exercises prototyping play structures over four weekends in April / May 2019. At time of writing, a children-led tour of the study area, a free community lunch with DT presentations / installations and a co-design workshop had been planned for May and June weekends.
References:	(Murrayburn & Hailesland Community Park Association, 2018, 2019a, 2019b)

AppxB_Figure 77: Murrayburn & Hailesland area profile

B.1.12 Stirling

Stirling (like West Dunbartonshire, Perth & Kinross, and Argyll & Bute) has a unique governance structure given a share of its geographic remit lies within Loch Lomond & the Trossachs National Park. This means planning lies within LLTNPA's jurisdiction for some of Stirling's areas (Participant D, Scottish Government Representative). LLTNPA has been involved in two projects falling within Stirling: Callander (2011-12) and LLTNPA (2012-13). Both were part of the early pilot rounds immediately following The Charrette Series in 2010. The Callander Partnership comprising the local Community Council, Development Trust, the service authority (i.e., Stirling Council) and planning authority (i.e., LLTNPA) commissioned the first. LLTNPA's (2012-13) CMP project was polycentric covering five sites within their geographic boundary; three fell within Stirling and two in Argyll & Bute. Similar to the first charrette, Dunblane (2014-15) was a partnership commission, this time comprising Dunblane Community Council, Dunblane Development Trust and Discover Dunblane.

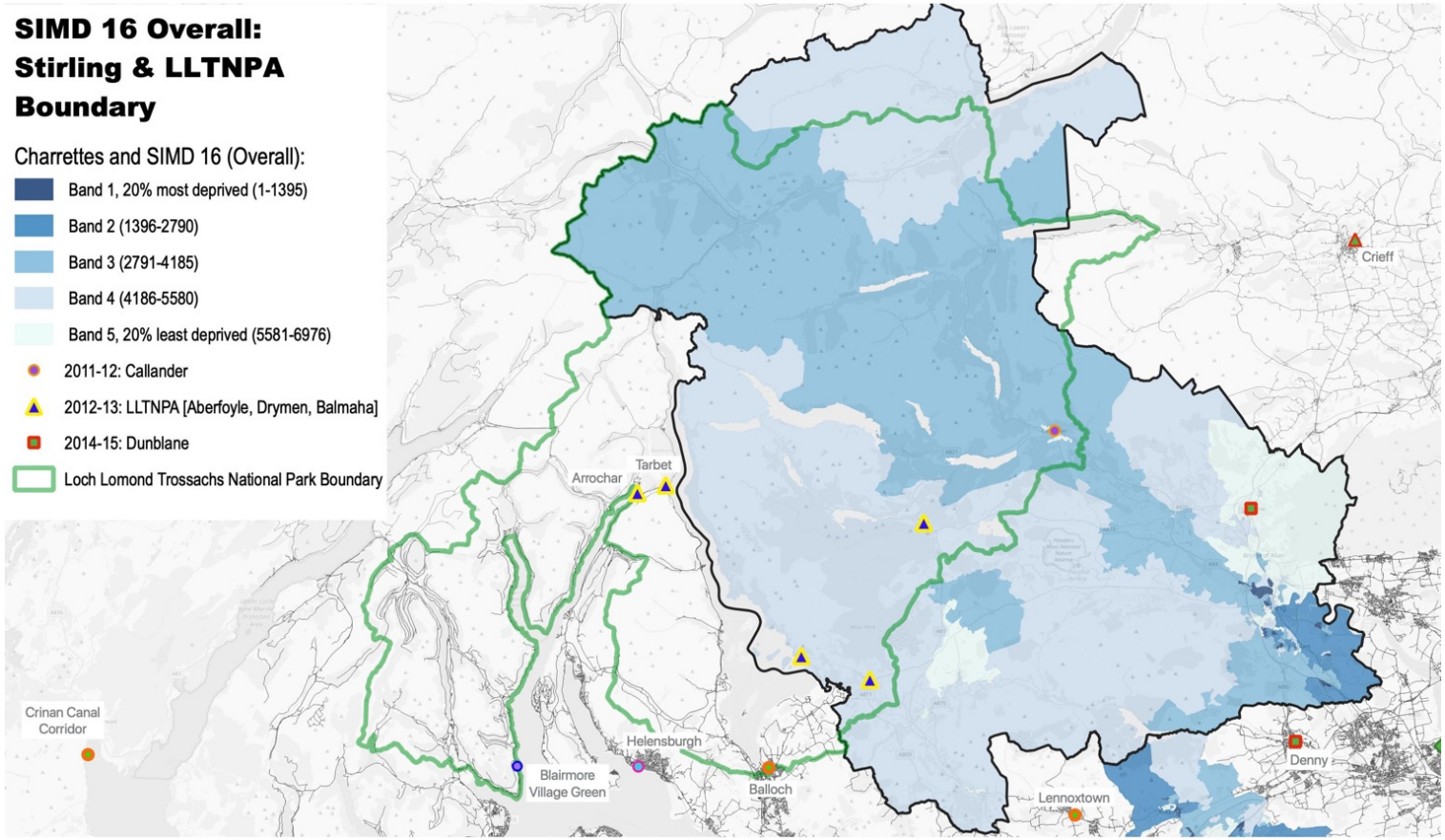
All charrettes have taken place in semi-rural or rural locations: accessible small towns (U/R 3) Callander and Dunblane; accessible rural communities (U/R 5) Drymen and Balmaha; and the remote rural Aberfoyle (U/R 6). Rural settlements typically have fewer people living in areas evidencing deprivation compared to urban areas (Scottish Government, 2016d). Project mapping shows areas with the worst SIMD 16 (Overall) outcomes are in and around Stirling city which is at the heart of the authority's only U/R 2 conurbation.

In total, Stirling has 14% Local Share of Scotland's 20% most deprived datazones; two, ranked 81 and 102, are among Scotland's 5% most deprived. Ten of Stirling's fourteen first quintile datazones are found north of the city centre at the top of the town, in Raploch and Cornton. South of city centre a second, third and fourth vigintile datazone can be found in Borestone, Broomridge and Hillpark. The remaining four first quintile datazones place in accessible rural communities (U/R 5) Plean, Cowie and Fallin. Neither of the authority's three CMP projects worked within these communities.

	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Callander			✓				No. Callander falls into datazones in the third and fifth quintile.
Drymen, Balmaha and Aberfoyle					✓	✓	No. All three communities fall into datazones in the fourth quintile.

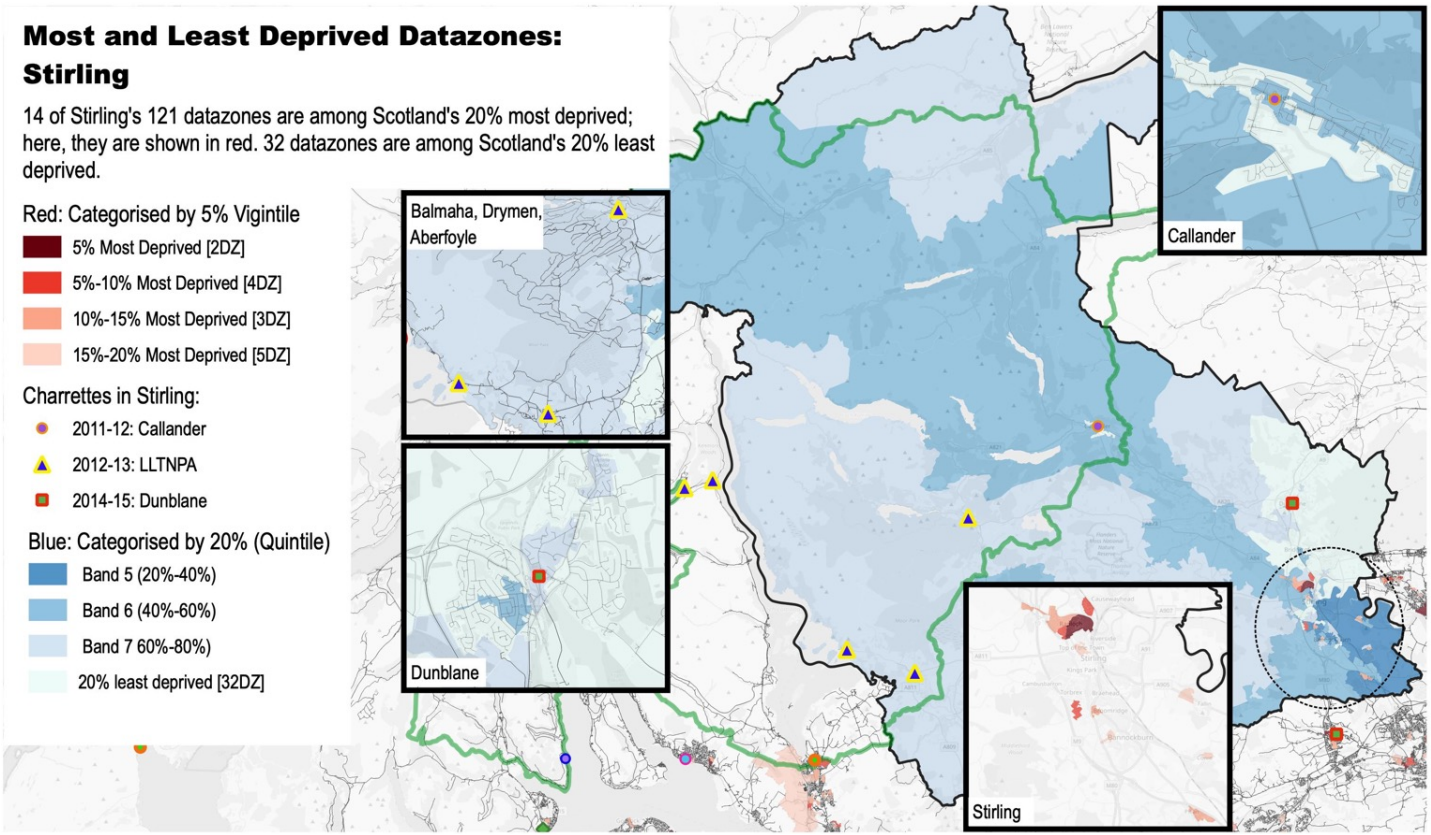
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Dunblane			✓				No. Dunblane is largely characterised by fourth and fifth quintile datazones with one falling into the third quintile.

AppxB_Table 12 Stirling Signs of deprivation according to SIMD 16



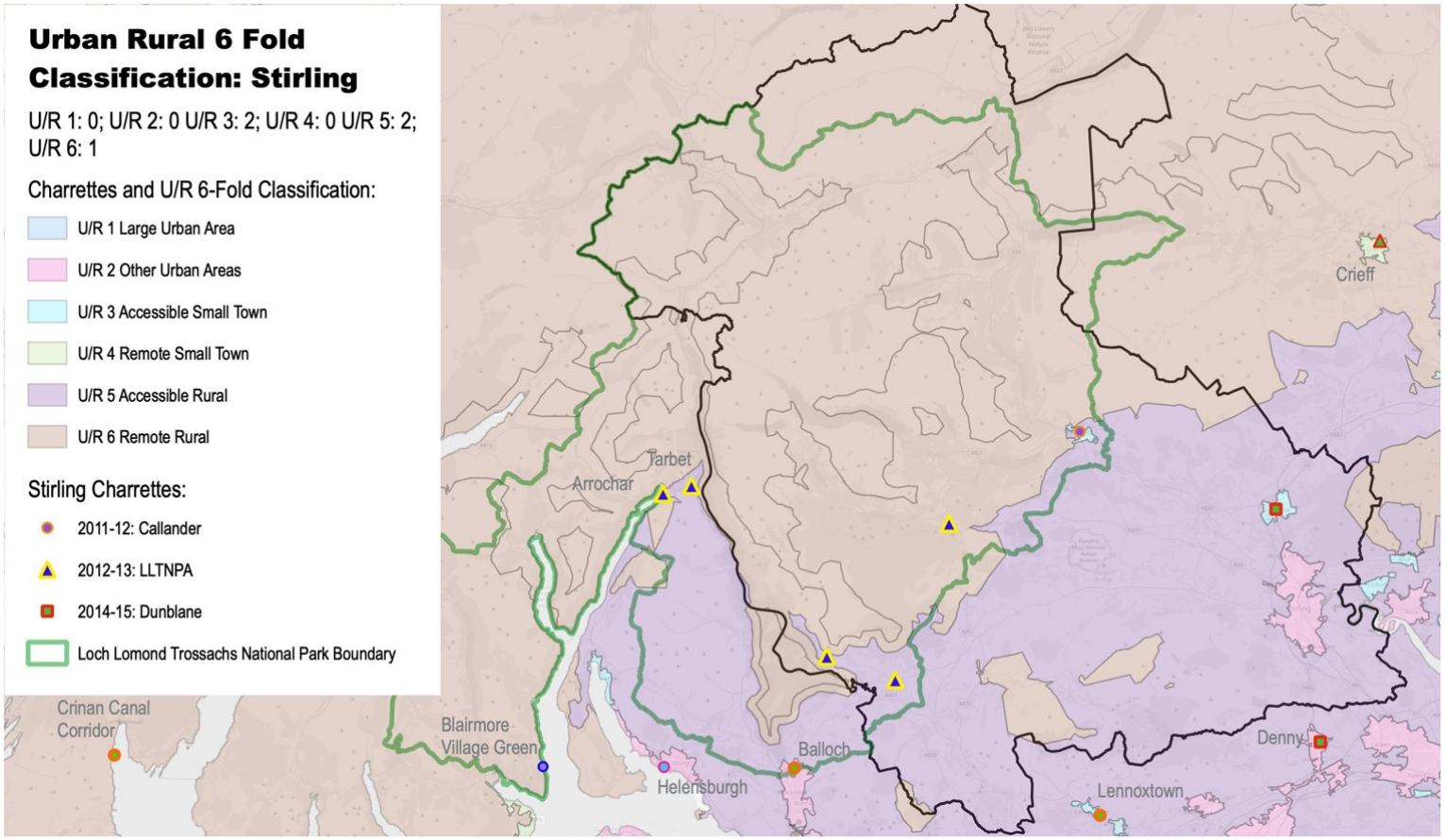
Stirling & LLTNPA Area Scale 1: 790000.

AppxB_Figure 78: Stirling & LLTNPA Area



Callander (scale 1: 100000); Drymen, Aberfoyle & Balmaha LLTNPA (scale 1: 600000); and Dunblane (scale 1: 120000). Stirling area scale 1: 135000.

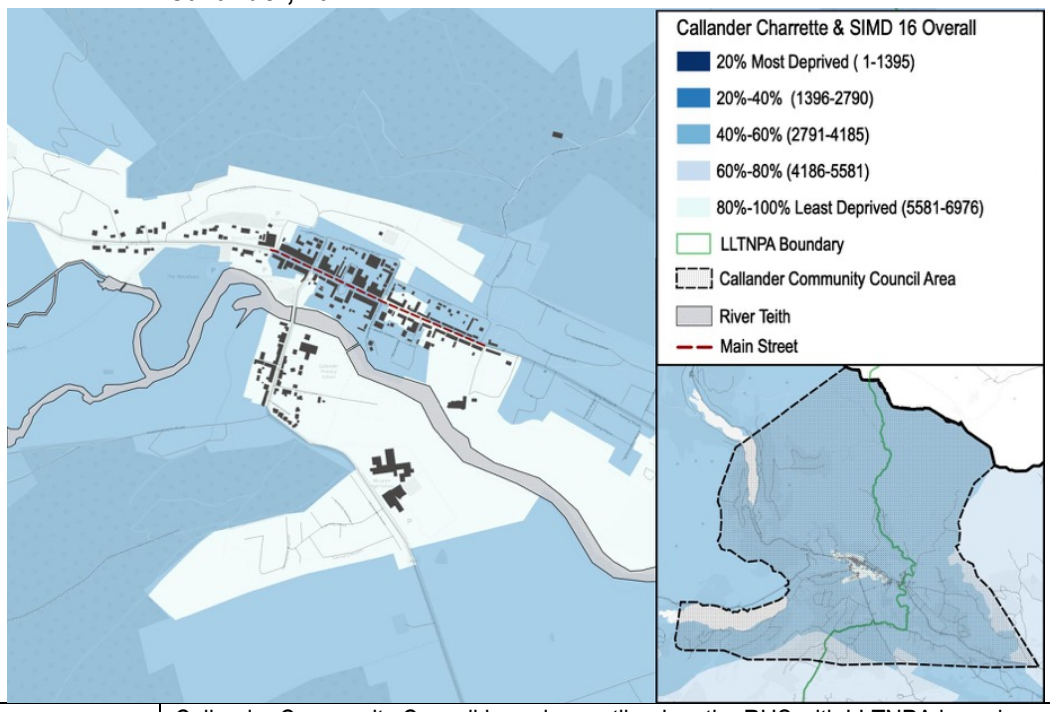
AppxB_Figure 79: Stirling's most & least deprived



Stirling Urban / Rural 6-Fold Classification. Scale 1: 790000

AppxB_Figure 80: Stirling Urban / Rural 6-Fold Classification

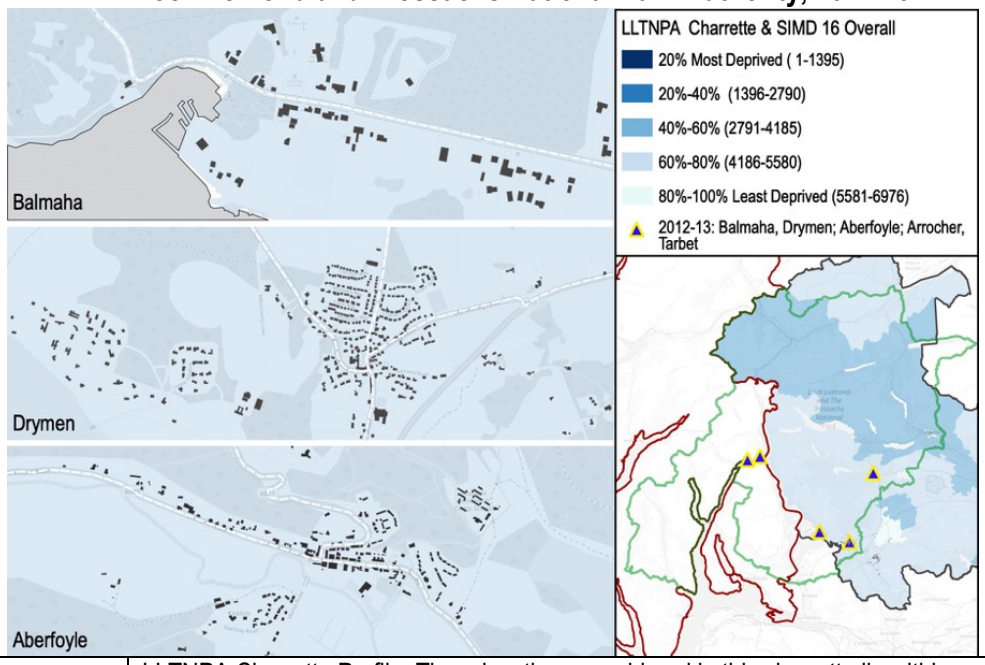
B.1.12.1 Callander, 2011-12



Description	Callander Community Council boundary outlined on the RHS with LLTNPA boundary marked in green. Callander, although within Stirling's local authority boundary, is also part of the Loch Lomond & the Trossachs National Park Planning Authority. LHS Scale 1:35000. RHS Scale 1: 520000
Client	The Callander Partnership (comprised of Loch Lomond & the Trossachs National Park, Stirling Council, The Callander Community Council and The Callander Community Development Trust).
Design Team	BRE (lead); Parsons Brinckerhoff, 7N Architects (subconsultants); Jura Consultants, Roger Tyme & Partners, Simpson and Brown Architects and an invited guest (support role).
Urban / Rural:	Accessible small town, U/R 3.
Study Area:	Callander i.e., a rural town with approximately 3,400 inhabitants (2011).
Focus:	Acknowledging Callander's 'active community', there was a recognised need for coordinated action and a shared vision for Callander's development and future. The output presents a vision comprising ten principles, a masterplan, growth strategy and delivery recommendations.
Planning Relation:	Callander's charrette output is intended to inform 'future agency strategies and local Community Action Plans'. LLTNPA adopted their Local Plan (2010-2015) in December 2011.
Post Project:	Callander has received substantial funding awards to progress some of their charrette-identified projects (e.g., Callander's Landscape project received £1.43 million from Heritage Lottery, 2015).
Format:	Pre-charrette community questionnaire distributed to understand local priorities; subsequently, a five-day charrette event in Callander Youth Partnership premises (19th – 23rd November 2011). Activities included presentations / speakers, visioning workshops, themed workshops (e.g., economy & tourism, built environment), technical & targeted meetings / workshops (e.g., technical meeting, youth session), open discussions and closing event with ministerial address.
References:	(BRE et al., 2011; Callander's Lanscape, n.d.; Jones, 2015)

AppxB_Figure 81: Callander Community Council

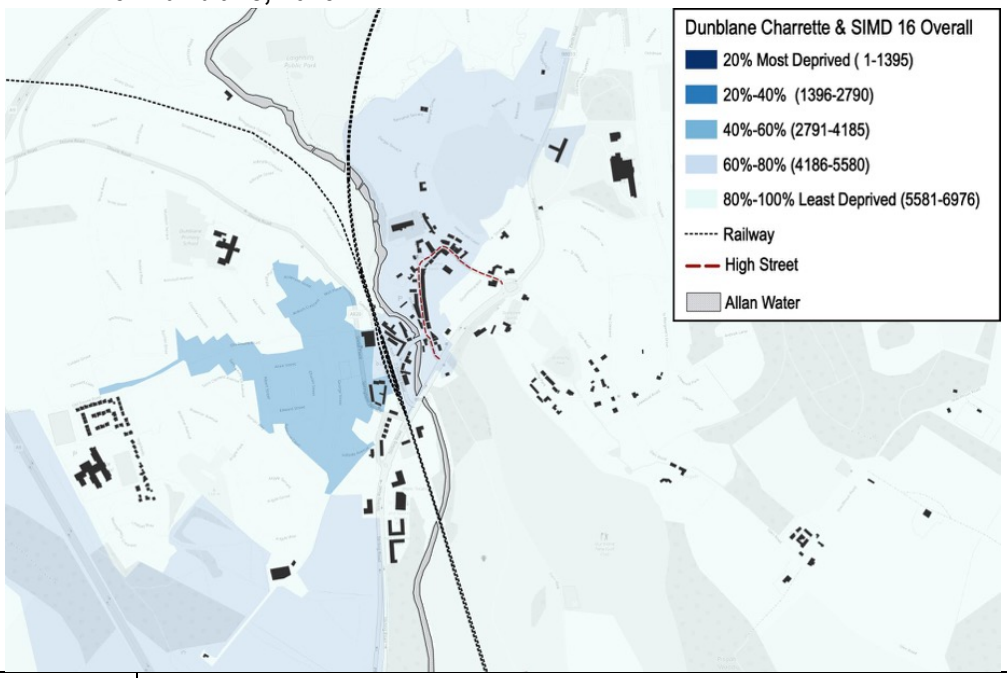
B.1.12.2 Loch Lomond and Trossachs National Park Authority, 2012-13



Description	LLTNPA Charrette Profile. Three locations considered in this charrette lie within Stirling local authority boundary, shown above with primary routes highlighted in white. Arrochar and Tarbet, part of the same LLTNPA charrette, lie within Argyll & Bute local authority boundary. LLTNPA boundary shown in green; Stirling boundary in black; Argyll & Bute in red. Balmaha scale 1: 20000; Drymen scale 1: 50000; Aberfoyle scale 1: 45000; and RHS scale 1: 2000000.
Client	Loch Lomond and the Trossachs National Park Planning Authority.
Design Team	7N Architects (lead); Jura Consultants, DPT Urban Design, BRE and Parsons Brinkerhoff (subconsultants).
Urban / Rural:	Rural; settlements (and LLTNPA boundary) cover accessible rural (U/R 5) and remote rural (U/R 6) areas.
Study Area:	Two scales: park-wide and settlement-wide strategies. Settlements with 'potential for development' were chosen as focus areas, these include: Drymen/Balmaha; Aberfoyle; Arrochar/Tarbet/ Succoth and Tyndrum, which are spread between Stirling and Argyll & Bute local authorities. The CT also wanted to consider a park-wide strategy.
Focus:	Produce design proposals for the five settlements establishing 'common, long-term, visions, strategies and key initiatives' for the communities' future development. The output includes drawn proposals, sketches and possible project ideas.
Planning Relation:	The charrette had a role within LDP development; the objective was to 'integrate design and consultation from the outset of the Local Development Plan'. Proposals and identified initiatives were to contribute to the Main Issues Report (i.e., one of the earlier stages in LDP development). Additionally, some settlements were updating their Community Action Plan, which the charrette process informed.
Post Project:	--
Format:	Across eight locations the charrette held a launch session (4th February 2013), series of fact-finding events (8th – 10th March 2013), feedback events (23rd – 26th March 2013) and a public exhibition over a weekend (27th – 28th March 2013). Activities / methods used include school and household survey, targeted youth / school workshops and a charrette blog.
References:	(7N Architects et al., 2013)

AppxB_Figure 82: LLTNPA Charrette Profile.

B.1.12.3 Dunblane, 2013-14



Description	Dunblane area profile. Scale 1:7000. Dunblane and its wider environs, such as Ashfield and Sunnylaw, do not have datazones within the 40% most deprived bracket. The area is largely characterised by datazones in the 60%-100% bracket.
Client	A joint commission by: Dunblane Community Council, Development Trust and Discover Dunblane. The charrette was led by a steering group comprised of: Dunblane Community Council, Dunblane Development Trust, Discover Dunblane and Stirling Council.
Design Team	PAS
Urban / Rural:	Accessible small town, U/R 3.
Study Area:	Charrette did not exclusively focus on Dunblane's town centre (as defined in Stirling's LDP 2014); the charrette also considered Dunblane's wider environs.
Focus:	Charrette aimed to include a shared vision, community action plan supported by a spatial strategy, areas identified for investment / development and opportunities for community asset transfer mapped. The output presents five principles that were used to develop a spatial strategy, articulate a twenty-year vison and develop twenty specific actions / proposals.
Planning Relation:	Charrette to inform early stages of LDP development: Stirling Council published MIR in 2015, which referenced the charrette findings. The charrette output anticipated its findings could inform the (then) upcoming Proposed Plan (due 2016) and could be considered a 'material consideration in guiding planning application discussions'.
Post Project:	The report suggests some of the twenty actions / proposals identified were being progressed at time of report-writing.
Format:	Model: Charrette*Plus*. Charrette initiation (December 2014) included briefing / awareness raising meetings; pre-charrette included publicity campaign, survey, two youth workshops and eight themed / agenda-setting workshops; charrette held 26th-29th April in Dunblane Centre with drop-in sessions and six themed facilitated workshops concluding an exhibition / review session; post-charrette and follow-up included continuous communications / updates and review session in September 2015.
References:	(PAS, 2015a)

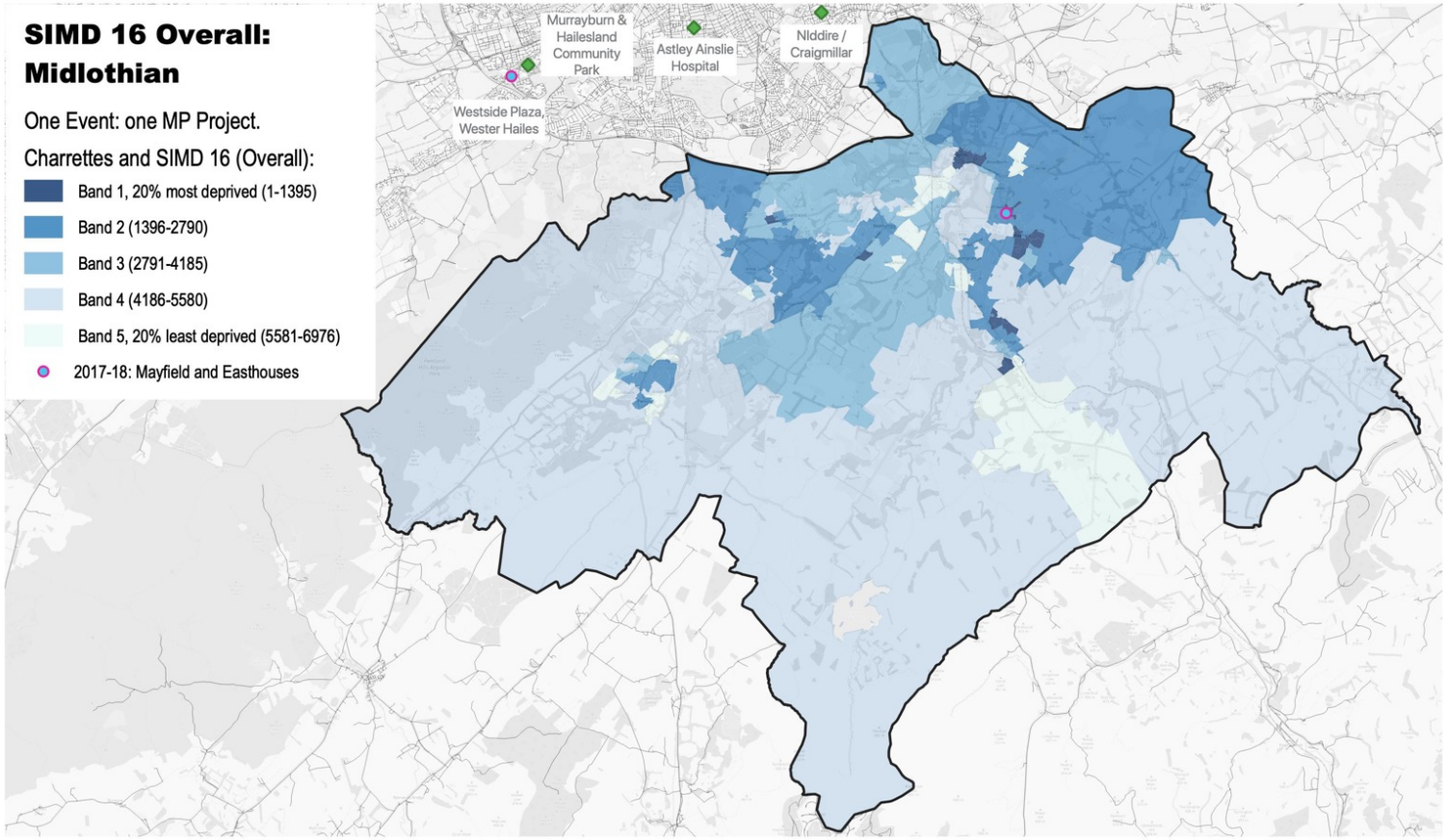
AppxB_Figure 83: Dunblane area profile

B.1.13 Midlothian

McSense Ltd, on behalf of 'In It Together' partnership, was the lead project proposer in what has been the authority's only project from the CMP, AI and MP initiative. Commissioned in 2017-18, the study area includes five first quintile datazones from the 10%-15% and 15%-20% vigintiles. Areas with worse or similarly poor SIMD 16 (Overall) outcomes include Dalkeith (north of Mayfield and Easthouses) with the authority's only datazone in the first vigintile (S01011012); Straiton / Loanhead; North and South Gorebridge; and South Bonnyrigg.

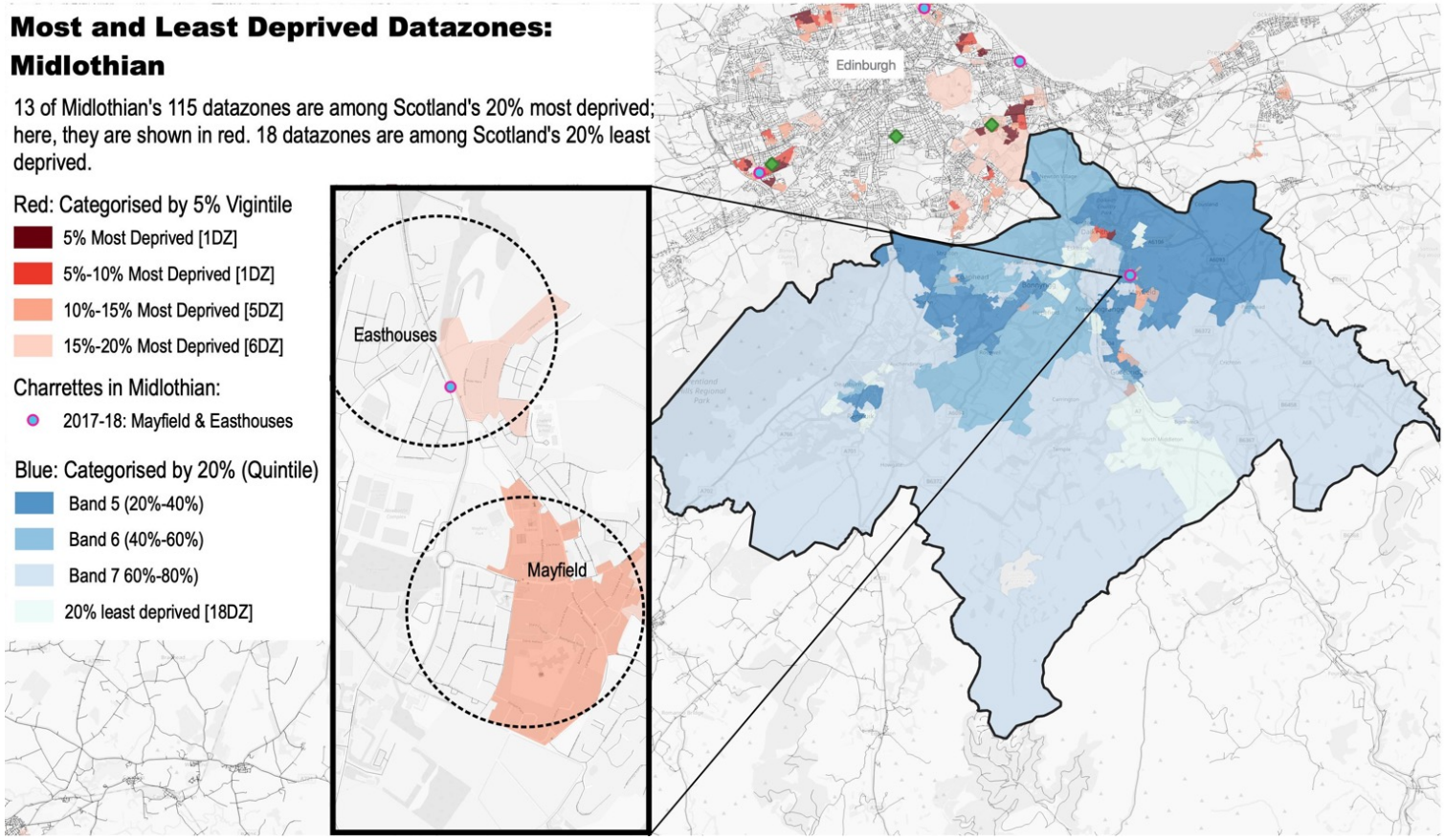
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Mayfield & Easthouses		✓					Yes. The study area is one of five communities in Midlothian with signs of inequality. The two communities combined have five first quintile datazones. Dalkeith is the only area within the authority to have a datazone in the first vigintile.

AppxB_Table 13 Midlothian Signs of Deprivation



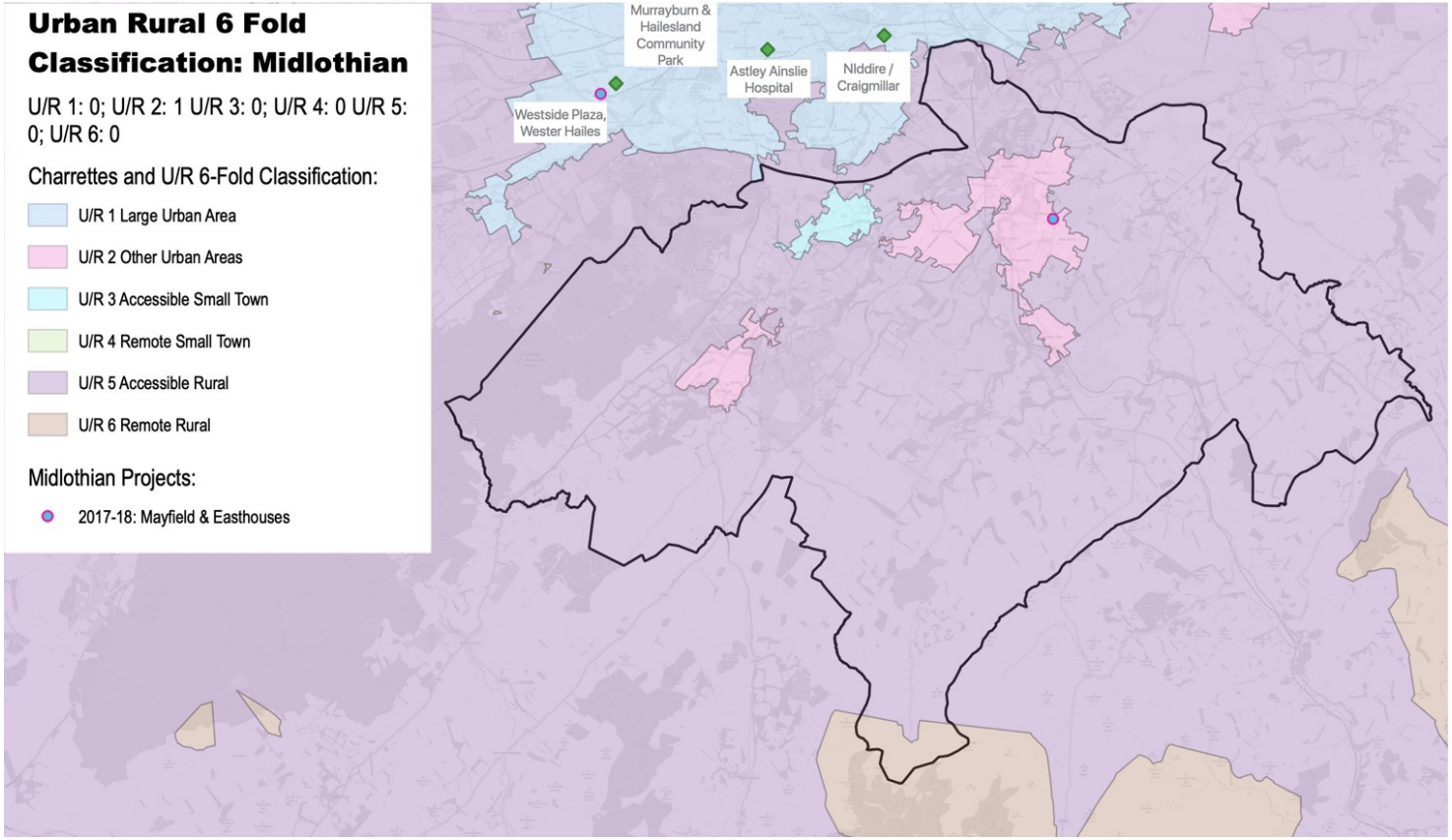
Scale:1:40000

AppxB_Figure 84: Midlothian's datazones mapped



RHS Scale: 1: 39000; LHS Scale 1: 400000

AppxB_Figure 85: Midlothian's most and least deprived datazones



Scale 1: 330000

AppxB_Figure 86: Midlothian Urban / Rural 6-Fold Classification

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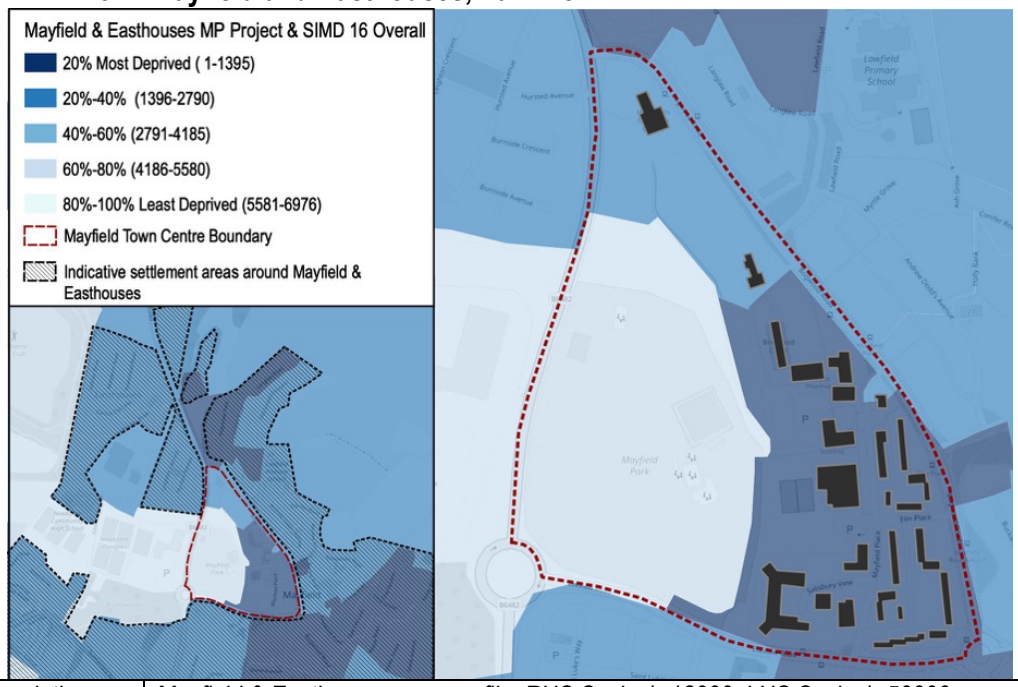
B.1.13.1 Mayfield and Easthouses, 2017-18



Description	Mayfield & Easthouses area profile. RHS Scale 1: 12000; LHS Scala 1: 50000
Client	McSence Ltd on behalf of In It Together Partnership (IIT) because IIT was formally un-constituted at time of MP application. IIT comprise Mayfield & Easthouses Development Trust (MAEDT), Mayfield & Easthouses Youth 2000 Project (Y2K), Mayfield & Easthouses Parish Church, Mayfield & Easthouses Community Council and The McSence Group. Edinburgh & Lothians Health Foundation and McSense Ltd. provided financial support.
Design Team	STAR Development Group and Camerons Architects; the former produced a community engagement report and the latter a regeneration proposal constituting MP project's two outputs.
Urban / Rural:	--
Study Area:	Mayfield and Easthouses with particular focus on Mayfield (i.e., the newer of the two communities) town centre regeneration. A combined population of approximately 8,000 people.
Focus:	Earlier community-led work that produced the Mayfield and Easthouses Community Futures Neighbourhood Plan (2012-2017) identified urgent town centre improvements; in response, the MP project aimed to deliver 'an options appraisal for regeneration of the town centre'.
Planning Relation:	Midlothian Council are described as supportive of IIT. They are keen to be kept informed on community consultation findings and included in future discussions regarding business growth and Mayfield Town Centre regeneration.
Post Project:	This MP project is not starting from scratch but developed from earlier community-led works and outputs; the expectation is this MP project will 'provide the rationale and catalyst for a' comprehensive Mayfield Town centre masterplan.
Format:	Two community consultations organised (27th March & 17th April), activities: a themed workshop, which evolved into a 'continuous dynamic drop-in event' session and a second drop-in exhibition and open discussion session. Publicity via posters, flyers, social media, online survey, direct invites, hand-delivered letters and on-street engagement (24th March). Consultation report draws on earlier Place Standard work facilitated by Midlothian Council.
References:	(MP Respondent 15, personal communication, 2019).

AppxB_Figure 87: Mayfield & Easthouses area profile.

B.1.14 Argyll & Bute

The CMP, AI and MP initiative has been popular with community groups, public sector bodies and the relevant planning and service authority in Argyll & Bute with a total of 7.5 projects. With Helensburgh as the only 'other urban area' (U/R 2), the majority place in semi-rural or rural communities. The first charrette commissioned by LLTNPA straddled two local authority boundaries: Argyll & Bute and Stirling. Here, the CMP project considered accessible rural (U/R 5) and remote rural (U/R 6) communities Arrochar, Succoth and Tarbet. LLTNPA were involved in the local authority's second CMP commission as they partnered with Blairmore Village Trust, 2013-14, in another remote rural community (U/R 6). On a smaller scale to many projects mapped thus far, this charrette considered site development proposals in the advent of the local community acquiring site ownership. In 2015-16 two charrettes, with different CT compositions, focussed on the remote rural (U/R 6) island community of Tiree and a nine-mile long canal stretch between Crinan, Lochgilphead and Ardrishaig.

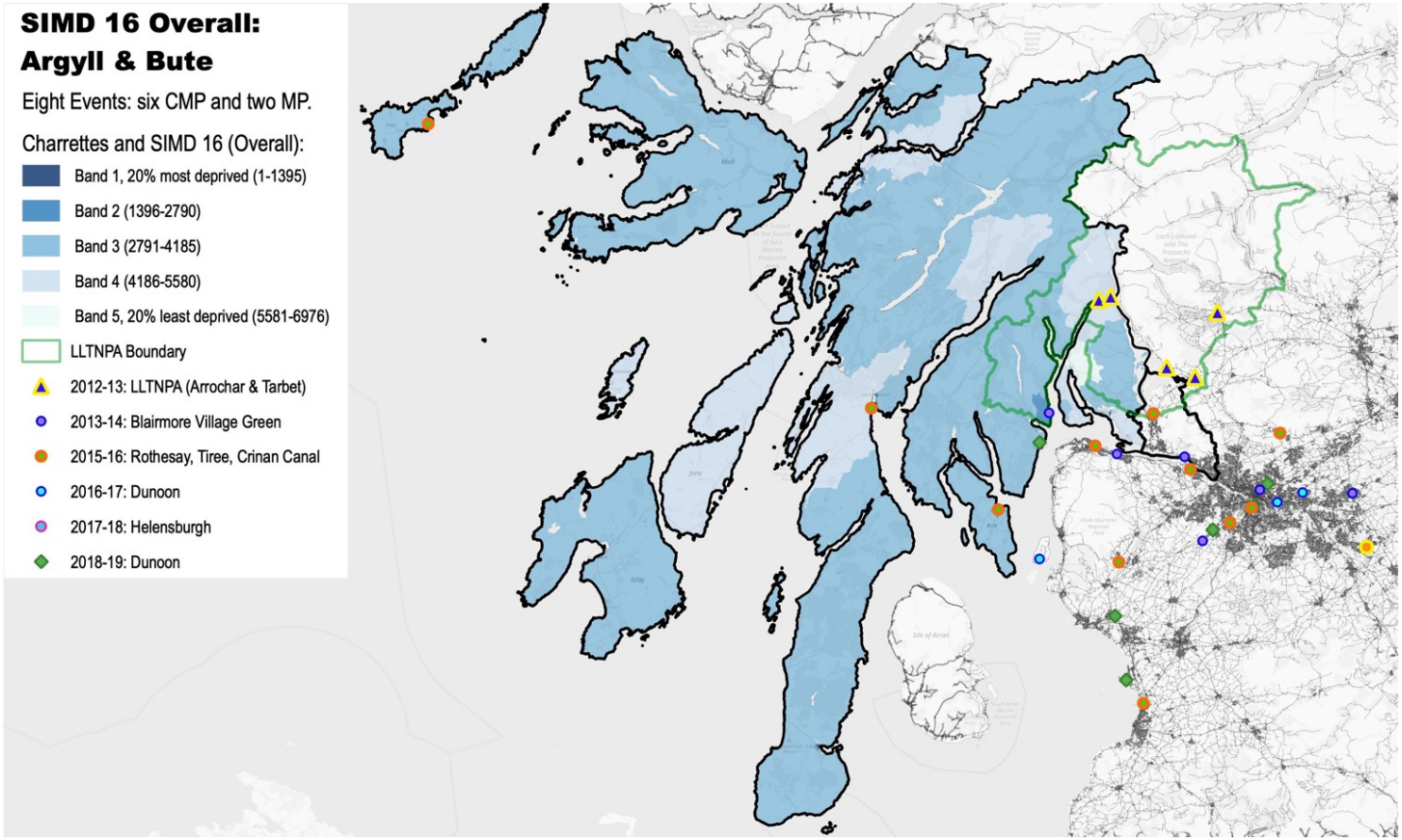
Projects also place in the authority's remote small towns (U/R 4) Rothesay and Dunoon. Both were part of SURF's Alliance for Action initiative and described as community-led projects with a wider ambition to either start or sustain a local, community organisation. Dunoon's Area Alliance received MP funding subsequent to SURF and local authority's charrette in 2016-17. More recently, Argyll & Bute Council commissioned an MP project in 2017-18 to develop a future vision for Helensburgh (U/R 2).

Three of these projects are found in areas with poorer SIMD 16 (Outcomes). With a 9% Local Share of Scotland's 20% most deprived, Argyll & Bute has eleven of its one hundred and twenty-five datazones in the first quintile. Datazones with the worst ranking are found in East Helensburgh, Rothesay and Dunoon. The former, Helensburgh, is home to the authority's only datazone in the 5% most deprived bracket. Other areas with signs of deprivation include Campbeltown (U/R 4) and Oban (U/R 4) and Hunters Quay (U/R 4).

	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
LLTNPA					✓	✓	No. Datazones place within the fourth quintile.
Blairmore						✓	No. Datazones place within the second quintile.
Rothesay				✓			Yes. Datazones in Rothesay's wider environs largely place in the third quintile. Within the more immediate study area datazones place within the first and second quintiles; one datazone in the 5%-10% most deprived vigintile (S01007346) and another in 10%-15% vigintile (S01007345).

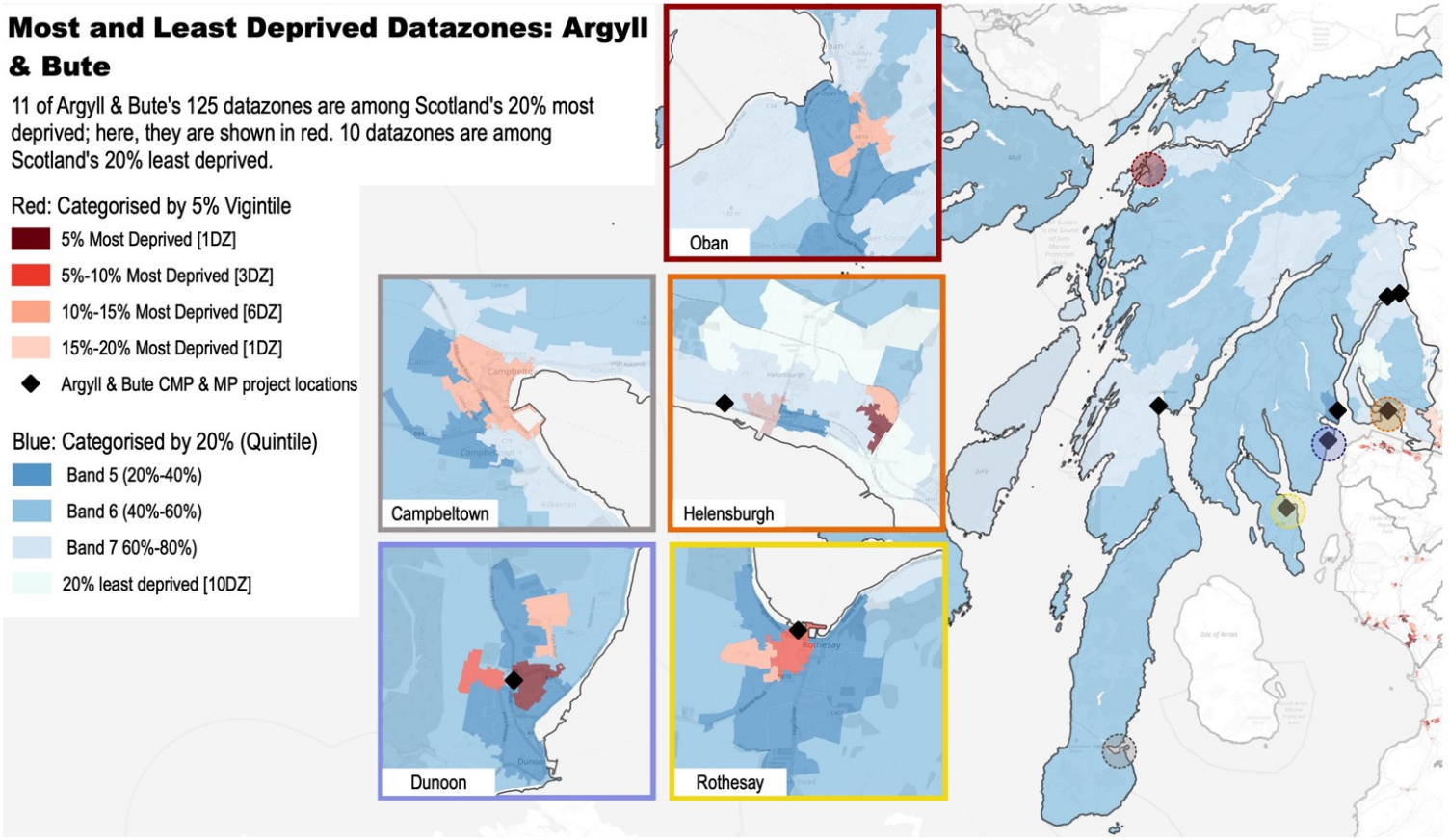
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Tiree						✓	No. The remote rural community falls into third quintile datazones.
Crinan Canal						✓	No. Crinan places within fourth quintile datazones; Lochgilphead has second and third quintile datazones; and Ardrishaig falls into third quintile datazones.
Dunoon				✓			Yes. Datazones in Dunoon's study area largely place in the second and first quintile. There is one datazones in the 5% vigintile (S01007366) and one 5%-10% vigintile (S01007368) and further north into Hunters Quay another in the 10%-15% vigintile (S01007364).
Helensburgh		✓					Yes. East and central Helensburgh have first quintile datazones: S01007399, ranked 223; S01007398, ranked 965; and S01007395, ranked 1259 in central Helensburgh.

AppxB_Table 14 Argyle & Bute Signs of deprivation according to SIMD 16



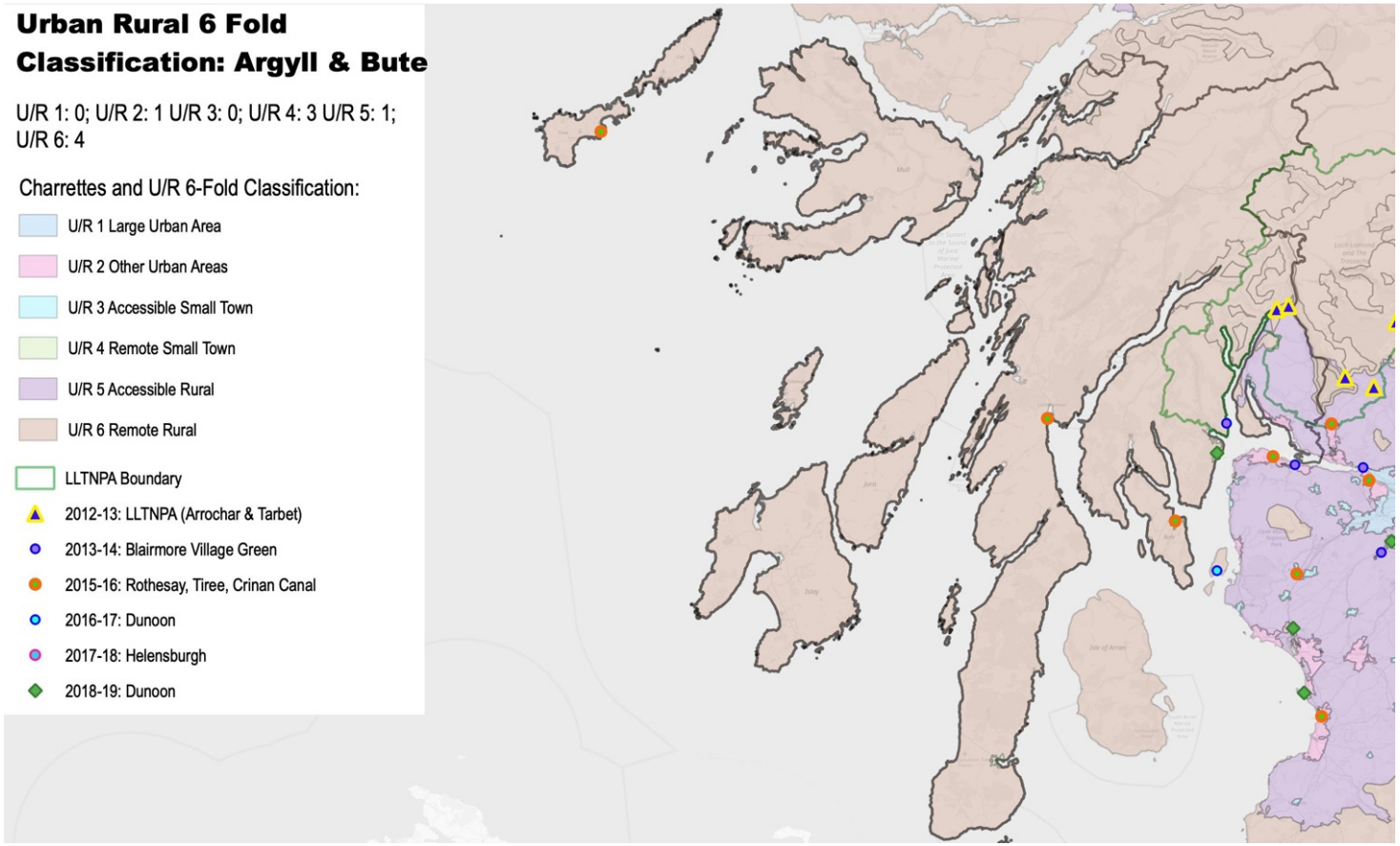
CMP, AI or MP projects within Argyll & Bute council boundary Scale 1:1850000

AppxB_Figure 88: Argyll & Bute's eight projects mapped



Campbeltown, Rothesay Oban [Scale 1: 90000]; Dunoon [Scale 1:100000]; and Helensburgh [Scale 1: 130000]

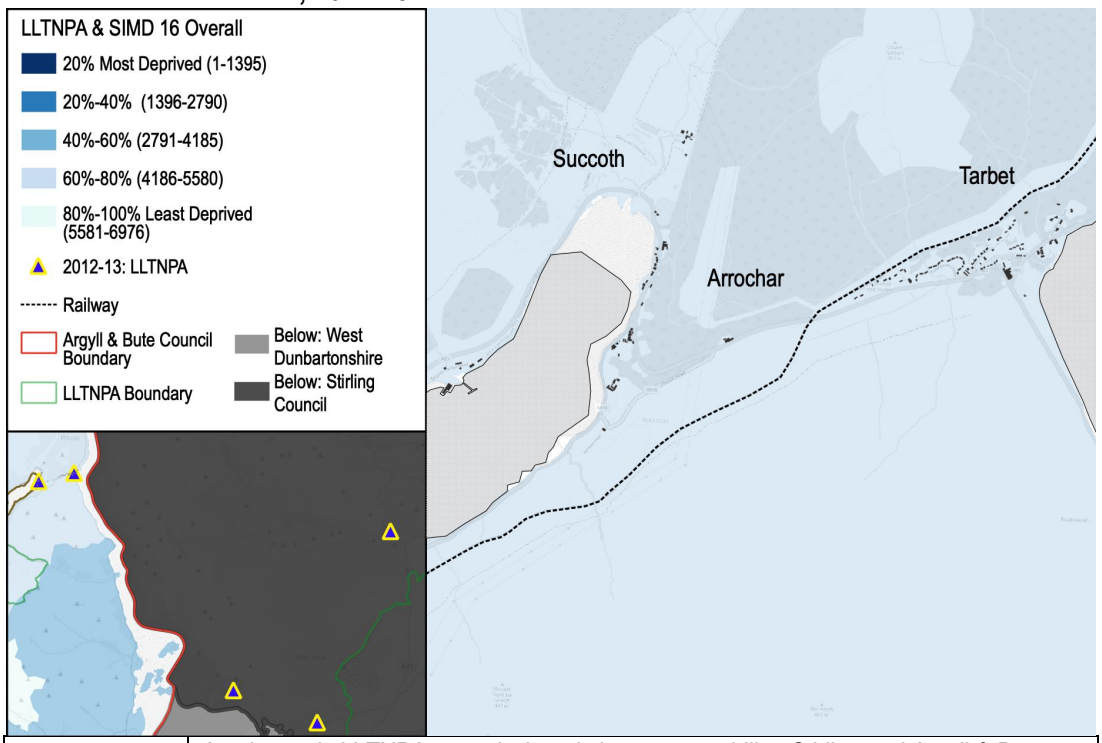
AppxB_Figure 89: Argyll & Bute most& least deprived datazones



Scale 1: 850000

AppxB_Figure 90: Argyll & Bute Urban / Rural 6-Fold Classification

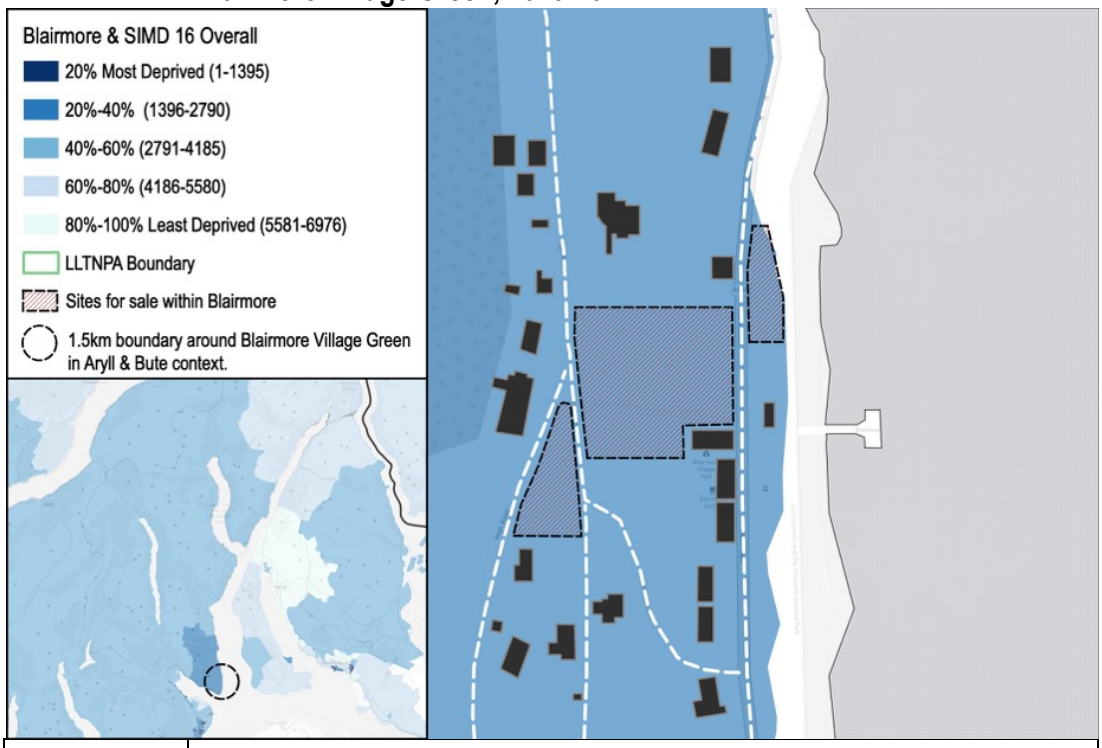
B.1.14.1 LLTNPA, 2012-13



Description	A polycentric LLTNPA-commissioned charrette straddling Stirling and Argyll & Bute council boundaries. Arrochar and Tarbet fall within the LLTNPA boundary and lie within Argyll & Bute's council boundary. LHS Scale 1: 880000; RHS Scale 1: 60000
Client	Loch Lomond and the Trossachs National Park Planning Authority.
Design Team	7N Architects (lead); Jura Consultants, DPT Urban Design, BRE and Parsons Brinkerhoff (subconsultants).
Urban / Rural:	Rural; settlements (and LLTNPA boundary) cover accessible rural (U/R 5) and remote rural (U/R 6) areas.
Study Area:	Two scales: park-wide and settlement-wide strategies. Settlements with 'potential for development' were chosen as focus areas, these include: Drymen/Balmaha; Aberfoyle; Arrochar/Tarbet/ Succoth and Tyndrum, which are spread between Stirling and Argyll & Bute local authorities. The CT also wanted to consider a park-wide strategy.
Focus:	Produce design proposals for the five settlements establishing 'common, long-term, visions, strategies and key initiatives' for the communities' future development. The output includes drawn proposals, sketches and possible project ideas.
Planning Relation:	The charrette had a role within LDP development; the objective was to 'integrate design and consultation from the outset of the Local Development Plan'. Proposals and identified initiatives were to contribute to the Main Issues Report (i.e., one of the earlier stages in LDP development). Additionally, some settlements were updating their Community Action Plan, which the charrette process informed.
Post Project:	--
Format:	Across eight locations the charrette held a launch session (4th February 2013), series of fact-finding events (8th – 10th March 2013), feedback events (23rd – 26th March 2013) and a public exhibition over a weekend (27th – 28th March 2013). Activities / methods used include school and household survey, targeted youth / school workshops and a charrette blog.
References:	(7N Architects et al., 2013)

AppxB_Figure 91: LLTNPA boundary

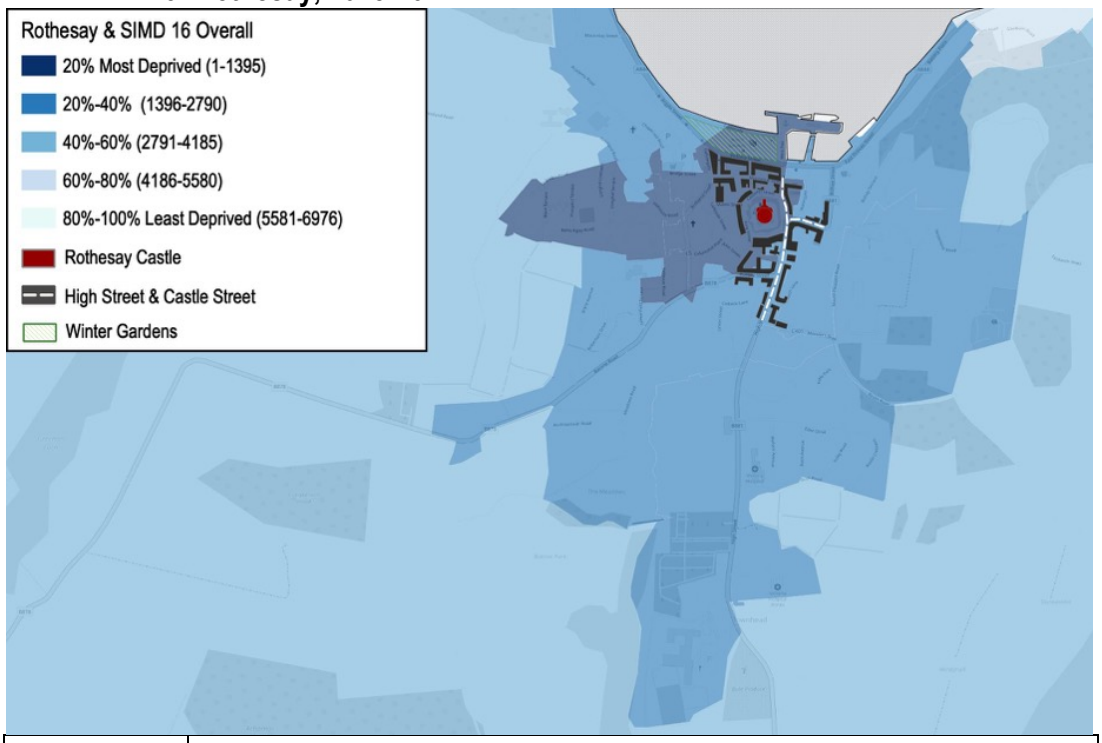
B.1.14.2 Blairmore Village Green, 2013-2014



Description	Blairmore Village Green charrette profile. RHS Scale 1: 4500; LHS Scale 1: 120000
Client	The Blairmore Village Trust and the Loch Lomond and the Trossachs National Park Authority
Design Team	7N Architects
Urban / Rural:	Accessible rural, U/R 5
Study Area:	Opportunity sites within Blairmore; landowners expressed intent to sell with community offered first refusal. Sites include: Shore Road site, Blairmore site and High Road Site.
Focus:	The charrette aimed to provide a 'forum for the village to discuss' the opportunity to bring the available sites into community ownership. The output includes a 'community consensus' on the site's future development in the form a 'strategic approach' to phased development.
Planning Relation:	Charrette findings 'will be promoted as part of the emerging Local Development Plan' and provide an outline from which further detailing, and a business case can be developed.
Post Project:	--
Format:	Three events from October 2013 – January 2014. Activities included an initial workshop themed 'what does Blairmore need?' on October 26th, 2013; followed by a drop-in / exhibition showcasing four indicative proposals developed by DT; and a final workshop on 18th January 2014 to agree on a preferred proposal.
References:	(7N Architects, 2014)

AppxB_Figure 92: Blairmore Village Green charrette profile

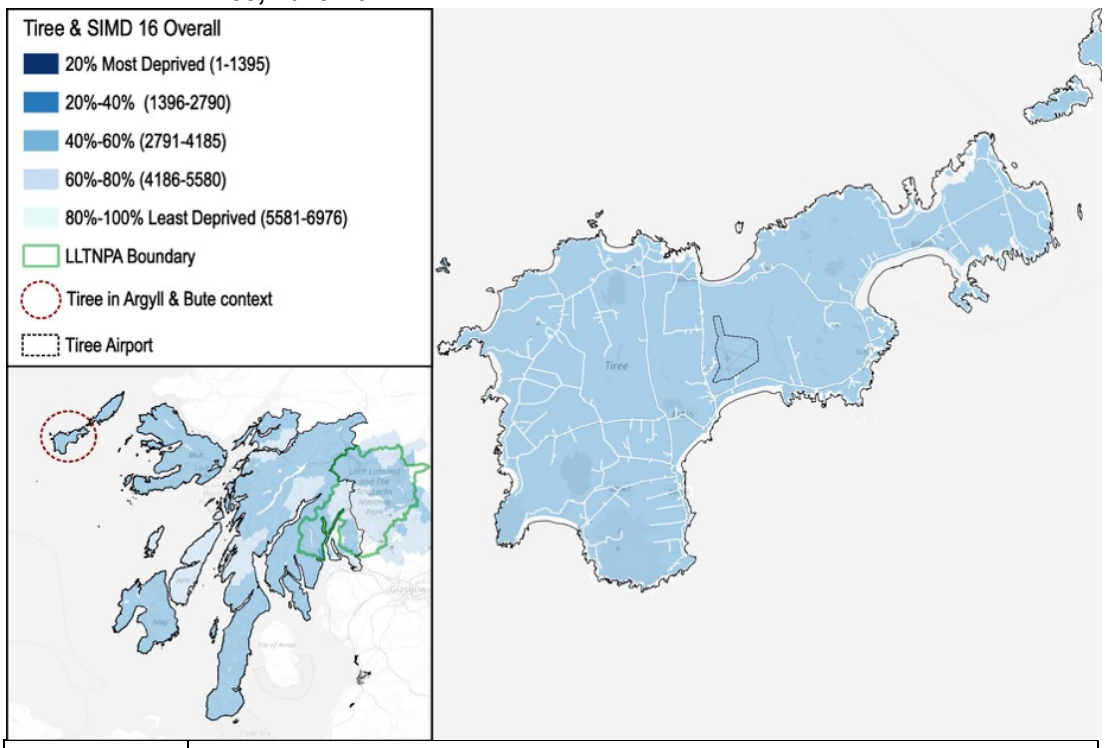
B.1.14.3 Rothesay, 2015-16



Description	Rothesay area profile. Scale 1: 35000
Client	Bute Island Alliance i.e., a newly formed group emerging from SURF's Alliance for Action initiative.
Design Team	Icecream Architecture (lead); Nick Wright Planning and Willie Miller Urban Design (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Rothesay town centre; however, it recognised Rothesay and Bute's interdependent relationship.
Focus:	Charrette findings are presented as an active masterplan, underpinned by 'Key Drivers, Guiding Principles, the Spatial Strategy and suggested Actions'.
Planning Relation:	The charrette output is to be used by any individual / organisation working to better Rothesay / Bute. The findings should guide 'community-led activity and external investment or support'.
Post-Charrette:	The DT successfully secured £5,000 (from Caledonian MacBrayne) to support post-charrette project delivery. The award had not been allocated hence further details unreported in charrette output.
Format:	Pre-charrette (January – February 2016), activities: launch session, on-street engagement with charrette cart, targeted youth / school workshops, publicity campaign (flyers, badges, social & online media, town banner), community & stakeholder meetings and one-to-one business meetings. Charrette four consecutive days (24th-27th February), activities: themed workshops and walkabout with land mapping exercise.
References:	(Icecream Architecture et al., 2016)

AppxB_Figure 93: Rothesay area profile.

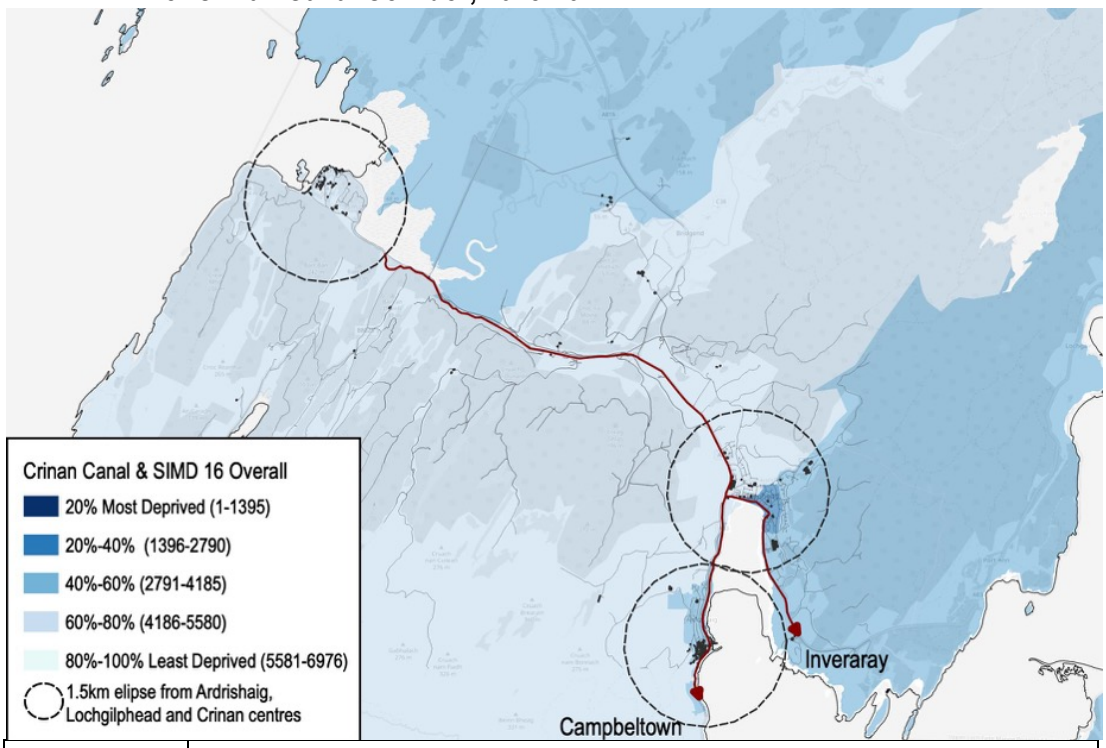
B.1.14.4 Tiree, 2015-16



Description	Tiree area profile. LHS Scale 1: 6000000; RHS Scale 1: 360000
Client	Tiree Community Development Trust with financial backing from Argyll & Bute Council (£5,000), Highlands & Islands Enterprise (£5,000) and The Trust (£5,000)
Design Team	Ironside Farrar Ltd were selected following their earlier work on the Tiree Onshore Scenario Mapping Project.
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Tiree; a small island approximately twelve miles long and five miles wide with an estimated population of 620. Tiree falls within Argyll & Bute Local Authority.
Focus:	The charrette aimed to update Tiree's (2004) Socio-Economic Study and deliver a masterplan, describing community aspirations and address the island's declining population.
Planning Relation:	The two outputs (i.e., socio-economic study and masterplan) contributed to the island's revised Community Growth Plan 2017-2020.
Post Project:	Tiree Community Development Trust published 'Charrette Outcome Meeting Notes' twelve months post charrette describing progress on deliverables.
Format:	Two-staged charrette: phase one, 12th – 13th February 2016 with themed workshops, coffee & networking, drop-in / review session and an individual and business tailored digital survey; phase two, targeted school workshop 9th March 2016, themed workshop with target groups and update drop-in session 11th – 12th March 2016. Two post-charrette follow-up public meetings; first 26th October 2016, second 22nd March 2017.
References:	(EKOS, 2016; Ironside Farrar Ltd, 2016 ; Tiree Community Council, 2017; Tireetrust, 2016a, 2016b, 2017)

AppxB_Figure 94: Tiree area profile.

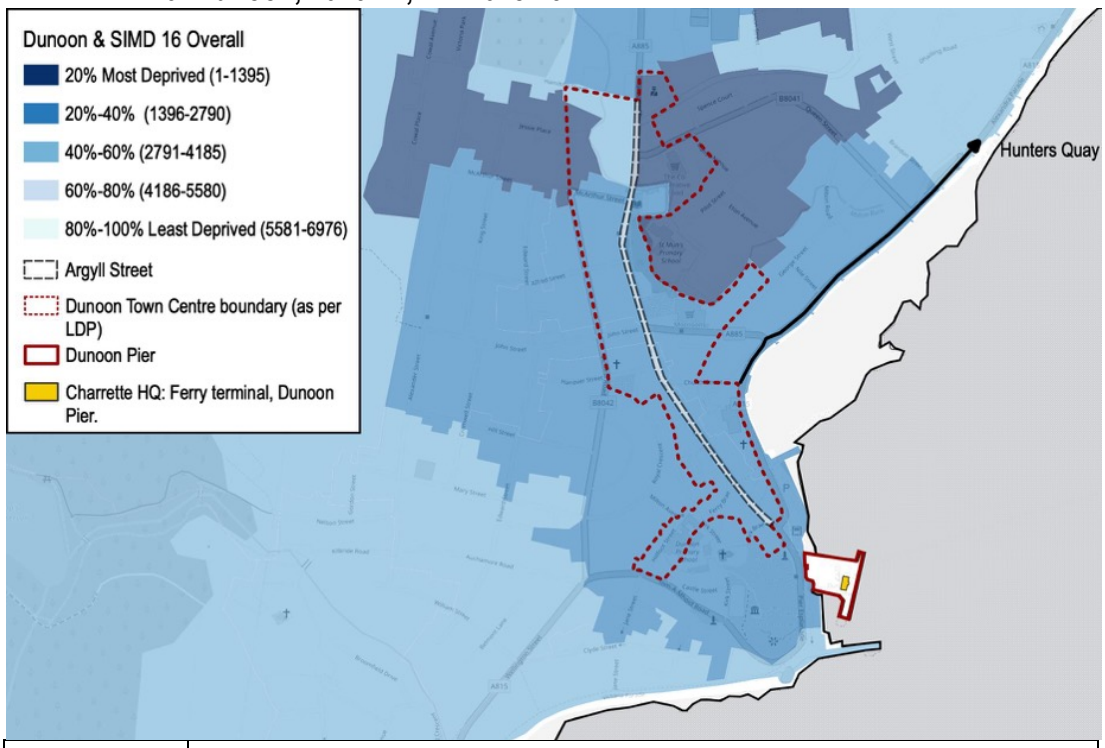
B.1.14.5 Crinan Canal Corridor, 2015-16



Description	Crinan Canal Corridor area profile. Scale 1: 230000
Client	Scottish Canals and Argyll & Bute Council commissioned the charrette in agreement with community councils and trusts in the Lochgilphead and Ardrishaig area
Design Team	Oliver Chapman Architects (lead); Harrison Stevens, Kevin Murray Associates, Ekosgen, McIlhagger Associates, DM Hall, Morham & Brotchie and WAVE*particle* (subconsultants).
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Crinan Canal: a nine-mile long site, recognised as a Scheduled Monument that falls within the Mid Argyll initiative area. The site is an important waterway with 'local, regional and national opportunities' for economic growth. The charrette paid particular attention to Lochgilphead and Ardrishaig communities.
Focus:	The charrette aimed to deliver a shared vision for the Crinan Canal corridor and create 'costed, feasible, design-led community action plan' for Lochgilphead and Ardrishaig.
Planning Relation:	Outputs are intended to support future regeneration activities, inform the next LDP and the (then) on-going MAi plan (Mid Argyll initiative).
Post Project:	--
Format:	Pre-charrette activities: publicity campaign (i.e., social media presence, dedicated website, email campaign, press releases, photography and filmmaking crew, flyers, banners and survey), targeted school workshops and on-street engagement. Four-day charrette event (27th – 30th April 2016), activities: presentations, walkabouts, public workshops, technical stakeholder workshops, Pecha-Kucha inspired session, studio drop-in and exhibition.
References:	(Oliver Chapman Architects et al., 2016a, 2016b, 2016 ; Unknown, 2016)

AppxB_Figure 95: Crinan Canal Corridor area profile

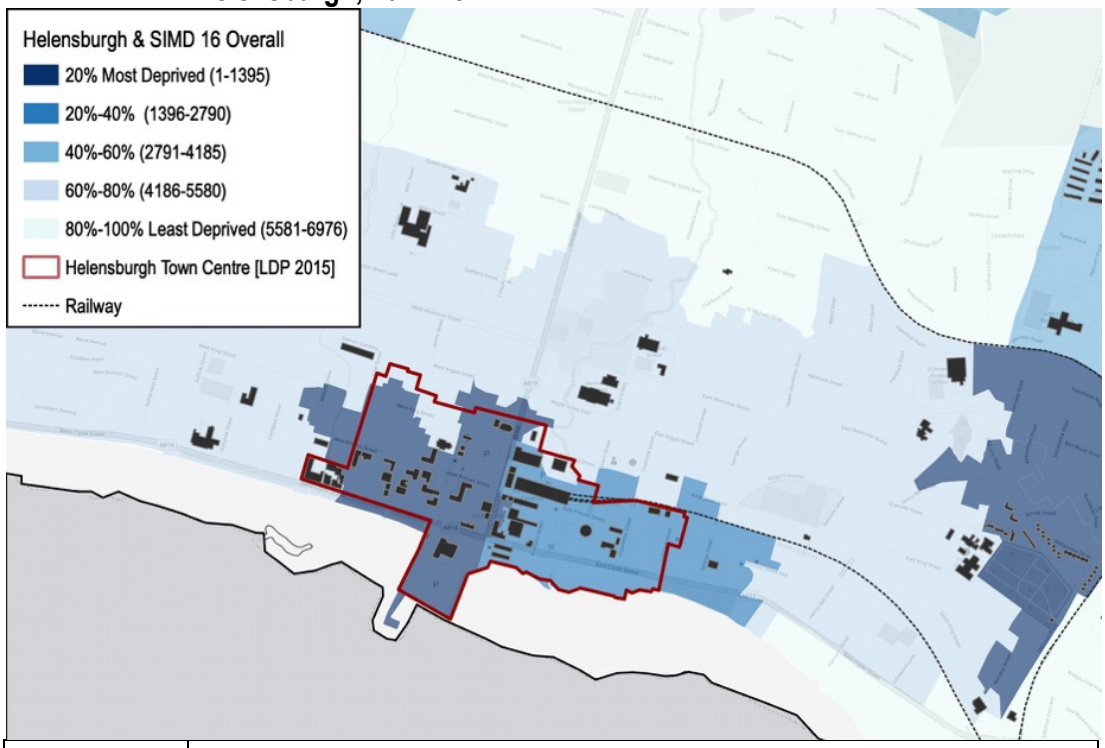
B.1.14.6 Dunoon, 2016-17; MP 2018-19



Description	Dunoon's area profile. Scale 1: 25000
Client	Supported by a 'community steering group' and Argyll & Bute Council, SURF (Scotland's Urban Regeneration Forum) commissioned the charrette.
Design Team	Austin-Smith:Lord (lead); Douglas Wheeler Associates, WAVE*particle*, SKS Scotland, Transport Planning Ltd and Ryden (subconsultants); and local artist.
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Areas covered in outputs cover 'centre of Dunoon, including its historical core and extending as far as the East and West Bays'.
Focus:	The charrette aimed to create a shared, long-term vision for Dunoon's town centre; a development framework; a masterplan with short, medium and long-term projects; and an action plan to assist delivery.
Planning Relation:	The charrette report recommends Argyll & Bute Council acknowledge its outputs in the next iteration of the authority's LDP2 and other relevant policies.
Post Project:	SURF intended to establish an Alliance for Action group that would be remain proactive post-charrette assisting in the proposed deliverables. Dunoon Area Alliance received MP funding in 2018-19.
Format:	Pre-charrette activities included publicity campaign (i.e., social media presence, a virtual post board, press releases, e-flyers), targeted school workshops and on-street engagement. Three-day charrette event, activities: presentations, themed workshops, Pecha-Kucha inspired session, stakeholder working lunch and design drop-in studio. A final report-back and exhibition session was held on 20th April 2017.
References:	(Austin-Smith:Lord et al., 2017)

AppxB_Figure 96: Dunoon's area profile

B.1.14.7 Helensburgh, 2017-18



Description	Helensburgh's area profile. Scale 1: 30000
Client	Argyll & Bute Council
Design Team	Icecream Architecture and Willie Miller Urban Design
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Helensburgh, whole town.
Focus:	To deliver a 'community endorsed Vision for Helensburgh', which can be used by any organisation for project inspiration. The output should provide an evidence base for project support and a 'starting point for developing plans'.
Planning Relation:	To establish a 'strong connection between grassroots and high-level decision-making' the MP outputs are expected to inform 'any change, strategic decision-making, and the forthcoming Local Development Plan'.
Post Project:	Development and Infrastructure Services (of Argyll & Bute Council) made a request to Helensburgh and Lomond Area Committee to endorse the MP report's content (Development and Infrastructure Services, 2019)
Format:	Four-month process (1st May – 8th August), activities: Place Standard survey, targeted meetings, on-street engagement (Clyde visit, charrette cart), targeted workshops (youth, community council, Naval Families, Grey Matters, stakeholders), public workshops, presentations, public events (e.g. Street Food Sunday)
References:	(Development and Infrastructure Services, 2019; Icecream Architecture & Willie Miller Urban Design, 2019; Unknown, 2018)

AppxB_Figure 97: Helensburgh's area profile

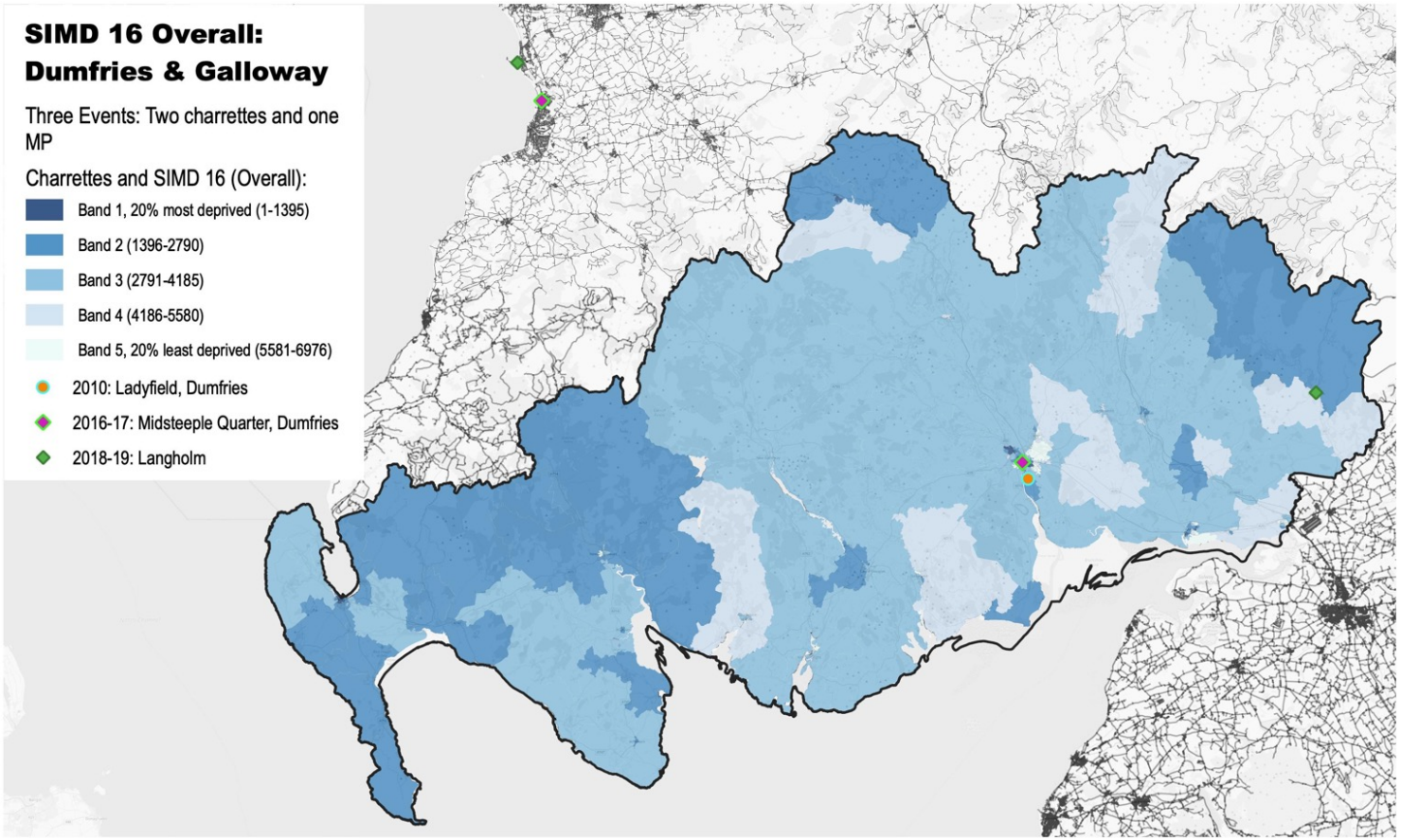
B.1.15 Dumfries & Galloway

Dumfries and Galloway in Scotland's lowlands was home to the first DPZ-led charrette in 2010. It focused on Ladyfield; a potential development site south of Dumfries town centre and close to employment centers in Crichton. In 2016-17, an artist-led organization was successful in securing an AI award to fund a design competition for the Midsteeple Quarter in central Dumfries. Similar to its predecessors, Dunoon and Rothesay, the Langholm MP project was part of SURF's wider Alliance for Action initiative; it had been chosen partly because the initiative sought a rural location.

The Midsteeple AI project worked in one of Dumfries and Galloway's first quintile datazone areas as the town centre falls into the 5%-10% vigintile. The local authority's poorest SIMD 16 (Overall) outcomes (i.e., ranked below 348), are found in suburban areas north of Dumfries (in Lochside and Lincluden); Stranraer on Scotland's southwest coast; east and west Annan, an accessible small town (U/R 3); and remote rural communities, Kelloholm and Kirkconnel (U/R 6).

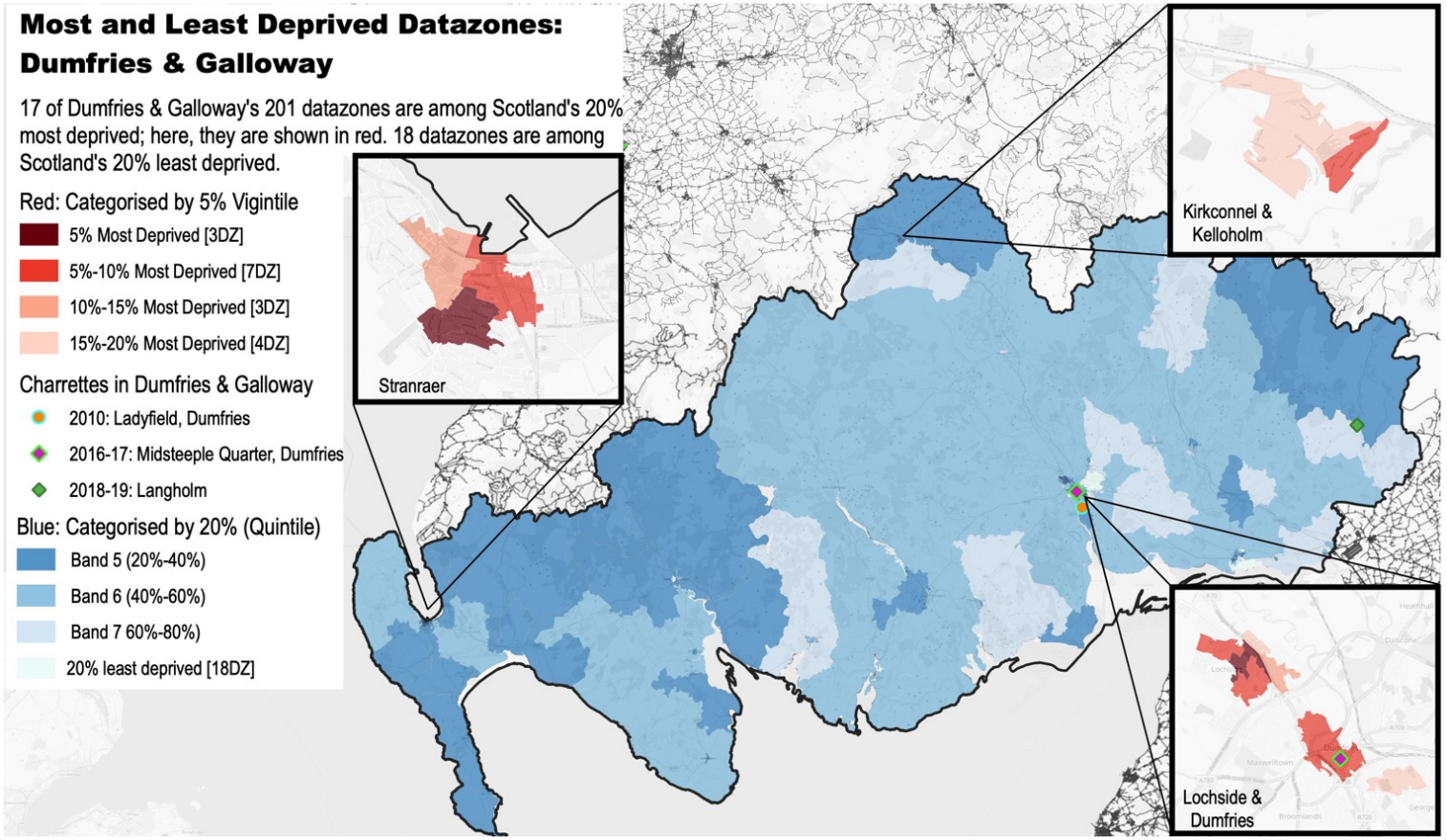
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Ladyfield		✓			✓		No. The site places within second and third quintile datazones; so too does the neighbouring Crichton Campus. First quintile datazones are found approximately 2.5 km south in Dumfries town centre and suburban districts.
Midsteeple Quarter		✓					Yes. The study area falls into datazones in the 5%-10% vigintile (S01007583, S01007612).
Langholm						✓	No. The rural community is characterised by second and third quintile datazones.

AppxB_Table 15 Dumfries & Galloway Signs of Deprivation



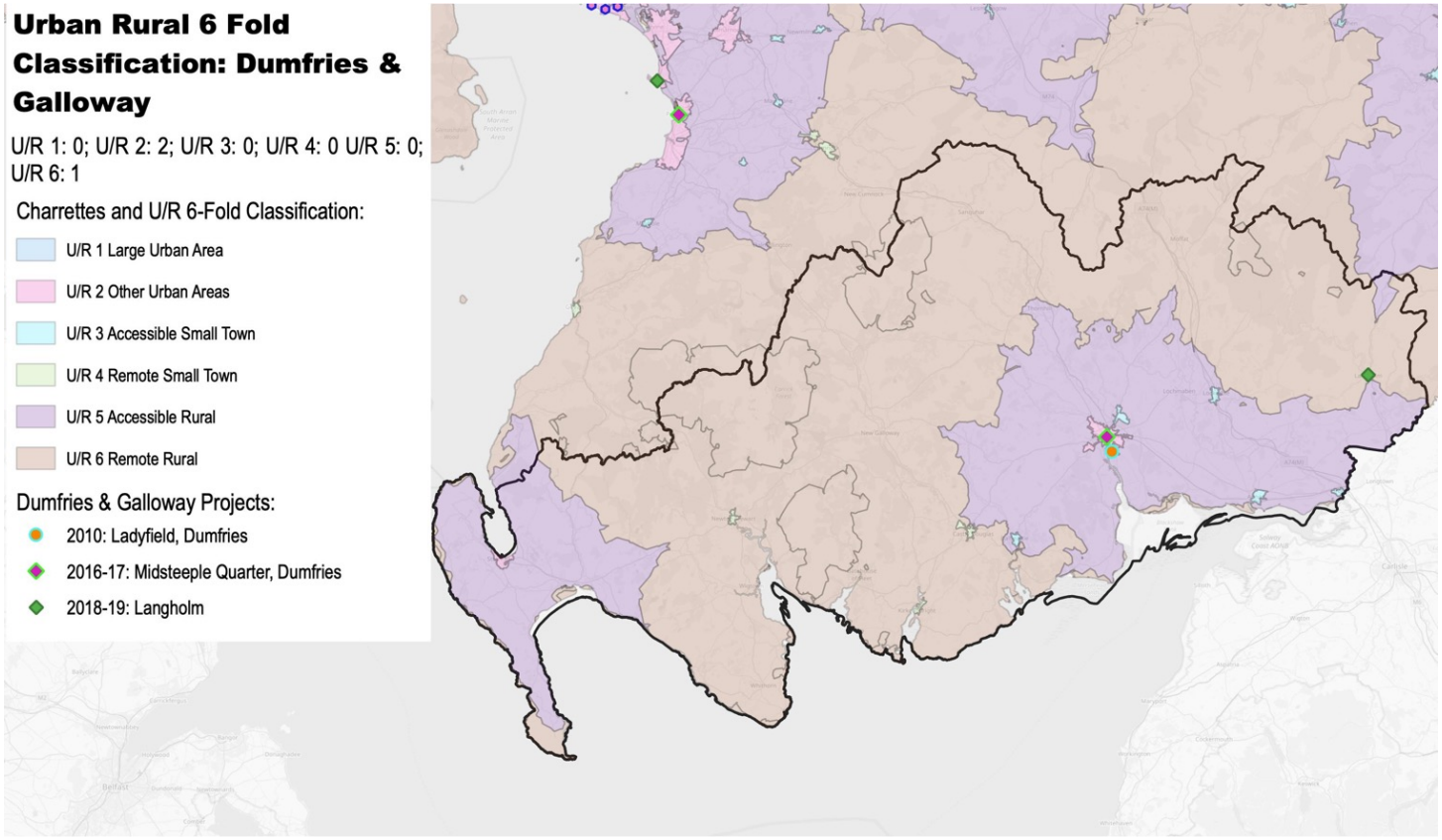
Scale 1: 1200000

AppxB_Figure 98: Dumfries & Galloway's three projects



Scale: 1: 1350000

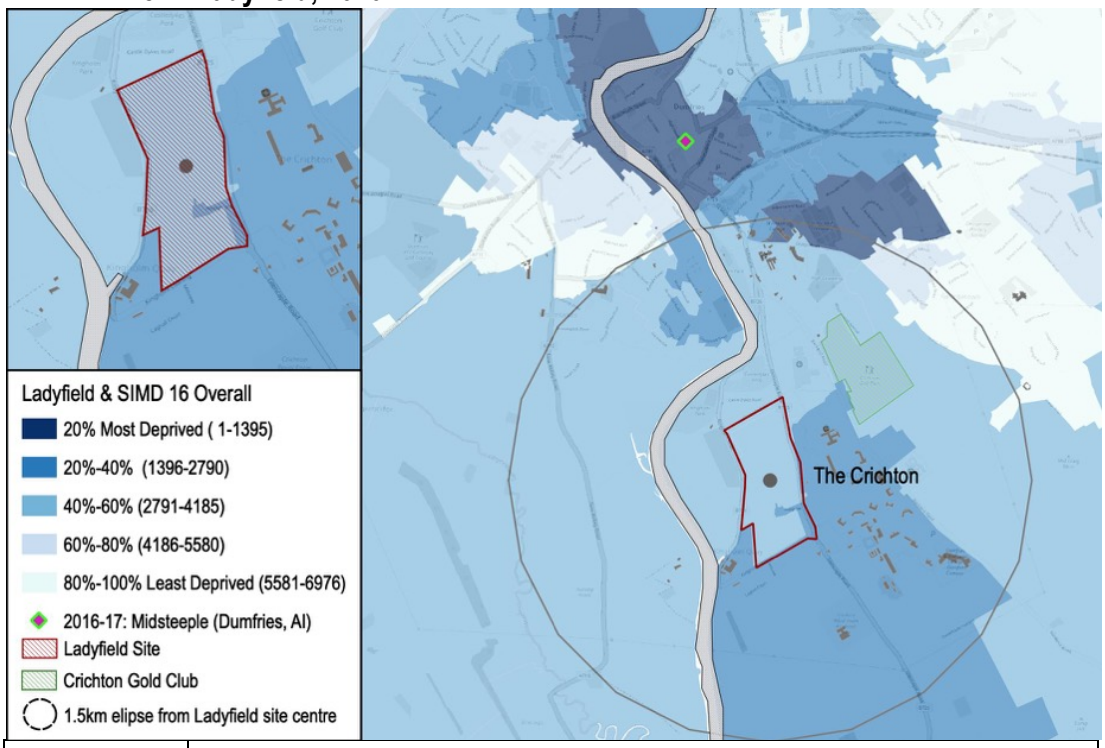
AppxB_Figure 99: Dumfries & Galloway's most and least deprived datazones



Scale 1: 1450000

AppxB_Figure 100: Dumfries & Galloway Urban / Rural 6-Fold Classification

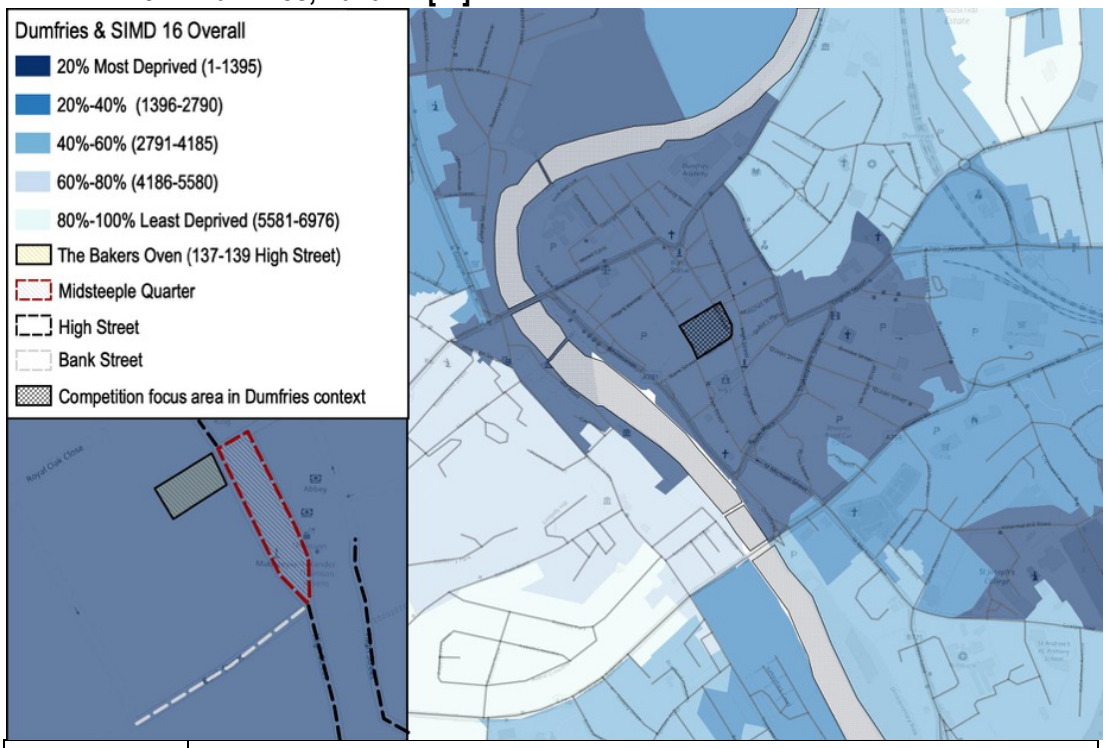
B.1.15.1 Ladyfield, 2010



Description	Ladyfield Charrette Profile showing Ladyfield site in relation to Dumfries. RHS Scale 1: 40000; Site Scale 1: 2800
Client	Crichton Trust and Crichton Development Company; the latter being a subsidiary of the former. Crichton Development Company led the charrette.
Design Team	DPZ-facilitated charrette.
Urban / Rural:	Accessible rural, U/R 5 however site borders Crichton i.e. a U/R 2 'other urban area'.
Study Area:	Ladyfield: south of Dumfries centre this large development site lies close to employment centres in and around Crichton. The site is owned by Dumfries and Galloway Council and leased to Crichton Trust.
Focus:	Develop masterplans for Ladyfield site development focussing on 'sustainable community design'. The site expected to accommodate approximately 400 new homes, with 'associated retail and community facilities'.
Planning Relation:	Dumfries and Galloway Council prepared to adopt a new LDP in 2012. The MIR (main issues report) was scheduled for Autumn 2010; charrette held in Spring of 2010.
Post Project:	Project's next stages included selecting a development partner to progress charrette deliverables.
Format:	Five-day charrette event (2nd – 6th March 2010), activities: site walkabout led by engineer consultants, presentations, three milestone public presentations (i.e., beginning, middle and closure), four specialist meetings and design studio drop-in.
References:	(APS Group Scotland, 2011a; Scottish Government, 2010)

AppxB_Figure 101: Ladyfield Charrette Profile

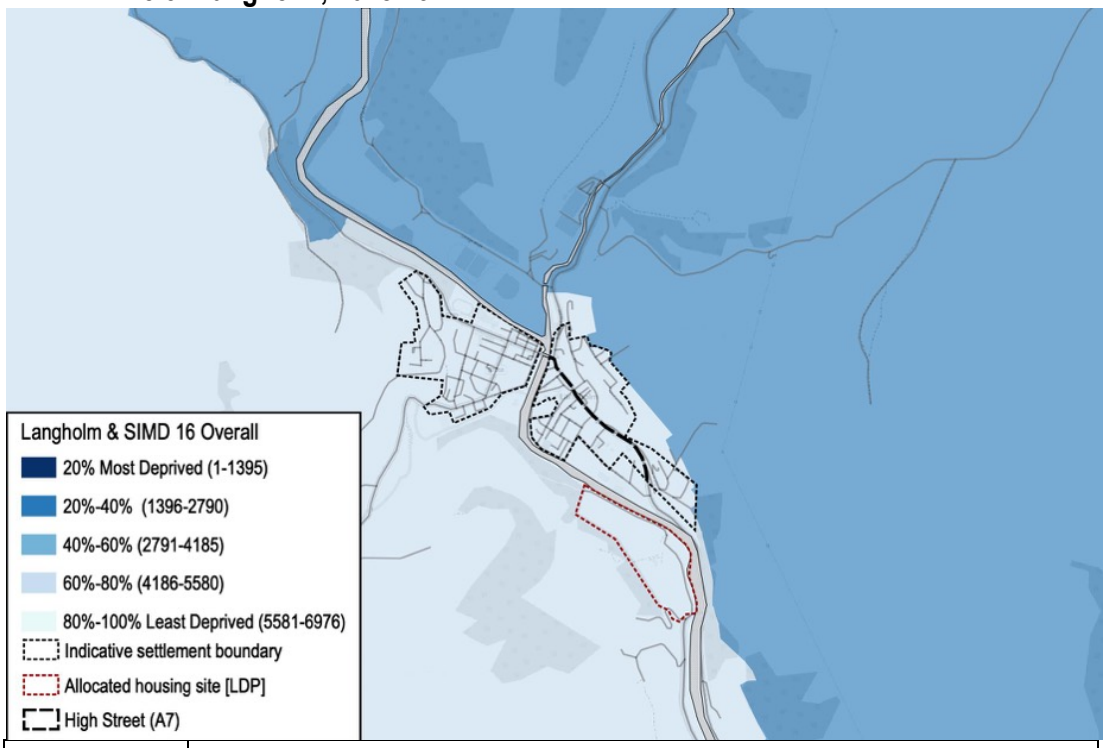
B.1.15.2 Dumfries, 2016-17 [AI]



Description	Dumfries AI Project Profile. LHS Scale 1: 3000; RHS Scale 1: 15000
Client	The Stove Network in collaboration with Glasgow Institute of Architects (GIA).
Design Team	The Stove Network organised and managed their Midsteeple Quarter Ideas Competition in collaboration with GIA.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Midsteeple Quarter of High Street, Dumfries including The Bakers Oven on High Street.
Focus:	The Stove Network used their AI award to launch a design competition for 'architectural concepts for the Midsteeple Quarter of Dumfries High Street' in collaboration with Glasgow Institute of Architects. Particular focus on developing a people-centred vision for Midsteeple Quarter, a sustainable energy strategy and solutions to the building fabric of the Bakers Oven.
Planning Relation:	The Midsteeple Quarter project is a community-led initiative with The Stove Network at the helm. Project partners include: Dumfries and Galloway Council, University of the West of Scotland, NHS D&G, Third Sector D&G, Crichton Institute and Loreburn Community Council. The Bakers Oven (137-139 High Street) is under private ownership, however asset transfer options were being explored.
Post-Project:	Through the Midsteeple Quarter Project Dumfries and Galloway Council have agreed to an asset transfer of 132-139 High Street (i.e., The Bakers Oven).
Format:	Competition was launched 24th March 2017 with an open-day for potential applicants held on 22nd April 2017. The competition closed on 15th May with ARPL Architects announced as first-place winners on June 6th 2017.
References:	(Anderson, 2017; ITV News, 2018; McEwan, 2017; The Stove Network, 2018)

AppxB_Figure 102: Dumfries Activating Ideas Project Profile

B.1.15.3 Langholm, 2018-19



Description	Langholm charrette profile. Scale 1: 35000
Client	Scotland's Urban Regeneration Forum (SURF) applied for charrette funding through MP 2018-19 following a feasibility study, which recommended Langholm become a 'full Alliance for Action site'.
Design Team	Pidgin Perfect with Outpost Arts (i.e., the latter is a locally based rural arts organisation).
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Langholm. SURF and the Scottish Government agreed the Alliance for Action initiative could benefit from a semi-rural location; hence small town of Langholm was assessed and selected. (SURF, 2019b)
Focus:	Langholm's Futures Charrette aimed to engage those aged 14-40 in discussions around the 'town's future development'. Langholm Futures Charrette aimed to deliver a Community Action Plan comprised of short- & medium-term goals, delivery routes, local champions / 'leads' for each identified goal and best-practice precedents.
Planning Relation:	--
Post Project:	--
Format:	CT's brief anticipated a week-long programme of activities, 18th-24th March 2019 including: stakeholder meetings, publicity / marketing campaign, targeted workshops (i.e. with local schools) and a public meeting.
References:	(Pidgin Perfect, 2019b; SURF, 2019a, 2019b, n.d.)

AppxB_Figure 103: Langholm charrette profile.

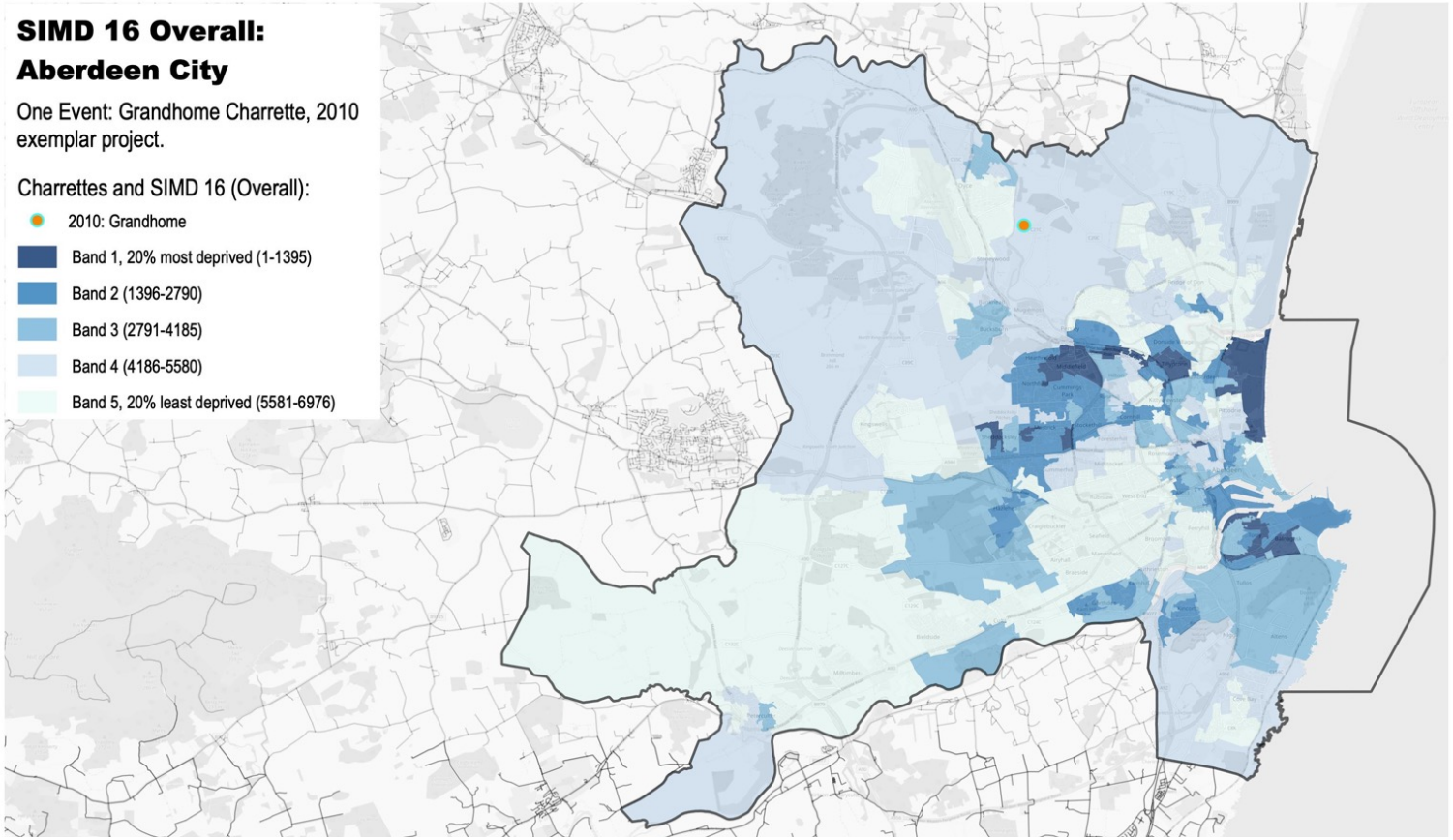
B.1.16 Aberdeen City

Aberdeen City Council commissioned Grandhome in 2010 to consider a greenfield site with potential to accommodate a new town. Grandhome was the final eight-day DPZ-led charrette part of the exemplar Charrette Series and has been the only Aberdeen City commission across the CMP, AI and MP initiative. The site falls into a fourth quintile datazone and neighbors several datazones in the fifth quintile; many of the existing urban settlements also fall into the 60%-80% least deprived bracket.

South of Grandhome and closer to central Aberdeen, the authority's twenty-two first quintile datazones can be found. The majority fall into the 15%-20% vigintile, six within the 10%-15% vigintile and three in the 5%-10%; Aberdeen City Council does not have any datazones among Scotland 5% most deprived.

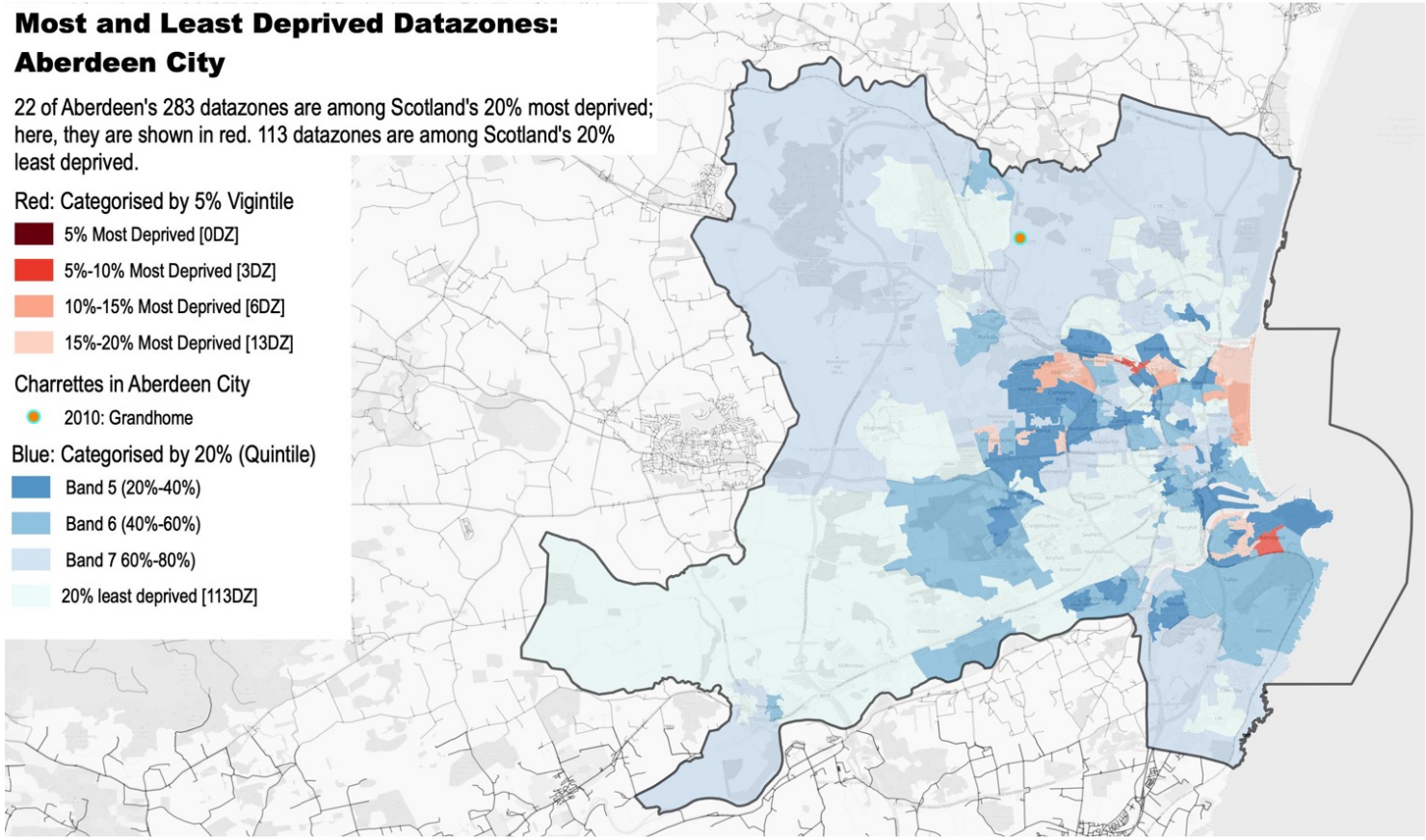
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Grandhome		✓			✓		No. The site and neighbouring communities place within fourth and fifth quintile datazones. Areas with poorer SIMD 16 (Overall) outcomes are found in Mastrick, Middlefield, Northfield, Sheddocksley, Tillydrone, Woodside, Seaton, Old Aberdeen and, south of the River Dee, east and west Torry.

AppxB_Table 16 Aberdeen City Signs of Deprivation



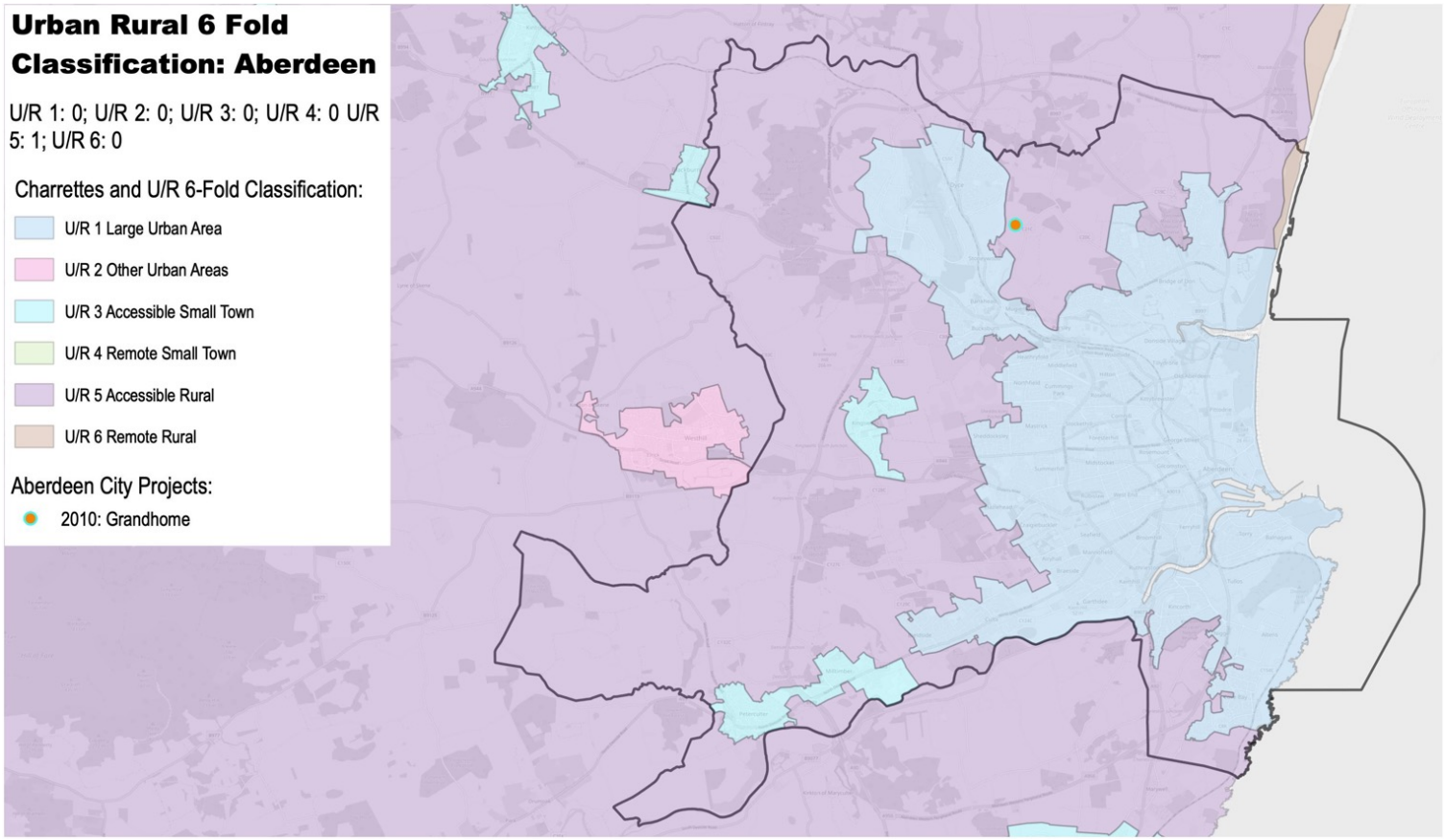
Scale 1: 230000

AppxB_Figure 104: Aberdeen's charrette project mapped



Scale 1: 230000

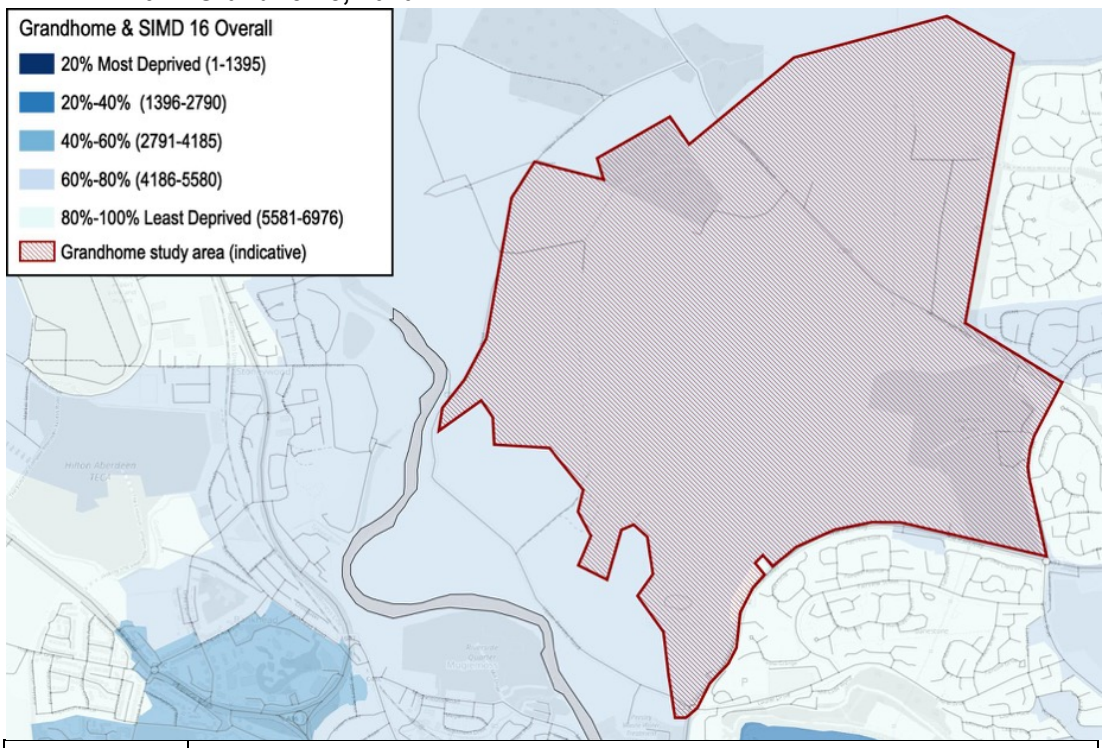
AppxB_Figure 105: Aberdeen project mapped against worst and least deprived datazones



Scale 1: 230000

AppxB_Figure 106: Aberdeen City Urban / Rural 6-Fold Classification

B.1.16.1 Grandhome, 2010



Description	Grandhome Charrette 2010
Client	Grandhome Trust
Design Team	DPZ-facilitated charrette.
Urban / Rural:	Accessible rural, U/R 5; however, site borders 'large urban areas' (U/R1).
Study Area:	North of Aberdeen city-centre, a greenfield site known as Grandhome (aka Whitestripes) was suitably identified for a large urban expansion.
Focus:	Create a masterplan for the Grandhome site proposing a new, independent settlement.
Planning Relation:	The charrette focussed on a site that had been identified in local planning policy for expansion i.e., Aberdeen City and Shire Structure Plan (which anticipated 12,000 new dwellings) and the Aberdeen LDP Main Issues Report in 2009. Although the local authority was actively involved in the charrette, the output distinguishes the charrette process from formal LDP activities.
Post-Charrette:	Grandhome's first residents move into new homes, February 2018.
Format:	Eight-day charrette event (16th – 23rd March 2010), activities: site walkabout, presentations, three milestone public presentations (i.e., beginning, middle and closure), five specialist meetings and design studio drop-in.
References:	(Scottish Government, 2010; Trust, 2019)

AppxB_Figure 107 Grandhome Charrette 2010

B.1.17 Highland

The CMP and MP initiative has been popular in the Highlands with eight projects funded since 2012-13. The local authority led, either independently or jointly, on the first three whilst community groups or public funded bodies, such as Scottish Canals, have taken the lead in the remaining five. The earlier CMP projects had a role within Highland Council's approach to spatial planning. The first, Wick and Thurso, was linked to LDP preparation; the following year Muirtown and South Kessock responded to local planning policy in addressing the need for a regeneration masterplan; and the final council-led, polycentric project informed Town Centre Action Plans for Nairn, Tain and Fort William.

The remote rural Kinlochbervie was Highland's first community-led CMP project seemingly independent of any statutory spatial or community planning processes. Part of a community-led redevelopment initiative of Loch Clash pier, the charrette sought to produce design proposals for a new build development. In 2018-19, three community groups and Scottish Canals were successful in securing MP funding for projects in remote rural communities: Applecross, Assynt (Lochinver), Plockton and Fort Augustus[75]. Highland's most recent projects have taken place in U/R 6 areas, which are unaffected by the local authority's first quintile datazones.

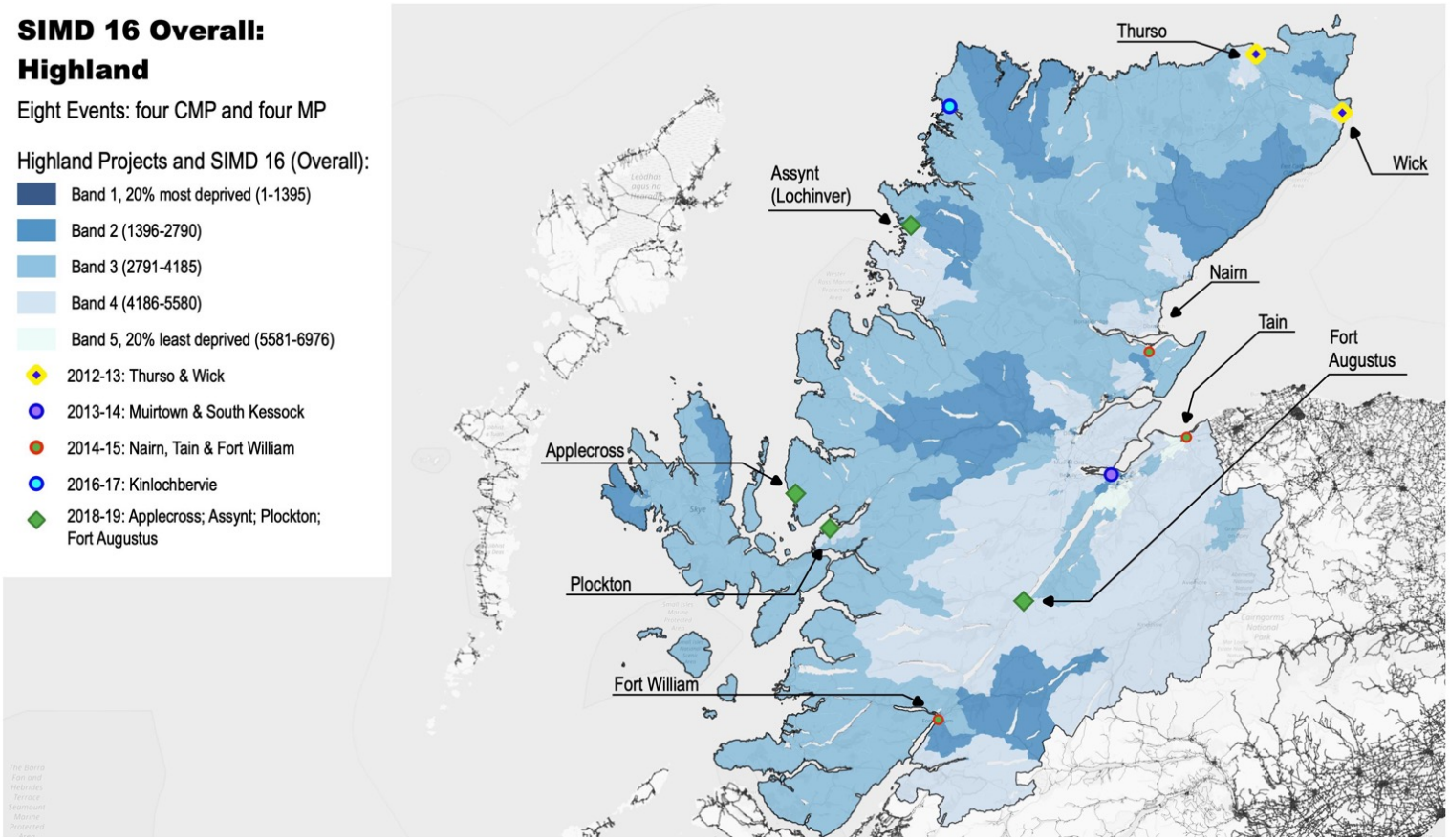
Areas with the poorest SIMD 16 (Overall) outcomes include Inverness, Wick and Invergordon with a share of the local authority's four datazones ranked below 348 (i.e., S01010643, S01010644, S01010740, S010010778). Central and greater Inverness has the largest concentration of first quintile datazones with ten of the authority's twenty-four. Remote small towns (U/R 4) Wick and Thurso, subject to a 2012-13 charrette, share five first quintile datazones; the former has four with one among the 5% most deprived in Scotland. The Muirtown and South Kessock CMP project defined a boundary which included areas with first vigintile datazones. Similarly, the Nairn, Tain and Fort William CMP project worked in areas evidencing deprivation and inequality. Whilst remote small town (U/R 4) Tain has datazones in the second, fourth and fifth quintile, Fort William (U/R 2) and Nairn (U/R 3) have a small share of the authority's first quintile datazones with a combined total of three.

[75] Plockton (led by Plockton & District Community Council) and Fort Augustus (led by Scottish Canals) are not detailed here because no data was available for a project-bio (at the time of writing).

The remaining first quintile datazones are found in remote small town (U/R 4) Alness, Invergordon and in the Seabord Villages Shandwick and Balintore. With reference to SIMD 16 (Overall) only, the Highland's earliest, council-led projects generally targeted areas with low ranking datazones, with the exception of Tain.

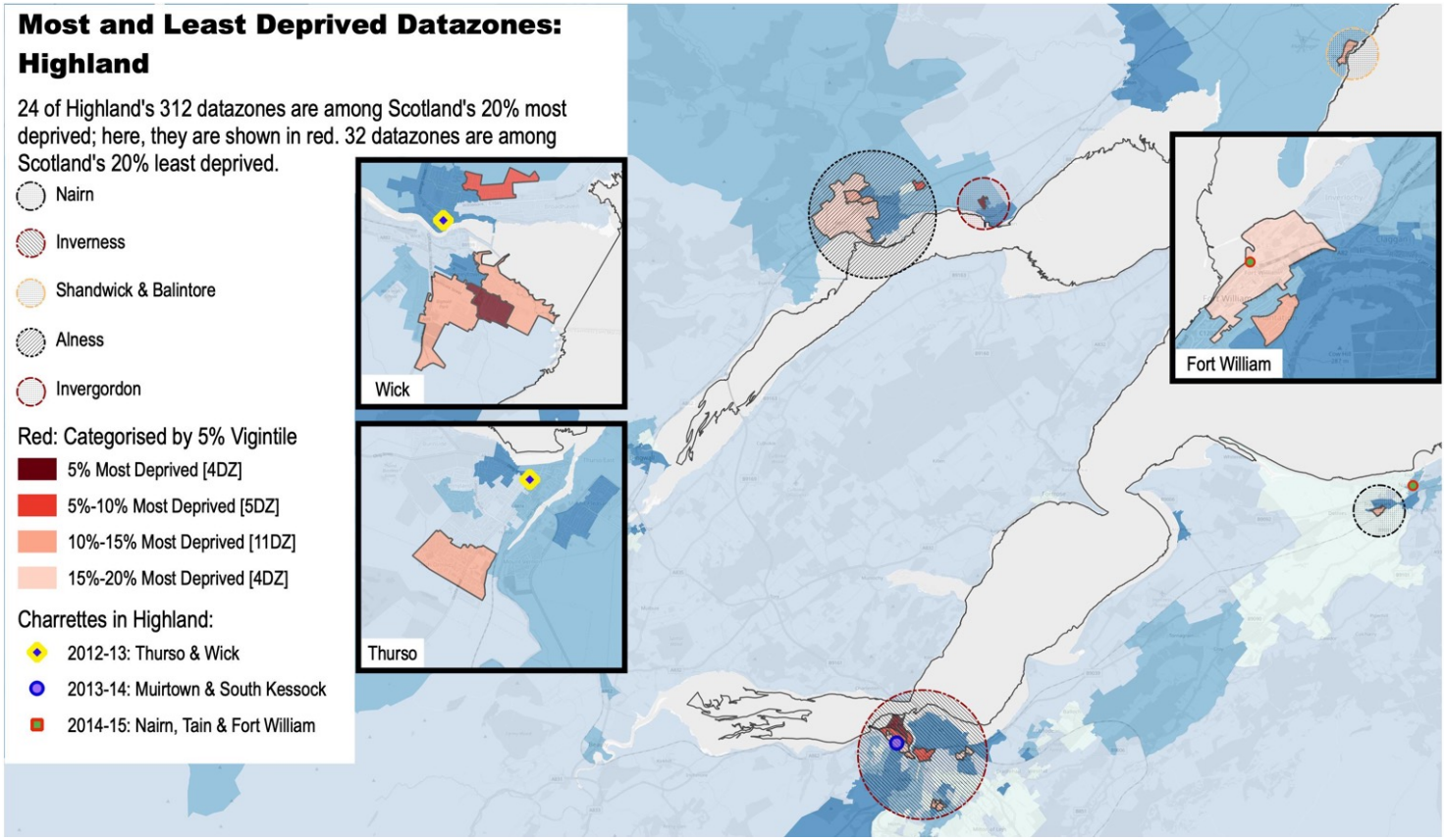
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Wick and Thurso				✓			Yes. Both are remote small towns (U/R 4) with datazones in the first quintile. Wick has four from the first, second and third vigintiles (S01010778, S01010784, S01010777, S01010779). Thurso has one datazone in the third vigintile (S01010806).
Muirtown & South Kessock		✓					Yes. Study area worked in the local authority's settlement most affected by first quintile datazones. South Kessock is characterised by first vigintile datazones (S01010643, S010101644).
Nairn, Tain & Fort William		✓	✓	✓			Yes. Two of the communities have datazones in the first quintile whilst Tain does not. Fort William has two from the 10%-15% and 15%-20% vigintiles (S01010523, S01010522). West Nairn as one datazone in the 10%-15% vigintile (S01010564).
Kinlochbervie						✓	No. This remote rural community falls into a third quintile datazone.
Assynt (Lochinver)						✓	No. Datazones in this area fall into second and fourth quintile.
Applecross						✓	No. Datazones fall into the third quintile datazone.
Fort Augustus						✓	No. Datazones fall into the fourth quintile datazone.
Plockton						✓	No. Datazones fall into the fourth quintile.

AppxB_Table 17 Highland Signs of Deprivation



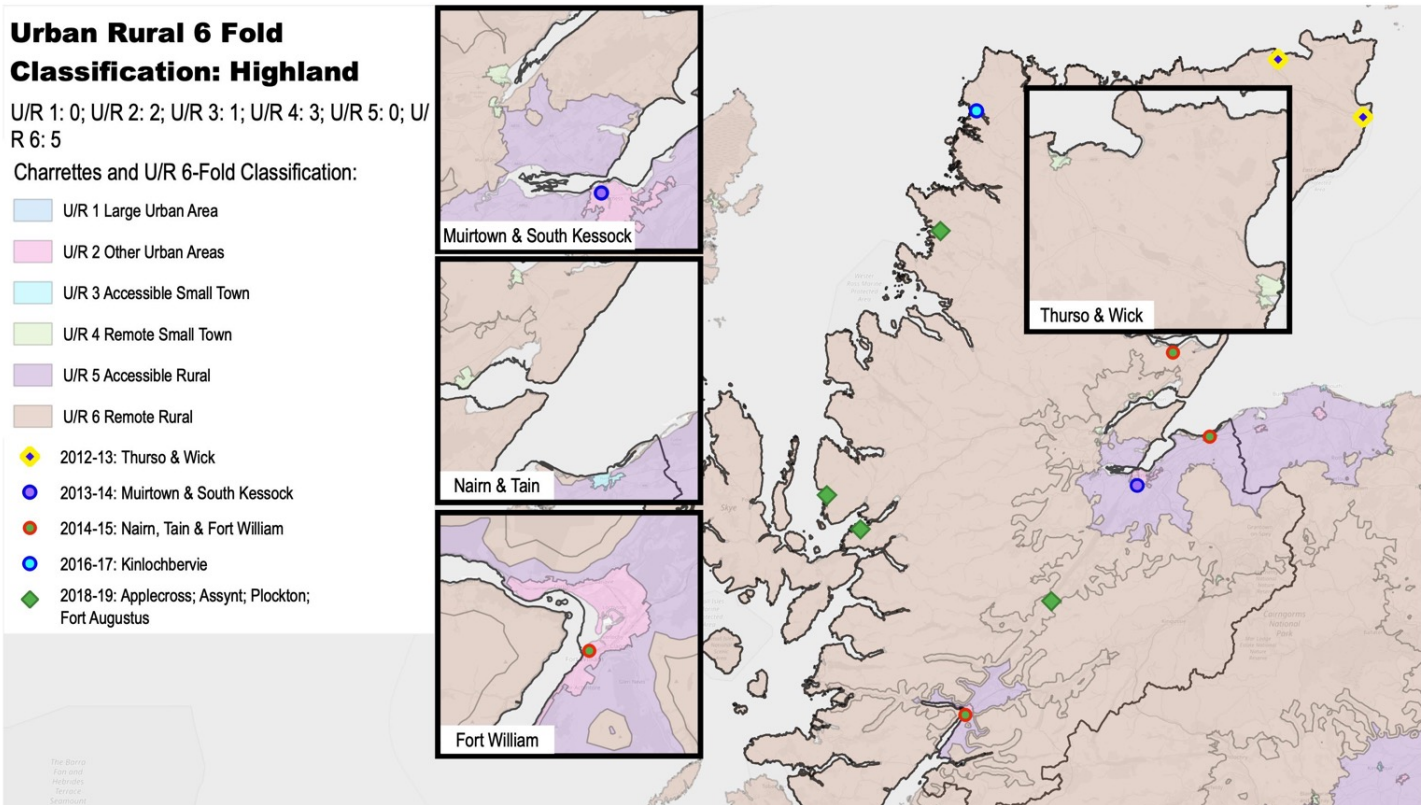
Scale 1: 3100000

AppxB_Figure 108: Highland's eight CMP and MP projects mapped.



Scale:

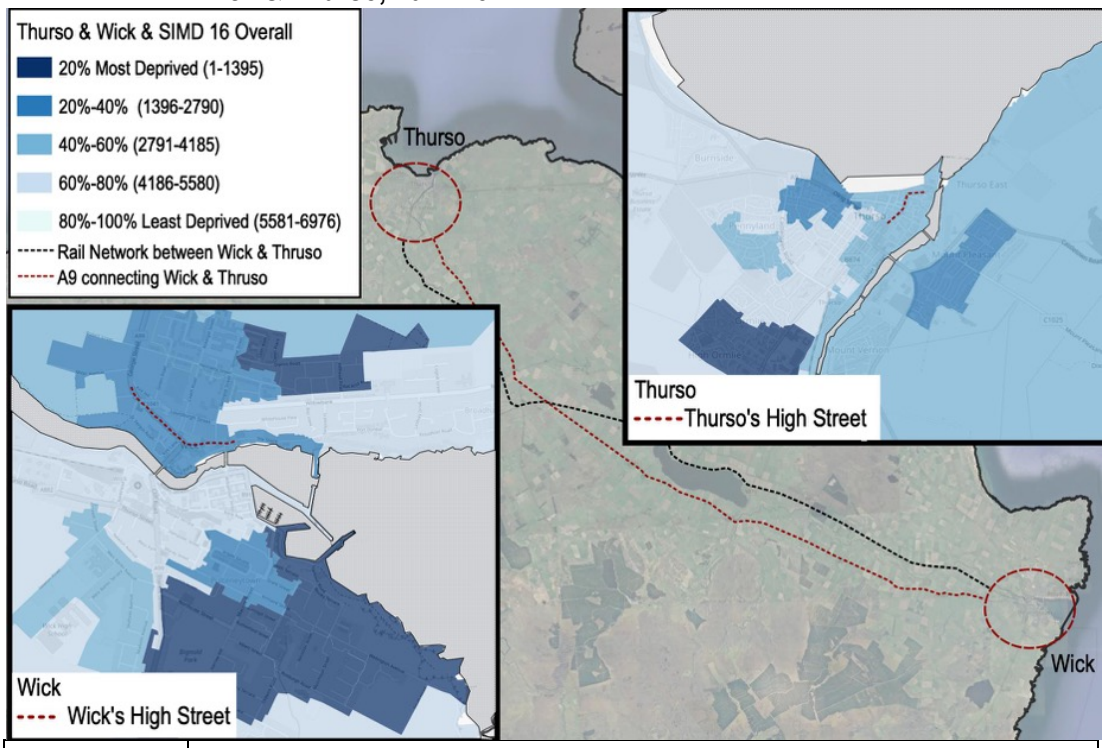
AppxB_Figure 109: Highland's most deprived datazones.



Scales: Highlands 1: 3100000; Fort William 1: 400000; Nairn & Tain 1: 1250000; Muirtown & South Kessock 1: 1150000; Thurso & Wick 1: 1300000.

AppxB_Figure 110: Highland Urban / Rural 6-Fold Classification

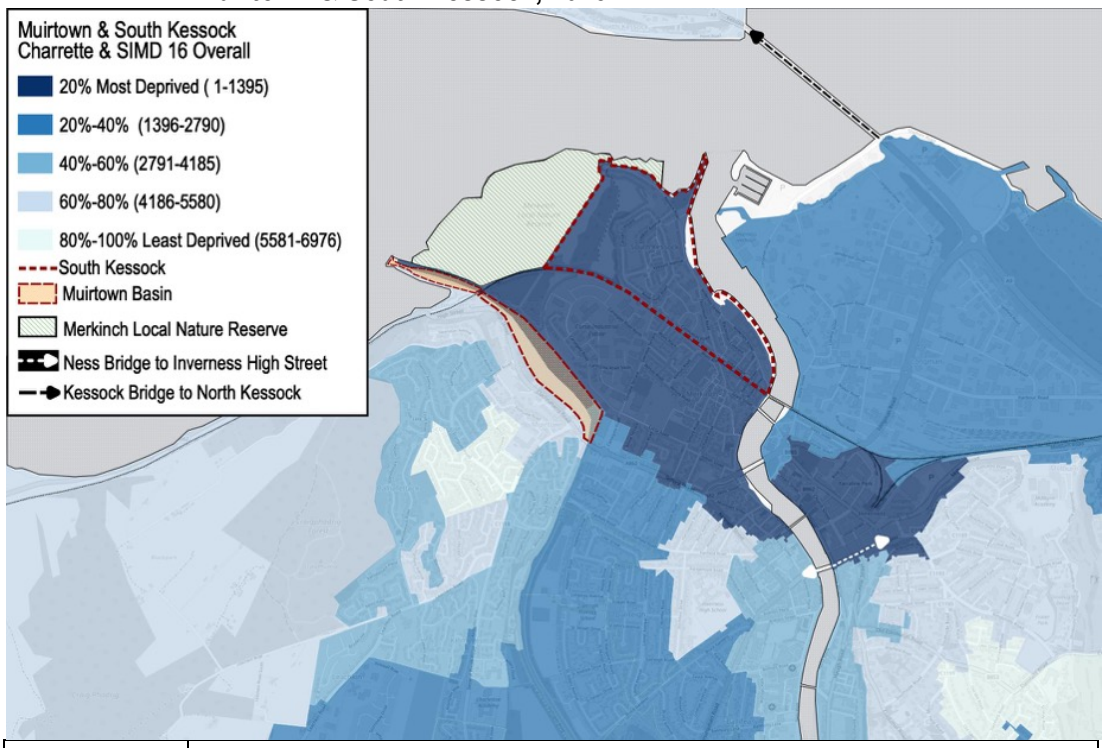
B.1.17.1 Wick & Thurso, 2012-13



Description	Thurso & Wick Charrette Profile highlighting High Street in each town. Scale 1: 550000; Thurso Scale 1: 100000; Wick Scale 1: 60000.
Client	The Highland Council
Design Team	John Thompson & Partners (lead); Gillespies, The CADISPA Trust and SKM Colin Buchanan Transport (subconsultants).
Urban / Rural:	Remote small town, U/R 4.
Study Area:	A polycentric charrette focussing on two remote small towns in the Highland local authority: Wick & Thurso.
Focus:	To prepare a Vision for Wick & Thurso's future and produce a town masterplan for each.
Planning Relation:	Charrettes were used as part of the development planning process; the council's new approach aims to offer engagement opportunities early in the process of developing their (then) next LDP (i.e., CaS Plan).
Post-Charrette:	--
Format:	Covering two sites charrette events took place between 20th – 27th February 2013: Wick, 21st, 23rd, 24th & 26th; Thurso, 22nd, 23rd, 25th & 27th. Activities included site tours, themed public workshops, targeted workshops (e.g., school engagement), presentations and review sessions. Pre-charrette included 'community animation' i.e., a programme of engagement and publicity campaign (i.e. promote charrette through local networks, banners, leaflets and newspaper articles).
References:	(John Thompson & Partners et al., 2013, 2013 -a, 2013 -b, 2013 -c, 2013 -d, 2013 -e)

AppxB_Figure 111: Thurso & Wick Charrette Profile

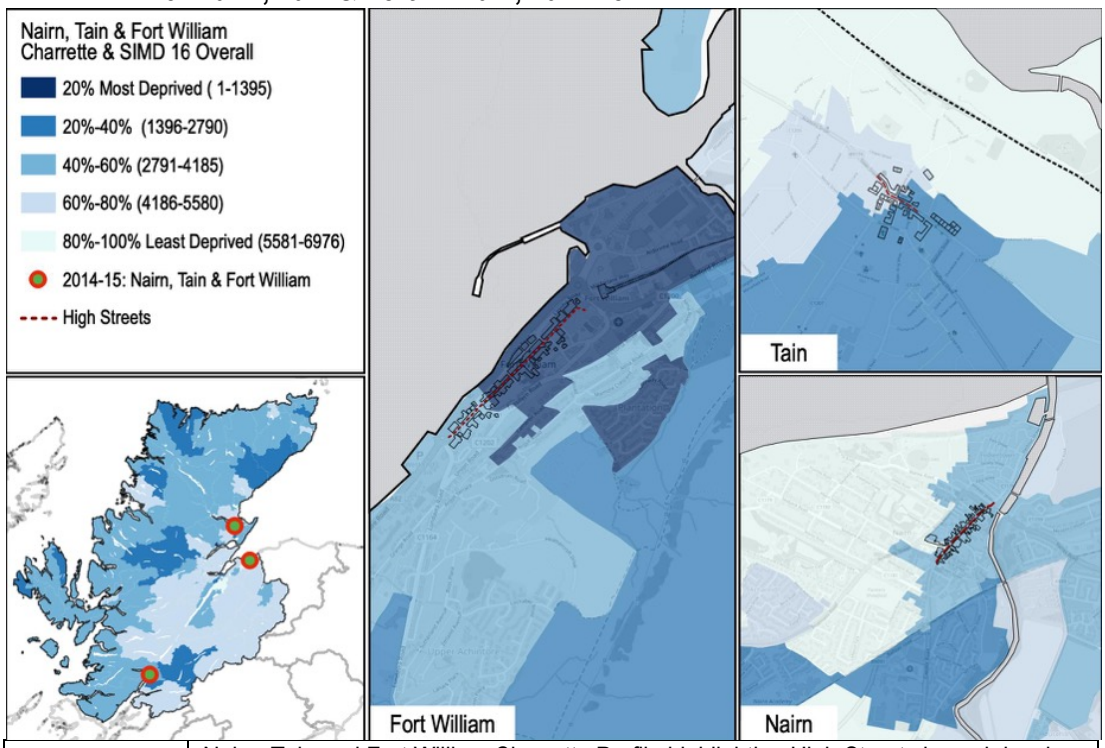
B.1.17.2 Muirtown & South Kessock, 2013-14



Description	Muirtown & South Kessock Charrette Profile highlighting South Kessock and Muirtown Basin. Scale 1: 65000
Client	Scottish Canals and the Highland Council
Design Team	Michael Laird Architects, Anderson Bell Christie, Rankin Fraser, Fairhurst and Kevin Murray Associates.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Two project scales within the study boundary: first, Scottish Canal-owned land 'north of Inverness between the Muirtown Basin'; second, the 'mouth of the River Ness, which is an area that the Highland Council are seeking to regenerate'.
Focus:	Charrette aimed to develop a) a masterplan for the Scottish Canal-owned site at Muirtown Basin and b) a development framework for the South Kessock area the council wanted to regenerate.
Planning Relation:	Study area had been identified as a regeneration site in the Inverness Spatial Strategy and Policy Six of the LDP identified a need for an area masterplan to be developed.
Post Project:	Charrette output informed a Development Brief for the charrette study area, which was subject to further consultation in March 2015. The Development Brief constitutes a material consideration and statutory Supplementary Planning Guidance the LDP.
Format:	Two stages: stage one, 26th & 27th February 2014; stage two, 1st & 2nd April 2014. Stage one, activities: site walkabout, public working sessions, councillor address, technical sessions and feedback / review sessions; stage two, activities: three repeating sessions of stakeholder and community review.
References:	(Highland Council & Canals, 2015 ; Michael Laird Architects et al., 2014)

AppxB_Figure 112: Muirtown & South Kessock Charrette Profile

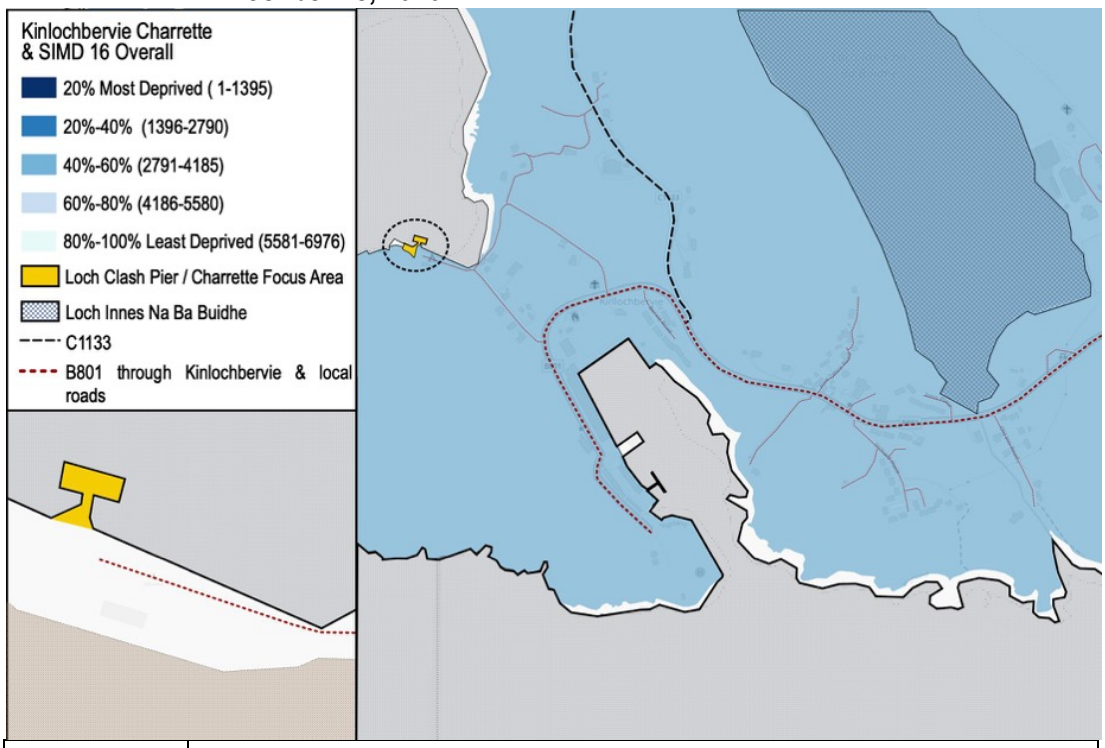
B.1.17.3 Nairn, Tain & Fort William, 2014-15



Description	Nairn, Tain and Fort William Charrette Profile highlighting High Streets in each locale. Highland Council Scale 1: 9600000; Fort William Scale 1: 50000; Nairn Scale 1: 70000; Tain Scale 1: 40000.
Client	The Highland Council
Design Team	Action Plan authors were 'CH2MHILL with input from the Council's Development and Infrastructure Service'.
Urban / Rural:	Three communities: Nairn (accessible small town, U/R 3), Tain (remote small town, U/R 4) and Fort William (other urban area, U/R 2).
Study Area:	A polycentric charrette covering three Highland communities: Nairn, Tain and Fort William. Each Town Centre Action Plan report outlines the town centre 'extent' considered; see references for details.
Focus:	The charrette activities aimed to develop a Town Centre Action Plan for each study area. Nairn, Tain and Fort William each received a fourteen-proposal action plan to assist and guide town centre activities.
Planning Relation:	Nairn, Tain and Fort William town centres had been identified in the Moray Firth Proposed LDP as areas to strengthen (Nairn), ensure development resides (Tain) and regenerate and upgrade (Fort William).
Post Project:	--
Format:	A two-day public workshop was held for each study area: Nairn, 30th April – 1st May; Tain, 7th & 8th May; Fort William, 15th & 16th May 2014. The charrettes followed a similar pattern comprising an 'option development' session with 'parallel events held' for four stakeholder groups (i.e., The Highland Council, local residents, local groups and elected Highland Council members). The second session had stakeholders working in different groups to review ideas and proposals.
References:	(CH2MHILL, 2014 -a, 2014 -b, 2014 -c)

AppxB_Figure 113: Nairn, Tain and Fort William Charrette

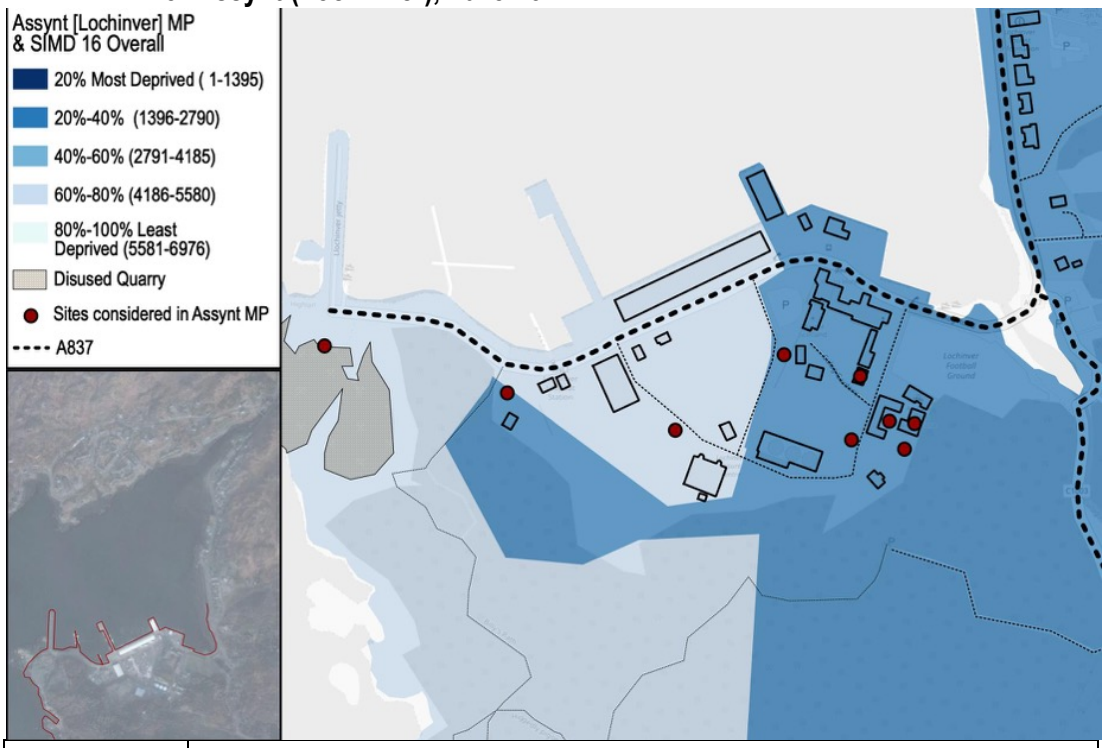
B.1.17.4 Kinlochbervie, 2016-17



Description	Kinlochbervie charrette profile showing Loch Clash Pier (study area). LHS Scale 1: 5000; RHS Scale 1: 25000
Client	Kinlochbervie Community Company (KCC)
Design Team	Alan Jones Associates and Darnton B3 Architects
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Loch Clash Pier, Kinlochbervie. KCC own part of Loch Clash Pier, on which redevelopment works started prior to charrette; 'five overnight caravan pitches with utility connections' were developed. KCC seek 'ownership of an additional area of the pier' with aspirations for a much larger new build project'.
Focus:	Part of a wider redevelopment project of Loch Clash Pier, the charrette aimed to develop concepts for the project's second stage. Initial concepts were circulated for feedback, and a revised concept was included in an Options Appraisal and Business Plan output.
Planning Relation:	KCC secured funding through 'Big Lottery Awards for All' and appointed DT to deliver an Options Appraisal and Business Plan for the redevelopment of Loch Clash Pier. Charrette funding was used to assist Phase 2 of this project.
Post Project:	--
Format:	The charrette collected views on Loch Clash Pier's future development through a community survey and a planned public meeting at 1500 and 1930 on 31st January 2017.
References:	(Alan Jones Associates & Architects, 2017; Kinlochbervie Community Company, 2017)

AppxB_Figure 114: Kinlochbervie charrette profile

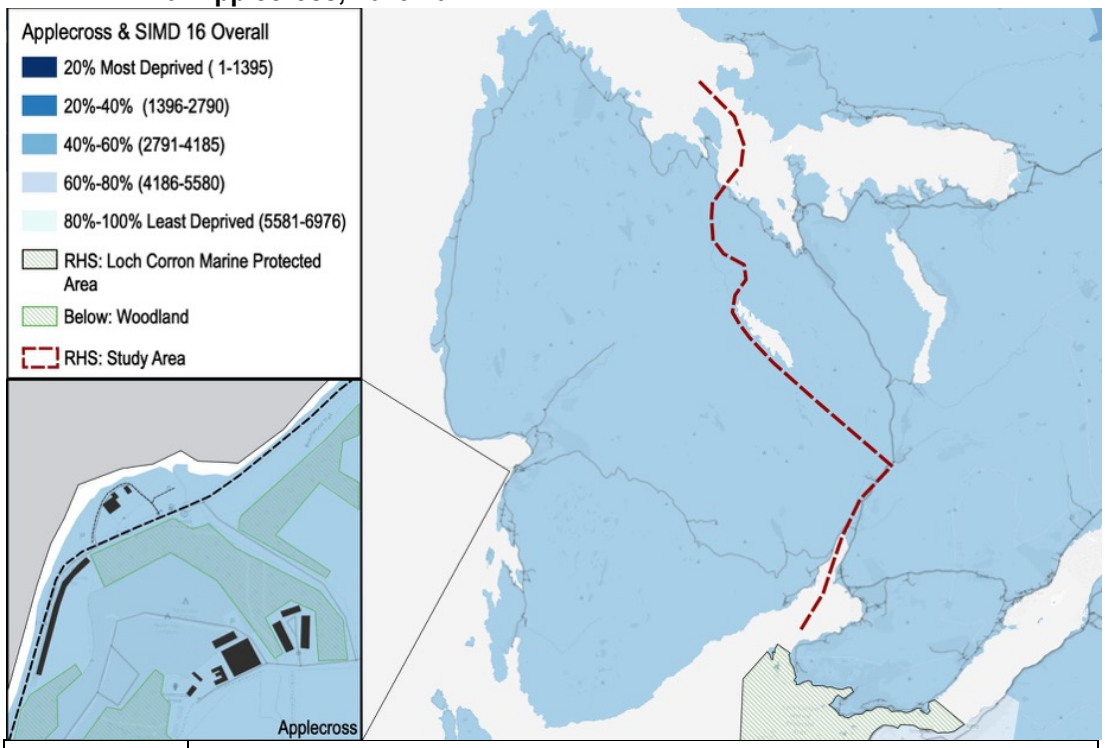
B.1.17.5 Assynt (Lochinver), 2018-19



Description	Assynt MP profile showing focus areas. LHS Scale 1: 5000; RHS Scale 1: 25000
Client	Assynt Development Trust i.e., community-led organisation (ADT).
Design Team	--
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Numerous sites in and around Culag Park and Harbour area of Lochinver (red markers note sites above)
Focus:	ADT are considering community asset transfer options and seek views / ideas on possible site development options, and more general views on wider Assynt development. ADT expect a 'written project report' including 'concept design drawings'.
Planning Relation:	--
Post-Charrette:	ADT expect some (not all) site development options to be taken forward for further development.
Format:	CT anticipate two to four charrette-style events, an online survey and (budget permitting) a mail campaign of invitations and household surveys. Community and stakeholder engagement planned for April 2019.
References:	(Assynt Development Trust, 2019a, 2019b)

AppxB_Figure 115: Assynt MP profile

B.1.17.6 Applecross, 2018-19

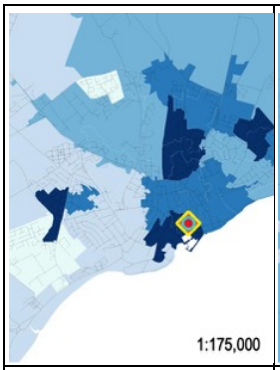
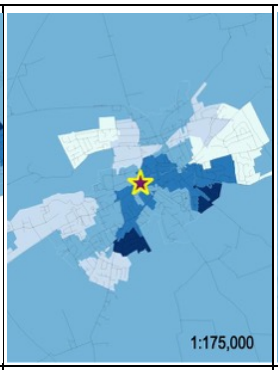
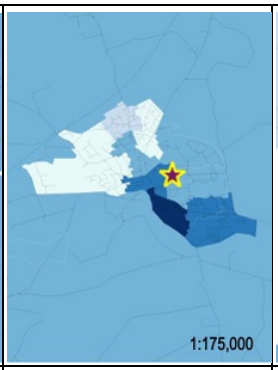
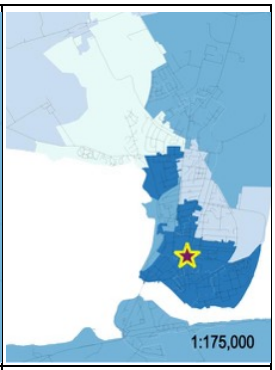
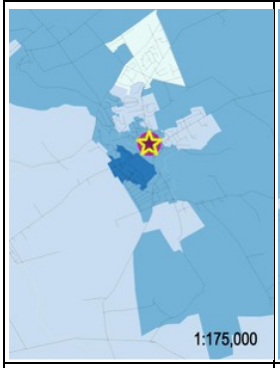
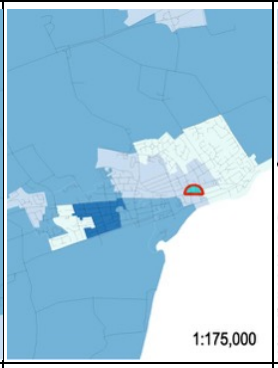
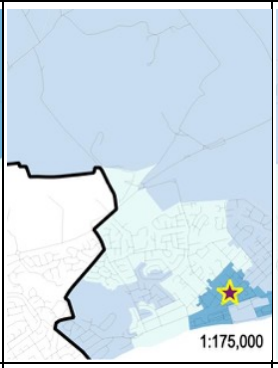
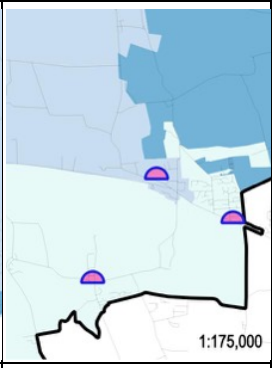


Description	Applecross Peninsula showing charrette study area described in output and Applecross settlement. RHS Scale 1: 260000, LHS Scale 1: 9000
Client	Applecross Community Company (ACC).
Design Team	PAS
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Originally, the study area included all land within Applecross Peninsula but later narrowed to focus on land 'under the jurisdiction of Applecross Community Council, and that owned by Applecross Trust'.
Focus:	Produce a land use plan identifying area for potential future development. The intention is to produce an output that will guide the actions of various stakeholders in Applecross's future development. Proposals presented are concepts, indicative ideas only.
Planning Relation:	The draft output anticipates the MP project's findings be used by Highland Council as 'statutory planning guidance to guide community projects over the short, medium and long term'.
Post-Project:	--
Format:	Charrette*Plus* 'model adapted to deliver this process'. Three stage approach: one, targeted school workshops and meetings / workshops with 'local/regional groups, representatives, and various local resident's deriving themes; stage two, presentation evening, four workshops and a stakeholder meeting; stage three, plan adoption and action.
References:	(PAS, 2019a)

AppxB_Figure 116: Applecross Peninsula charrette

B.1.18 Angus

The charrette methodology found favour in Angus as the local authority's Communities Team led eight charrette projects. Described as a political decision to placate all Angus's major urban settlements and at least one rural settlement, the council committed to delivering eight after its initial three projects (Participant Q1, Local Government Representative). Not all have been supported through the Scottish Government's initiative; Forfar, Brechin, Montrose, Kirriemuir and Monifieth were not dependent on CMP, AI or MP funding (see below). Post charrette, Arbroath Community Council and Kirriemuir Community Council were successful in securing AI and MP funding with the intention of progressing their respective charrette-identified projects.

			
Arbroath: 2015-16 (CMP); 16-17 (AI)	Forfar: 2016 (SF)	Brechin: 2015 (SF)	Montrose: 2016 (SF)
			
Kirriemuir: 2016 (SF); 2017-2018 (MP)	Carnoustie: 2014-15 (CMP)	Monifieth: 2017 (SF)	Muirhead, Birkhill & Liff: 2016-2017 (CMP)

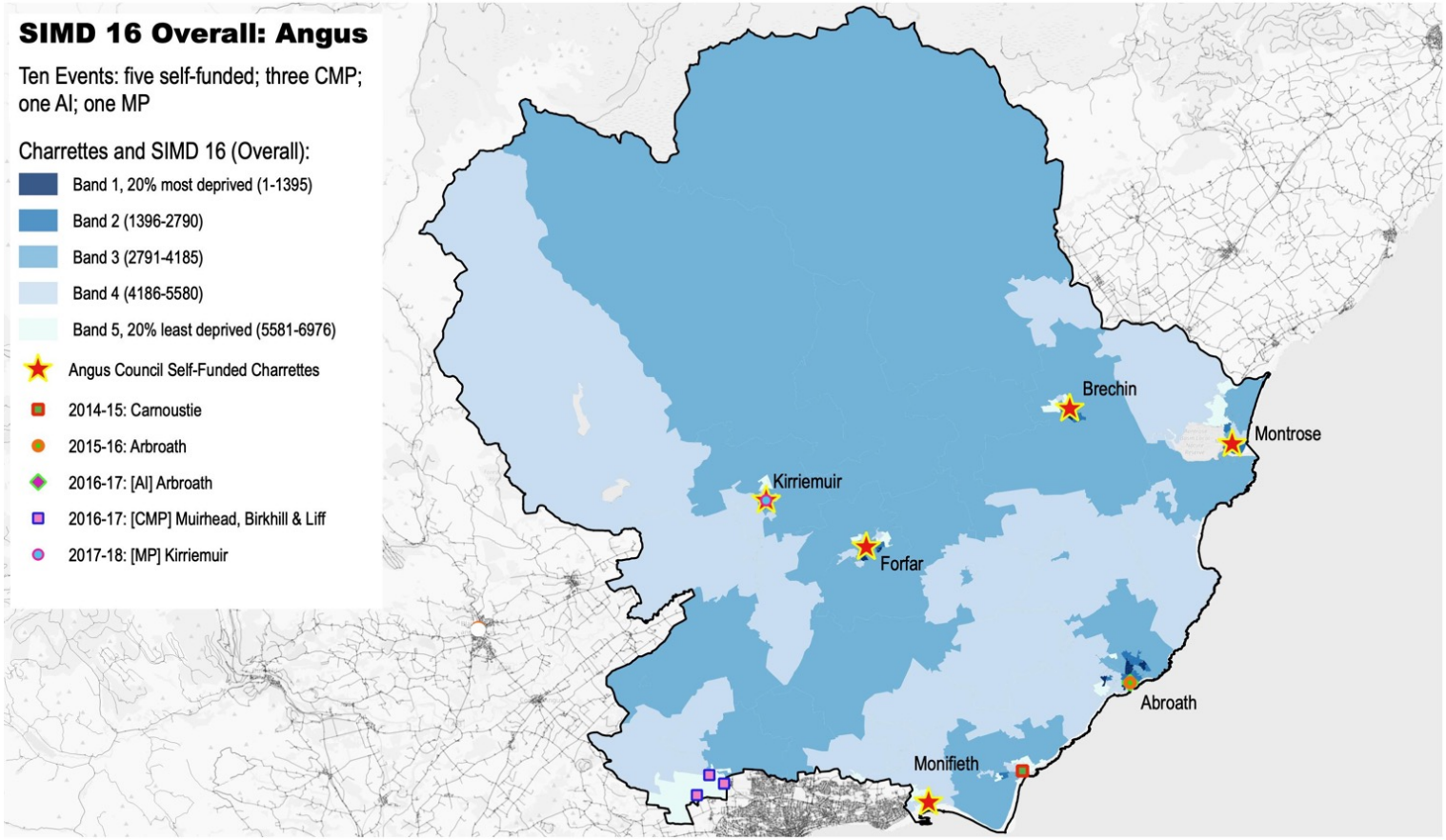
One of the early CMP-funded projects in Angus was in its largest town, Arbroath (U/R 2). Arbroath has the highest concentration of first quintile datazones with eight out of a possible eleven in its central and wider environs. With a 7% Local Share of Scotland's 20% most deprived datazones, the local authority has just one among Scotland's most deprived decile (i.e., ranked between 1-697). Considering Angus Council decided to use the charrette methodology in all major settlements and one rural area, Angus's most and least deprived

communities have been included in their programme of charrettes. Acknowledging, SIMD 16 (Overall) data should not be used to identify affluence, project mapping shows charrettes place within all communities with first quintile datazones, and also place in most areas with fifth quintile datazones.

Considering this research focusses on CMP, AI and MP supported projects, a project-bio for self-funded charrettes is not included. However, self-funded charrette locations have been mapped alongside Scottish Government funded projects.

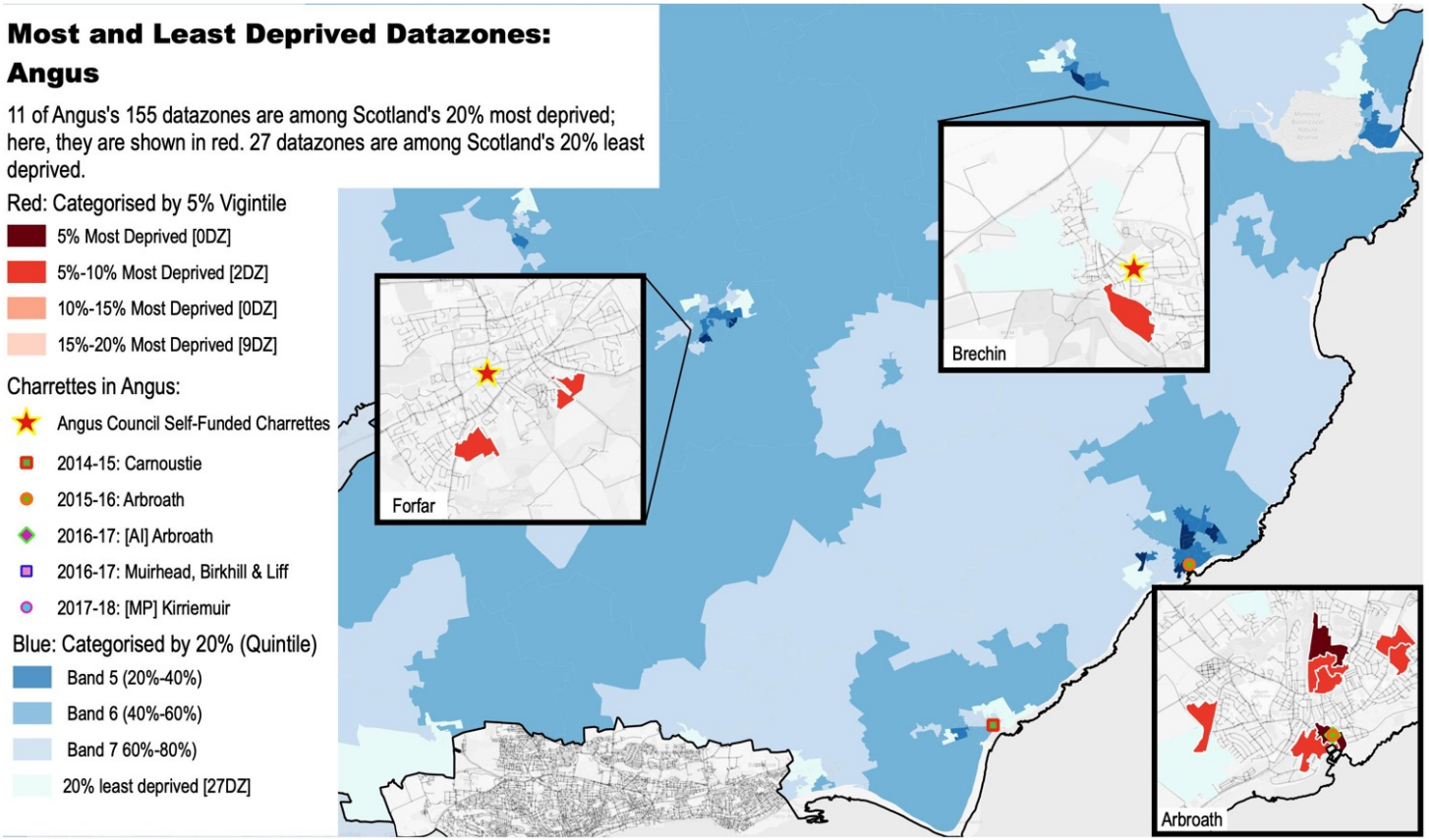
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Carnoustie			✓				No. This 'other urban area' is largely characterised by three fourth quintile datazones and five fifth quintile datazones. Three datazones fall into the third quintile, one into the second and none into the first.
Arbroath		✓					Yes. Angus has eleven first quintile datazones; neither are among Scotland 5% most deprived. Starting with a rank of 631, eight first quintile datazones are found in Arbroath.
Muirhead, Birkhill & Liff					✓		No. Situated north-west of Dundee's boundary line, this accessible rural community has not got datazones in the first quintile. Instead, the study areas fall into third, fourth and fifth quintile datazones.
Kirriemuir			✓				No. Kirriemuir's core retail area falls into a third quintile datazone. An indicative settlement boundary shows Kirriemuir town is characterised by one second, three fourth and two fifth quintile datazones.

AppxB_Table 18 Angus Signs of deprivation according to SIMD 16



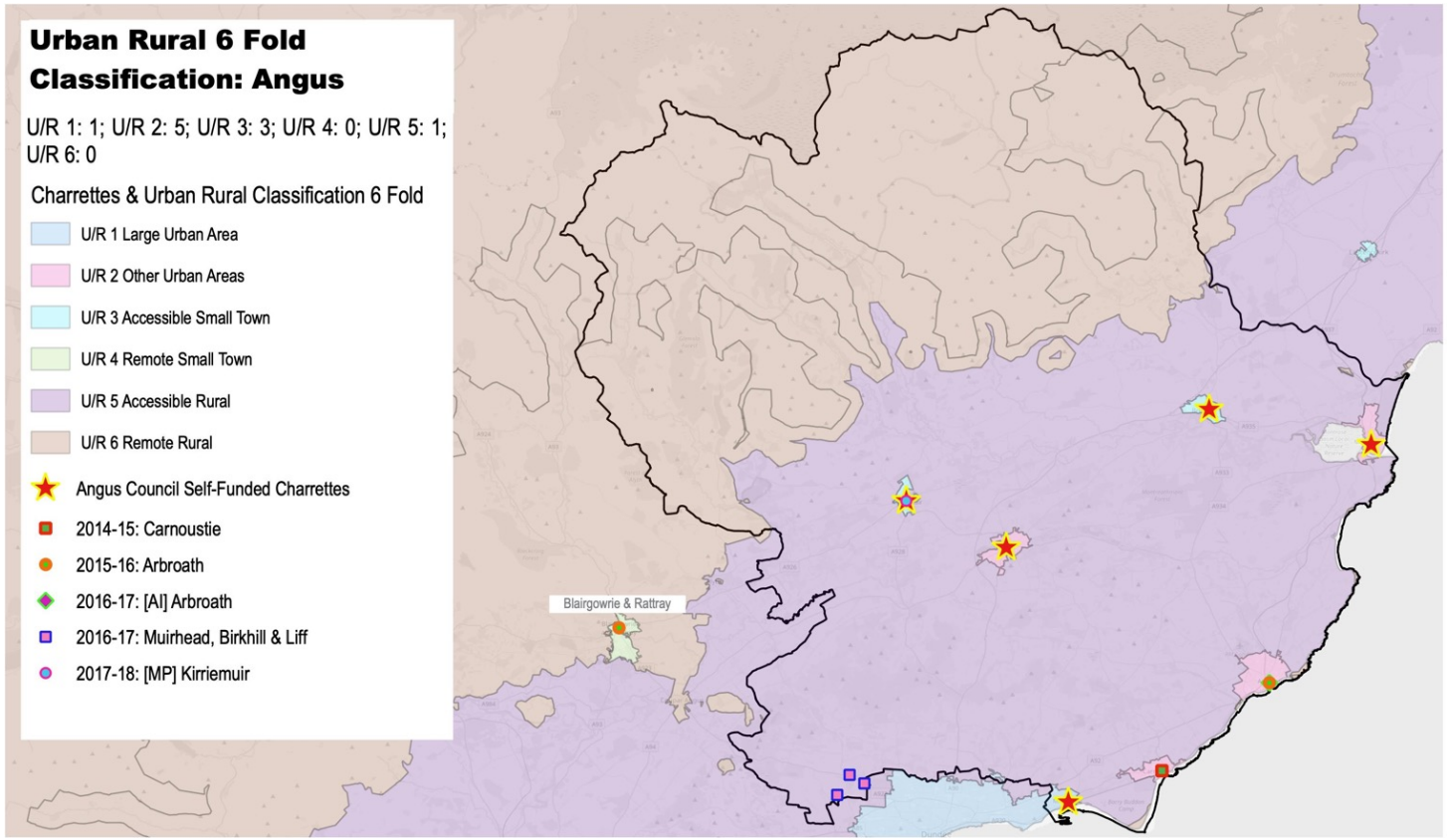
Scale 1: 720000

AppxB_Figure 117: Angus Council charrettes (10) mapped



Large map scale 1: 390,000; Map tiles Forfar and Brechin scale 1:115,000; Map tile Arbroath scale 1:145,000

AppxB_Figure 118: Angus Council's least and most deprived datazones.



Scale 1:390,000

AppxB_Figure 119: Angus Council categorised by Urban / Rural 6-Fold Classification

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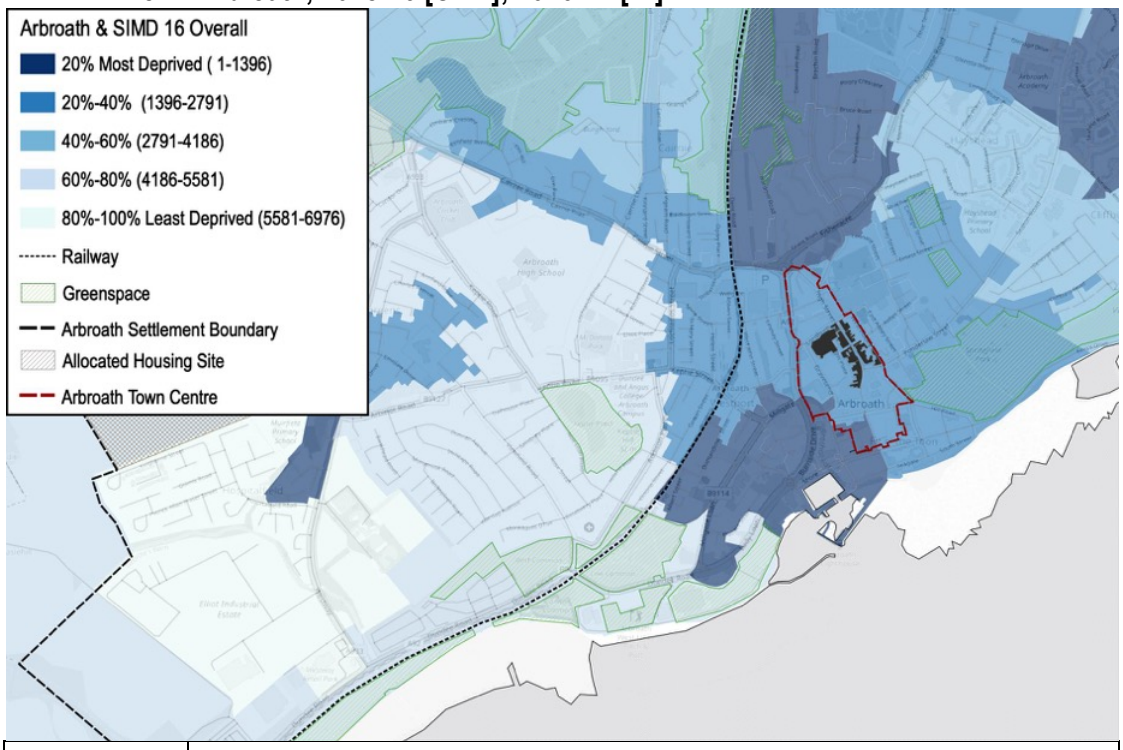
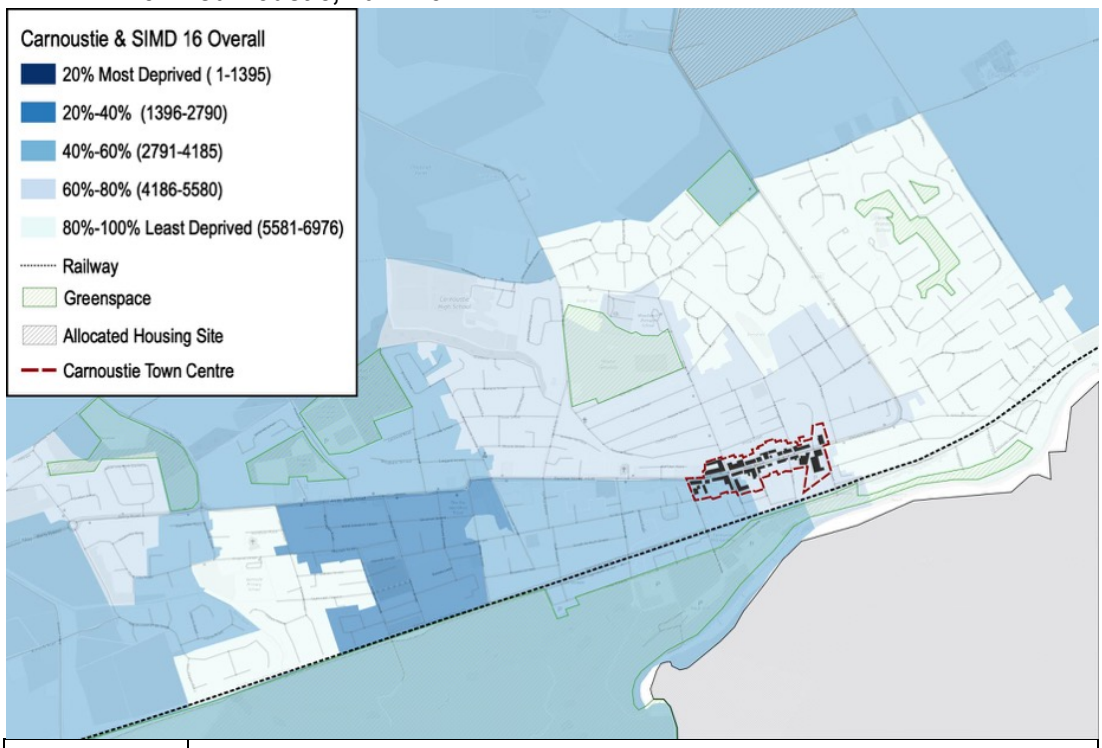
B.1.18.1 Arbroath, 2015-16 [CMP]; 2016-17 [AI]



Description	Arbroath charrette profile. Map scale 1: 25000
Client	Angus Council [CMP]; Arbroath Community Council listed as project proposer for AI funding award (Scottish Government, 2016b)
Design Team	Austin-Smith:Lord (lead); Douglas Wheeler Associates Ltd, Ryden, Transport Planning Ltd, WAVE*particle* [CMP]. External consultants were procured by Aspire Arbroath as part of AI project (Participant P1 Local Government Representative)
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Arbroath Town Centre
Focus:	Develop a long-term vision, establish a development framework and action plan assisting delivery [CMP]. AI funding enabled Aspire Arbroath to procure the services of external consultants to further explore 'accessibility issues in the town'. Since, the group applied for participatory budgeting funding in a bid to 'make some of those things physically happen' (Participant P1, Local Government representative, 2017).
Planning Relation:	Charrette output anticipates its findings will influence 'future Angus Locality Outcome Improvement, Local Development & Housing Plans and other significant local policies'.
Post Project:	Post-charrette, Angus Council and Fergus Purdie Architects identified 'several lines of enquiries' to further explore (Austin-Smith: Lord et al., 2016, p. 69). As above, Aspire Arbroath / Arbroath and District Community Council received AI funding following 2015-2016 charrette.
Format:	Pre-charrette, activities: publicity campaign (newspaper articles, online & social media presence, posters, flyers, briefing notes emailed to database contacts), workshops, targeted workshops (i.e., school, college) and on-street engagement. Three plus one format: activities included, launch sessions, site walkabouts, targeted workshops (e.g., public agencies, businesses), themed workshops, drop-in design studio, presentations (2nd - 4th February 2016) and exhibition / review session (18th February 2016).
References:	(Austin-Smith: Lord et al., 2016)

AppxB_Figure 120: Arbroath charrette profile

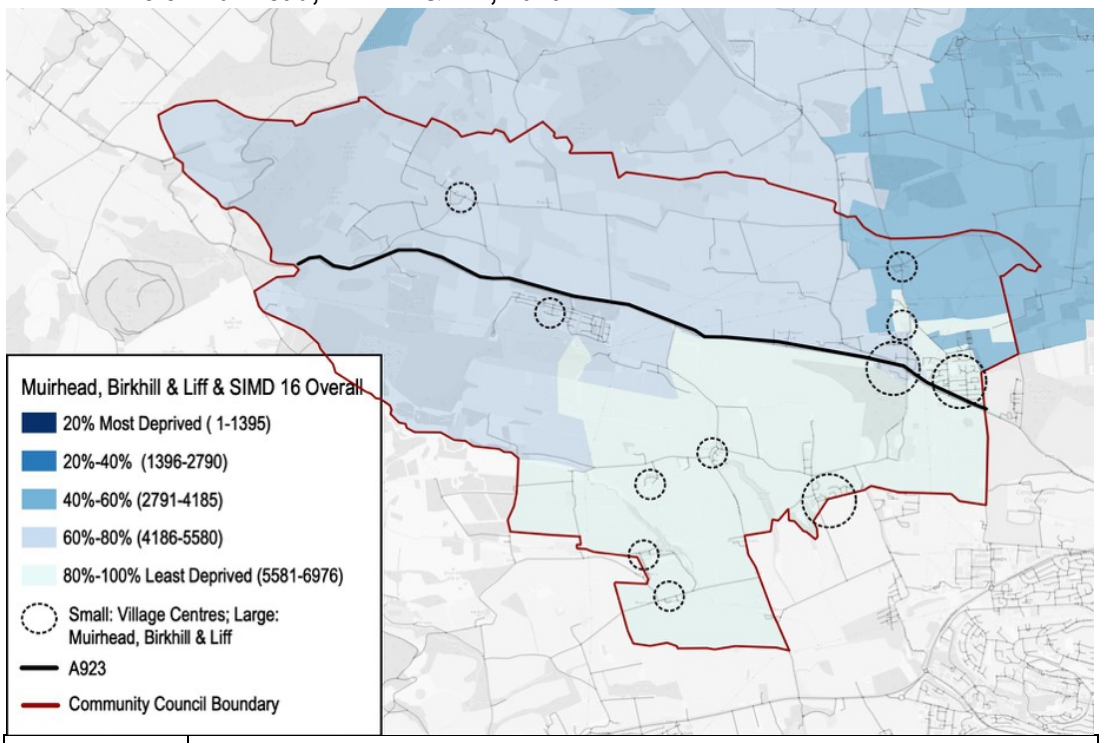
B.1.18.2 Carnoustie, 2014-15



Description	Carnoustie charrette profile. Map scale 1: 40000
Client	Angus Council
Design Team	Carlogie Ltd, Malcolm Fraser Associates and Brunton Design Studio
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Town Centre (defined in the charrette as the geographic area bound by Station Rd, east; Links Avenue West, west; High Street/Dundee Street, north; seafront, south)
Focus:	Charrette aimed to develop a shared long-term vision and action plan with a long-term strategy for implementation.
Planning Relation:	Charrette output anticipates its findings will influence future 'Angus Local Development Plans, Housing Plans and other significant local policies and plans'. Additionally, Angus's LDP published in 2015 identified a need to develop a Town Centre Strategy in partnership with the Community Planning Process. The charrette satisfies this LDP statement.
Post-Charrette:	--
Format:	Three-phased charrette including pre-charrette, charrette and reporting. Phase one, activities: press campaign (briefing and progress newspaper articles, social media presence, posters and invitation cards, e-invites), display boards in town, painted footprints leading to charrette venue, library information point and targeted sessions (e.g., with schools, community organisations). Charrette activities include launch sessions, presentations, site walkabouts, studio drop-in, SWOT analysis workshop and emerging ideas / review sessions.
References:	(Angus Council, 2016; Carlogie Ltd et al., 2015)

AppxB_Figure 121: Carnoustie charrette profile

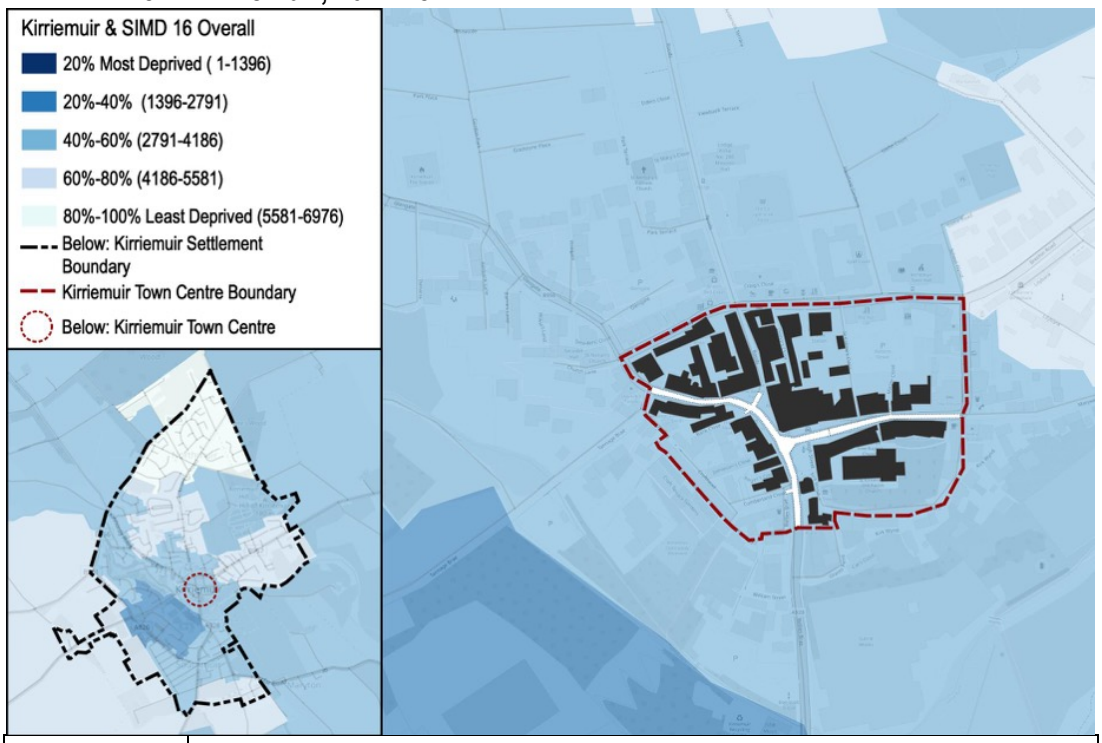
B.1.18.3 Muirhead, Birkhill & Liff, 2016-17



Description	Muirhead, Birkhill & Liff area profile. Map scale 1:110,000
Client	Angus Council
Design Team	Pidgin Perfect (lead); Nick Wright Planning, Willie Miller Urban Design, John Gilbert Architects and Patricia Fleming Projects.
Urban / Rural:	Accessible rural, U/R 5.
Study Area:	A polycentric, rural charrette covering various settlements within the Muirhead, Birkhill and Liff Community Council area in Angus's south-west. The geographic area borders Dundee City to the east and Perth and Kinross to the West and South.
Focus:	The charrette aimed to prepare a 'shared long-term vision and strategy' for South West Angus's future development as well as a 'clear, agreed, set of objectives' and an 'initial programme for action'.
Planning Relation:	Charrette is 'linked to the development of the Angus Community Planning Partnership's Locality Plans'.
Post-Charrette:	--
Format:	Pre-charrette activities included desk-based research, meetings, site visits, Place Standard survey (promoted via several means including street installations), targeted school engagement and a publicity campaign (e.g., mail invites, direct invites to database contacts, social media presence, posters and flyers). Four-day consecutive charrette event 18th-21st May 2017; DT ran a constant drop-in base and satellite activities in several villages. Activities included open discussion sessions, stakeholder and themed workshops, 'creative activities' and DT attendance at local events (e.g. Friday Night Project).
References:	(Pidgin Perfect et al., 2017)

AppxB_Figure 122: Muirhead, Birkhill & Liff area profile

B.1.18.4 Kirriemuir, 2017-18



Description	Kirriemuir charrette profile highlighting settlement boundary (LHS), town centre boundary and core retail area (RHS). LHS Scale 1: 100200; RHS Scale 1: 9000
Client	Kirriemuir Community Council (KCC) applied for Making Places funding following Kirrie Talks, 2016-17.
Design Team	Undisclosed
Urban / Rural:	Accessible small town, U/R 3.
Study Area:	Undisclosed; site development project identified in Kirie Talks.
Focus:	Purpose of Making Places project was to develop an architectural plan for a site identified for development in the earlier Kirriemuir charrette, 2016 (Scottish Government, 2018c)
Planning Relation:	With reference to the council's self-funded charrette (Kirrie Talks, 2016-17), its 'outputs should influence future Angus and Kirriemuir Locality Outcome Improvement [Plan], Community Planning Partners, Local Development & Housing Plans and other significant local policies and investment proposals' (Austin-Smith: Lord et al., 2017, p. 10)
Post-Making Places:	To the disappointment of KCC, the MP project plans were not progressed given the site was too expensive.
Format:	--
References:	(Austin-Smith: Lord et al., 2017; MP Respondent 16, personal communication, 2019; Carlogie Ltd et al., 2015 ; Scottish Government, 2018c)

AppxB_Figure 123: Kirriemuir charrette profile

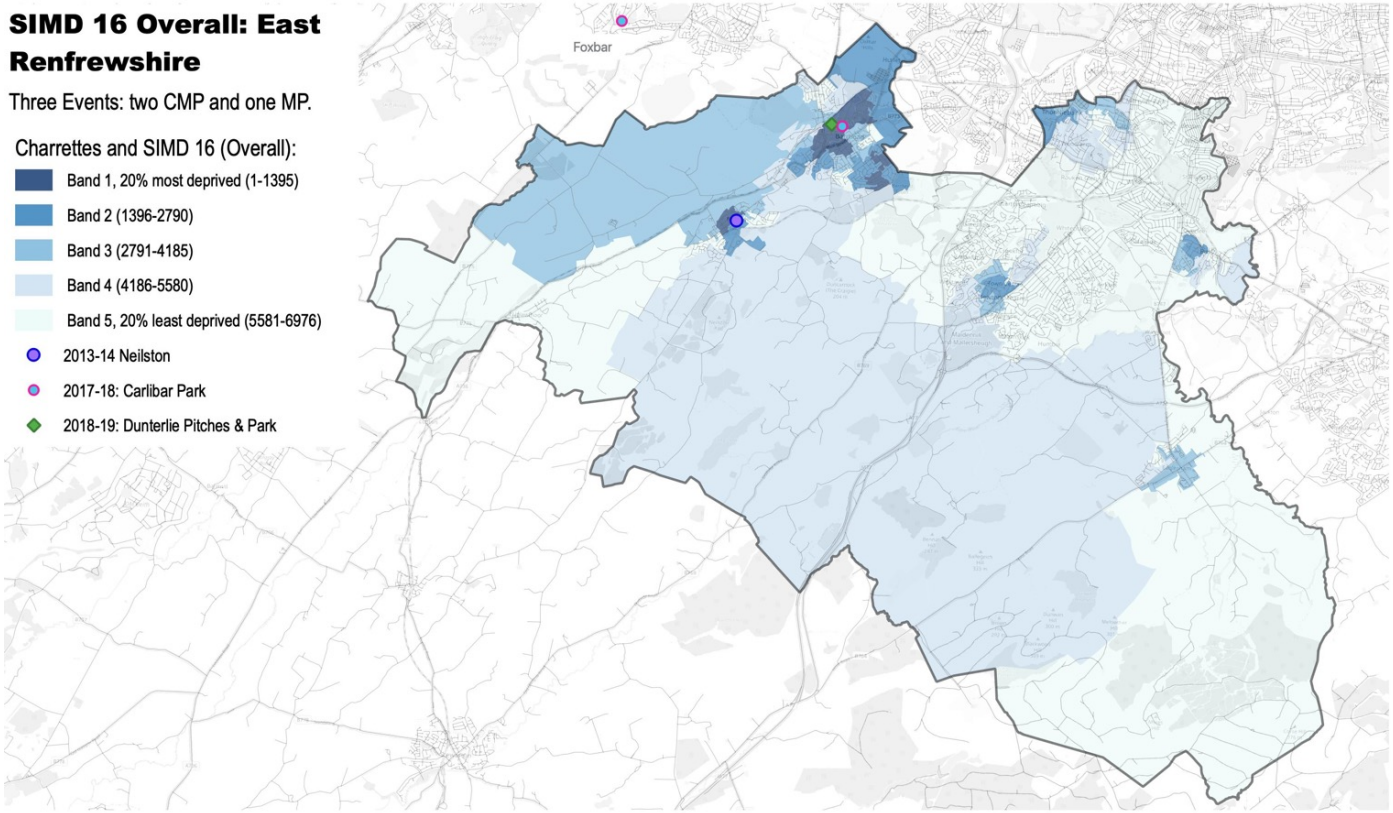
B.1.19 East Renfrewshire

East Renfrewshire borders Glasgow City Council's southern edge, which means many of its settlements are part of a larger urban settlement. East Renfrewshire has a markedly different socio-economic profile compared to its northern counterpart with just 7% Local Share of Scotland's 20% most deprived datazones. Unlike some of Glasgow City Council's southern areas (such as Castlemilk, Carnwadric / Kennishead, Nitshill, Darnley, Pollokshaws and Carmunock) that fall into first quintile datazones, East Renfrewshire's communities are largely characterised by second, third, fourth and fifth quintile datazones.

The areas within East Renfrewshire with the poorest SIMD 16 (Overall) outcomes are Dunterlie in Barrhead, Auchenback (south west of central Barrhead) and north west Neilston. All CMP and MP projects have placed in one of these areas. The Neilston project in 2013-14 was jointly commissioned and delivery focussed, building on earlier community-led outputs i.e. The Neilston Charter. More recently, East Renfrewshire Council focussed its MP awards in Carlibar Park and Dunterlie Football Pitches in Barrhead, which fall into third vigintile datazones.

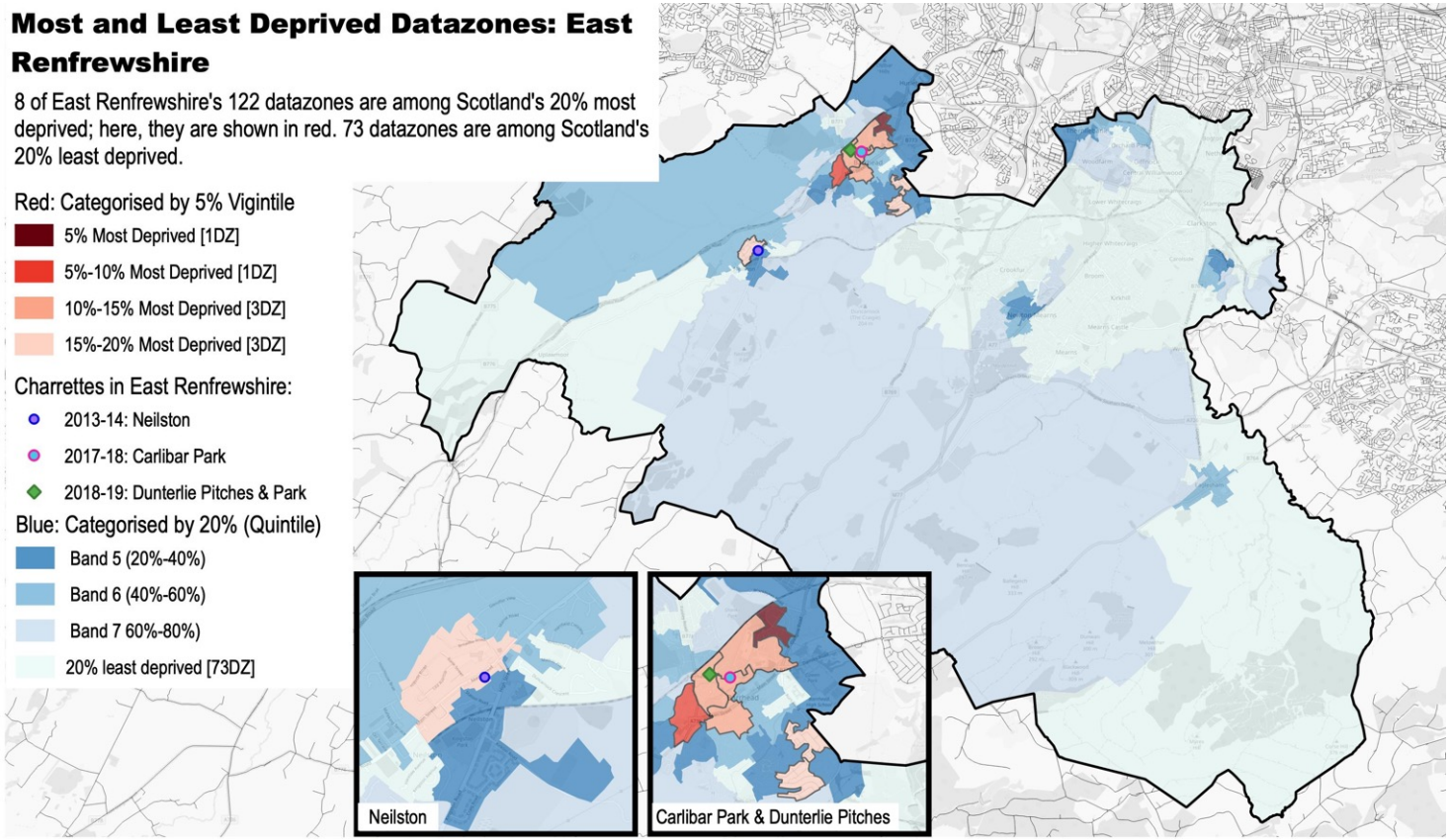
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Neilston			✓				Yes.
Carlibar Park		✓					Yes. These projects place within third vigintile datazones (S01008309, S01008313, S01008314). The surrounding area is characterised by first and second vigintile datazones (S01008316, S01008315).
Dunterlie		✓					

AppxB_Table 19 East Renfrewshire's signs of deprivation according to SIMD 16



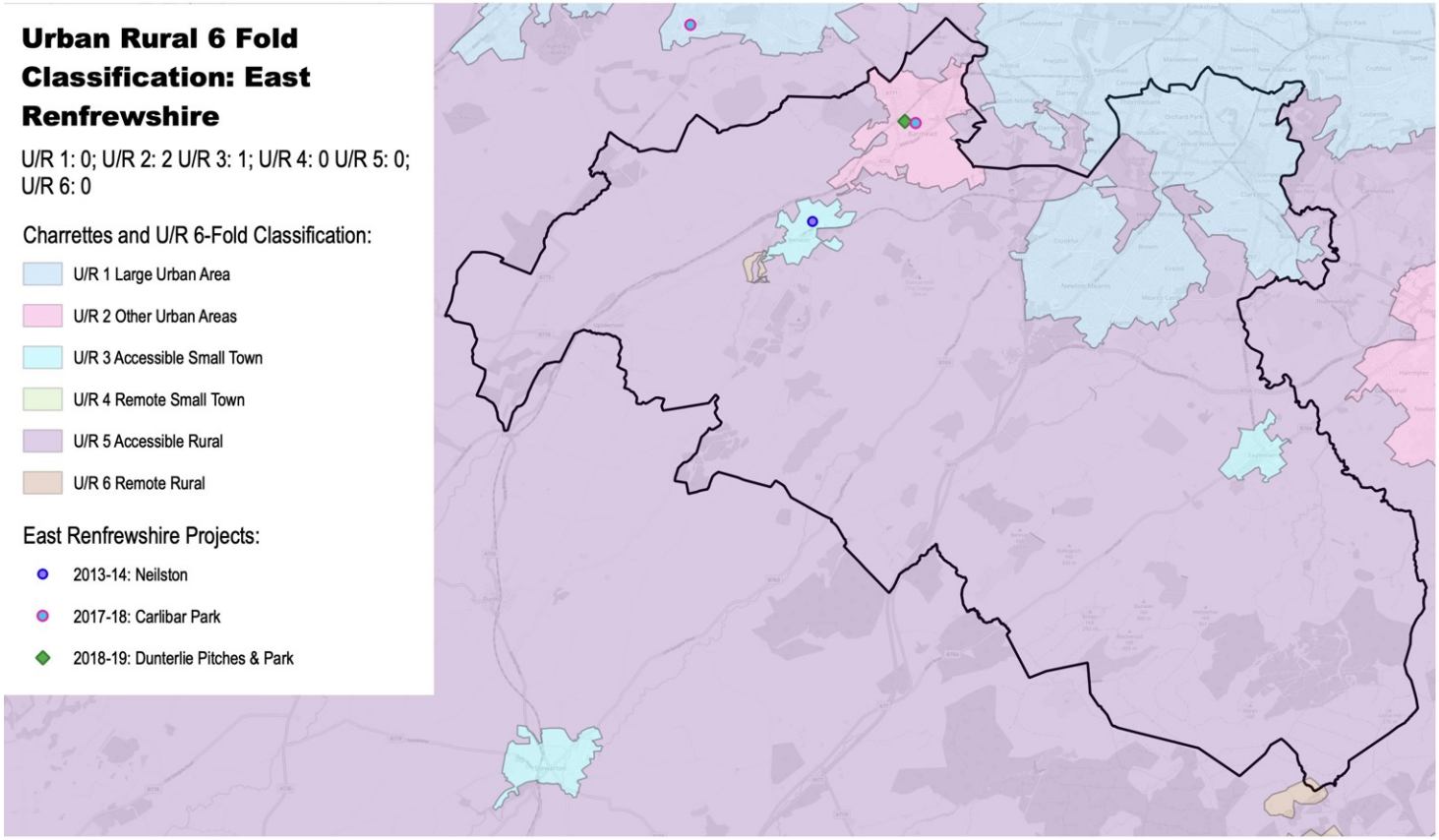
Scale:

AppxB_Figure 124: East Renfrewshire's two projects mapped



Neilston Scale 1: 50000; Carlibar and Dunterlie Scale 1: 110000; East Renfrewshire Scale 1: 210000

AppxB_Figure 125: East Renfrewshire's most and least deprived datazones



Scale 1: 190000

AppxB_Figure 126: East Renfrewshire Urban / Rural 6-Fold Classification

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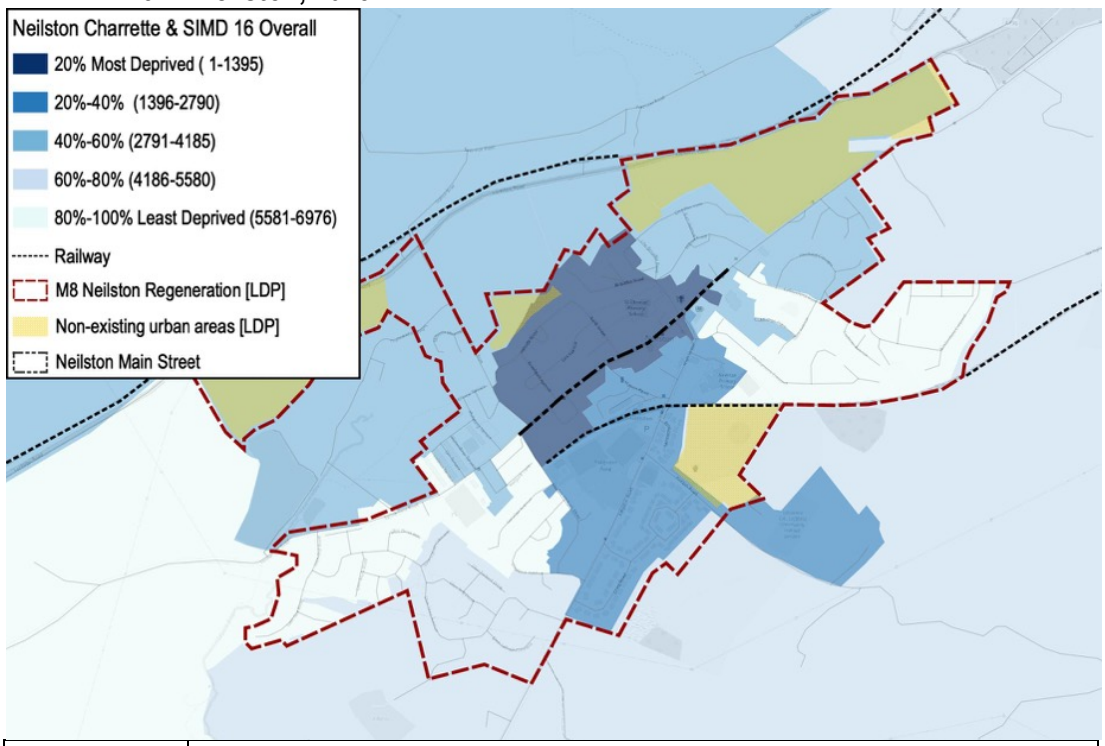
B.1.19.1 Neilston, 2013-14



Description	Using East Renfrewshire's LDP 2015, figure shows Neilston's existing settlement and non-developed sites. Scale 1: 19000
Client:	East Renfrewshire Council, Neilston Development Trust and The Community Team.
Design Team:	Tim Sneddon (lead); City Design Co-Operative, URBIS Ltd., Snook, University of Stirling and Neilson Partnership (subconsultants).
Urban / Rural:	Accessible small town, U/R 3
Study Area:	Neilston, a large village with an approximate population of 6,000 situated approximately two kilometres from Barrhead.
Focus:	A delivery-focussed charrette building on earlier community-led work (i.e., Neilston Town Charter) that was tasked with ensuring outcomes were adopted as SPG [Supplementary Planning Guidance] and presenting 'do-able projects that can be brought forward for early action'.
Planning Relation:	Charrette linked to a) LDP, b) Village Infill Strategy and c) the Neilston Town Charter. LDP adoption planned for Spring/Summer 2014, charrette timing April 2014. East Renfrewshire Council was 'looking for the Neilston Charrette process to inform and support the SPG statutory process'. Additionally, the charrette was tied to earlier community-led work (Neilston Town Charter); and charrette work aimed to address issues noted in the Village Infill Strategy.
Post-Project:	--
Format:	Charrette event bookended by two plenary sessions (22nd February – 29th March 2014) with a five-week programme of engagement in between. Activities included: thematic group sessions, stakeholder meetings (e.g., landowners, council staff, retail representatives), one-month open design studio drop-in, creative sessions (e.g., Lego building, youth design challenge), DT attendance at local events (e.g. youth group), on-street engagement, site walkabouts, informal tea & cake drop-in, street installation idea cards, dedicated webpage and social media.
References:	(East Renfrewshire, 2015 ; Tim Sneddon et al., 2014)

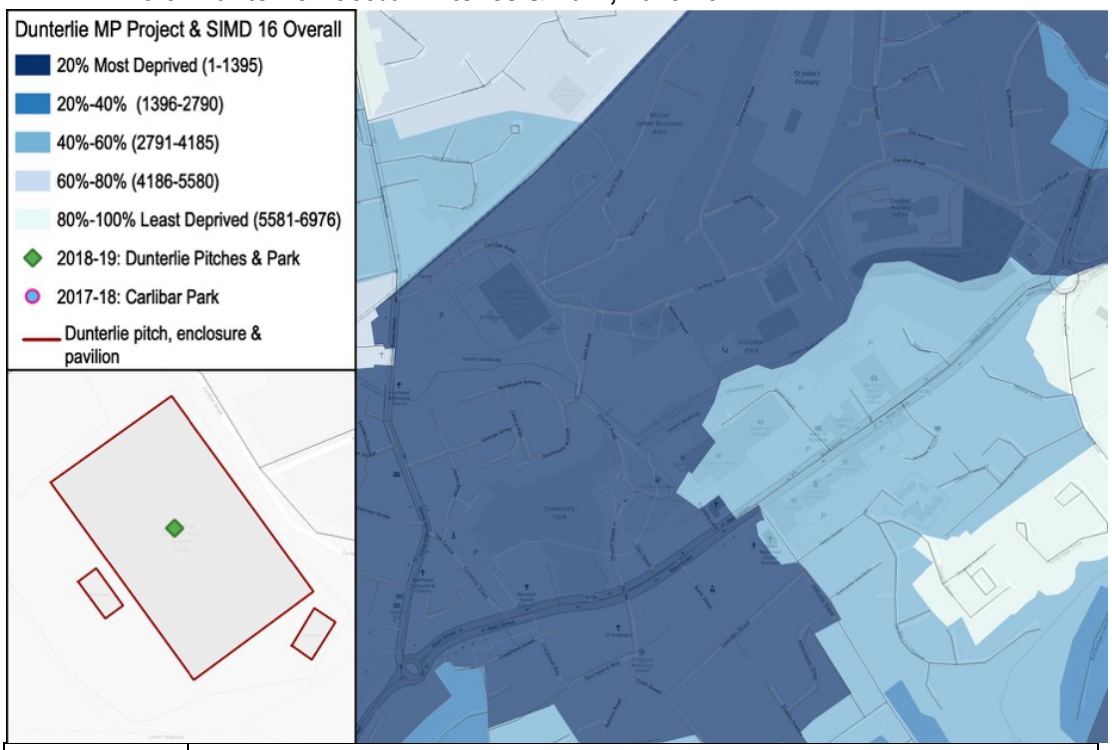
AppxB_Figure 127: Using East Renfrewshire's LDP 2015

B.1.19.2 Carlibar Park, 2017-18

Description	AppxB_Figure 128: Carlibar area profile and study boundary. Scale 1: 1700
Client:	East Renfrewshire Council
Design Team:	Pidgin Perfect.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Carlibar Park and its wider environs. Geographic study area extended to Barrhead's High Street, Barrhead Health Centre, The Foundary, Carlibar Primary School, Barrhead Asda superstore, Barrhead Train Station and surrounding residential area.
Focus:	To lead a programme of engagement addressing two Carlibar Park relevant, existing projects (see below) and produce recommendations in the form of a landscape design strategy to assist future development work.
Planning Relation:	Carlibar Park MP project was set within East Renfrewshire Council's wider programme of town centre regeneration. MP project acknowledges an earlier Carlibar Park Masterplan (2011), a Locality Action Plan informed by volunteer-led research, and two on-going / relevant projects within study boundary i.e., a SEPA restoration project and residential development initiative dependant on the former project's outcome.
Post-Charrette:	East Renfrewshire Council commission Pidgin Perfect in the following round of MP grants 2018-19 (see Dunterlie Football Pitches& Park, 2018-19).
Format:	MP project conducted through three stages. Stage one: DT site visits, desk-based research and digital survey creation and launch. Stage two: key stakeholder meeting (6th March), school workshops (5th & 6th March). Stage three: drop-in exhibition presenting initial landscape strategy. Additionally, a publicity campaign was managed (e.g., social media presence, flyer distribution advertising drop-in session) and DT and CT attendance at local events.
References:	(Pidgin Perfect, 2018; Rooney, 2016)

AppxB_Figure 129: Carlibar area profile

B.1.19.3 Dunterlie Football Pitches & Park, 2018-19



Client	East Renfrewshire Council
Design Team	Pidgin Perfect
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Community green space: Dunterlie Park, Barrhead
Focus:	To develop a new plan / action plan for Dunterlie area in Barrhead.
Planning Relation:	Dunterlie football pitches and park lie within the Carlibar Park remit (see above).
Post-Charrette:	--
Format:	Community engagement activities for MP Dunterlie project include an online survey, social media campaign and two sessions held in Dunterlie Resource Centre (13th March 1800-2000 & 23rd March 1200-1600, 2019). The first is described as a drop-in and second a celebratory session.
References:	(East Renfrewshire Council, n.d.; MP Respondent 5, personal communication, 2019 ; Pidgin Perfect, 2019a)

AppxB_Figure 130 Dunterlie Football Pitches & Park, 2018-19

B.1.20 Perth & Kinross

With a 6% Local Share of Scotland's 20% most deprived datazones, Perth and Kinross have had four CMP projects between 2013-14 and 2015-16. The local authority's worst SIMD 16 outcomes are found in residential areas of Letham, Tulloch and North Muirton (north west of Perth City); central and south Inch in Perth City; and in the remote small town of Blairgowrie & Ratray.

CMP funding has been used in Perth, Blairgowrie & Rattray and Crieff, Aberfeldy & Auchterarder. Although two projects centre in Perth, neither directly place in areas with first quintile datazones. For example, the jointly commissioned Bridgend (2013-14) focussed on communities Bridgend, Gannochy and Kinnoull on the left bank of the River Tay that are largely characterised by third, fourth and fifth quintile datazones; poorer SIMD 16 (Overall) outcomes lie across the River Tay. The following year, Perth West (2014-15) focussed more specifically on a site earmarked for urban expansion that falls within a fourth quintile datazone. However, between the site's eastern edge and the River Tay are residential areas Letham, Tulloch and Muirton.

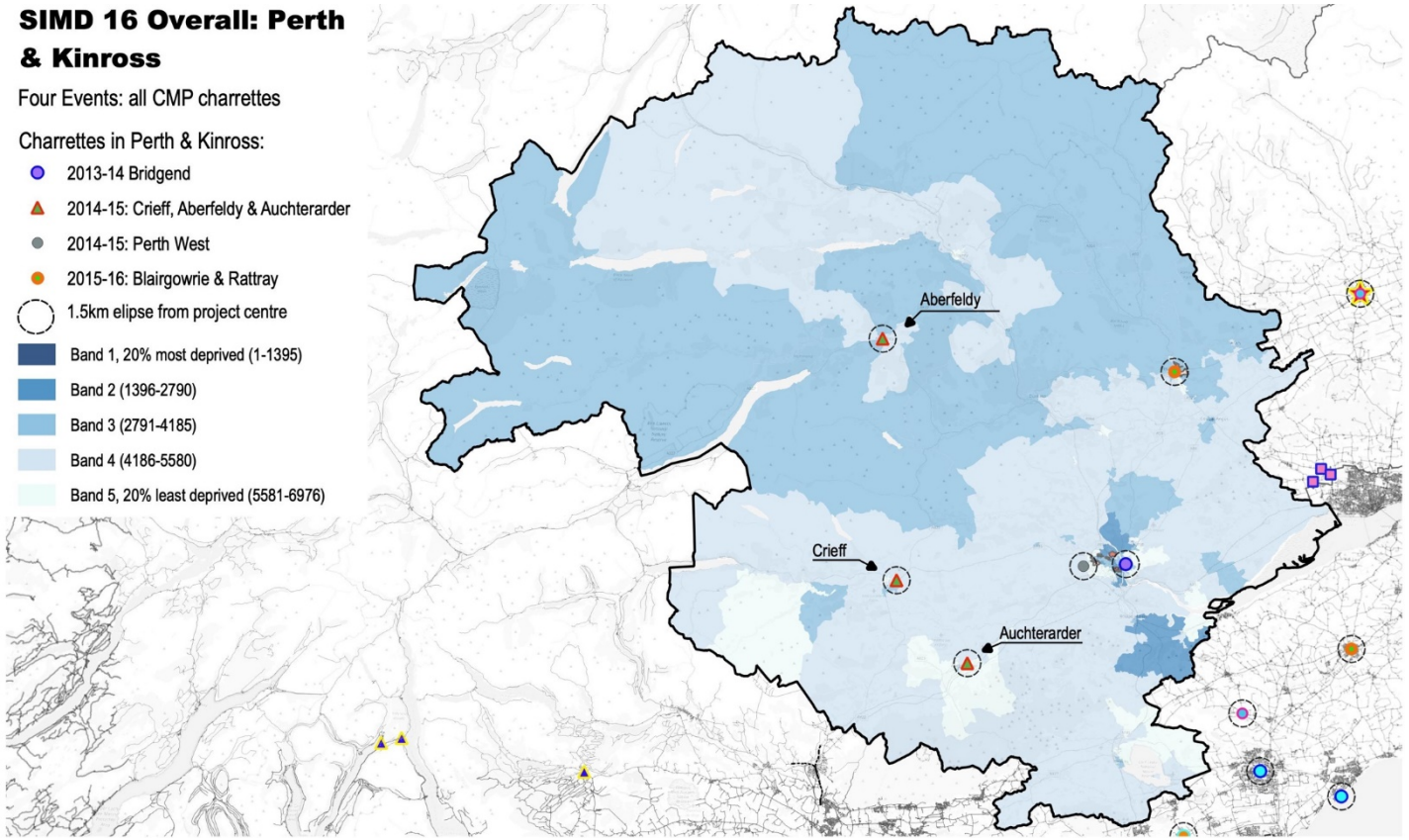
In the following CMP round, Blairgowrie and Rattray Community Council commissioned a charrette with support from Perth and Kinross Council. Whilst it considered adjacent sites and surrounding environs, its study boundary follows Blairgowrie's town centre, which falls into second, third and fifth quintile datazones. Datazones in the second and fourth vigintile lie across the River Ericht in Rattray.

The council-led, polycentric charrette (commissioned the same year as Perth West) focussed on three semi-rural and rural communities: Auchterarder (U/R 3), Crieff (U/R 4) and Aberfeldy (U/R 6). Neither have datazones in the first quintile.

	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Bridgend			✓				No. Bridgend falls into a third quintile datazone with neighbouring Kinnoull and Gannochy falling into fourth and fifth quintile datazones.
Perth West					✓		No. The study area falls into fourth quintile datazone with Perth & Kinross's poorest SIMD 16 (Overall) outcomes lying east of site.
Aberfeldy, Crieff & Auchterarder			✓	✓		✓	No. Aberfeldy is characterised by third and fourth quintile datazones; Crieff and Auchterarder are characterised by third, fourth and fifth quintile datazones.

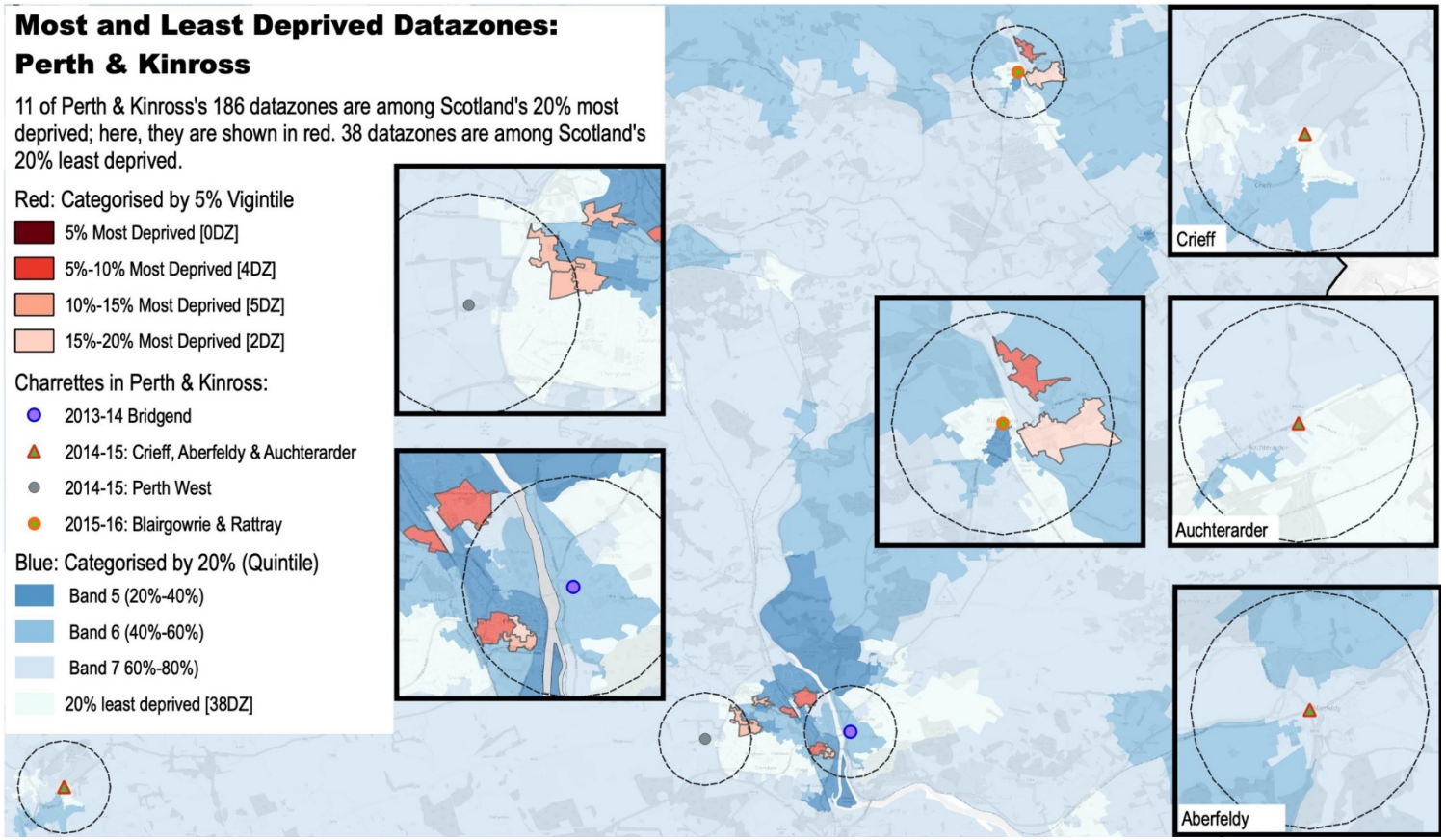
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Blairgowrie & Rattray				✓			Little. The study area falls into third, fourth and fifth quintile datazones. Within a 1.5 km boundary of study areas, datazones in the second and fourth vigintile are found. S01011984 and S01011986 lie across the River Ericht in neighbouring Rattray.

AppxB_Table 20 Perth & Kinross, signs of deprivation according to SIMD 16



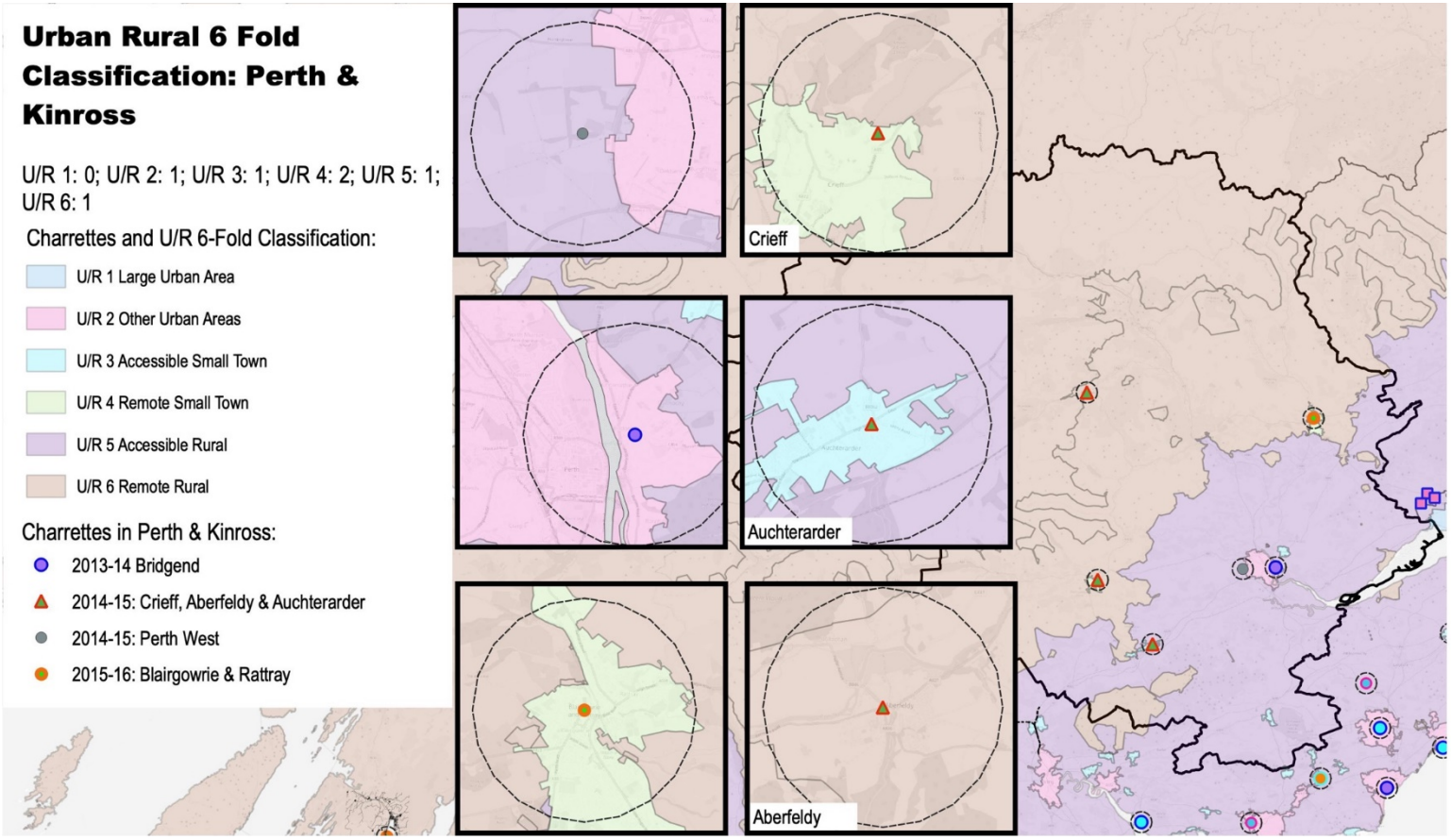
Scale 1: 600000

AppxB_Figure 131: Perth and Kinross four CMP projects mapped



Scales: Perth & Kinross 1:180000; Perth West 1:75000; Blairgowrie & Rattray 1: 75000; Bridgend 1: 75000; Crieff, Aberfeldy & Auchterarder 1:70000

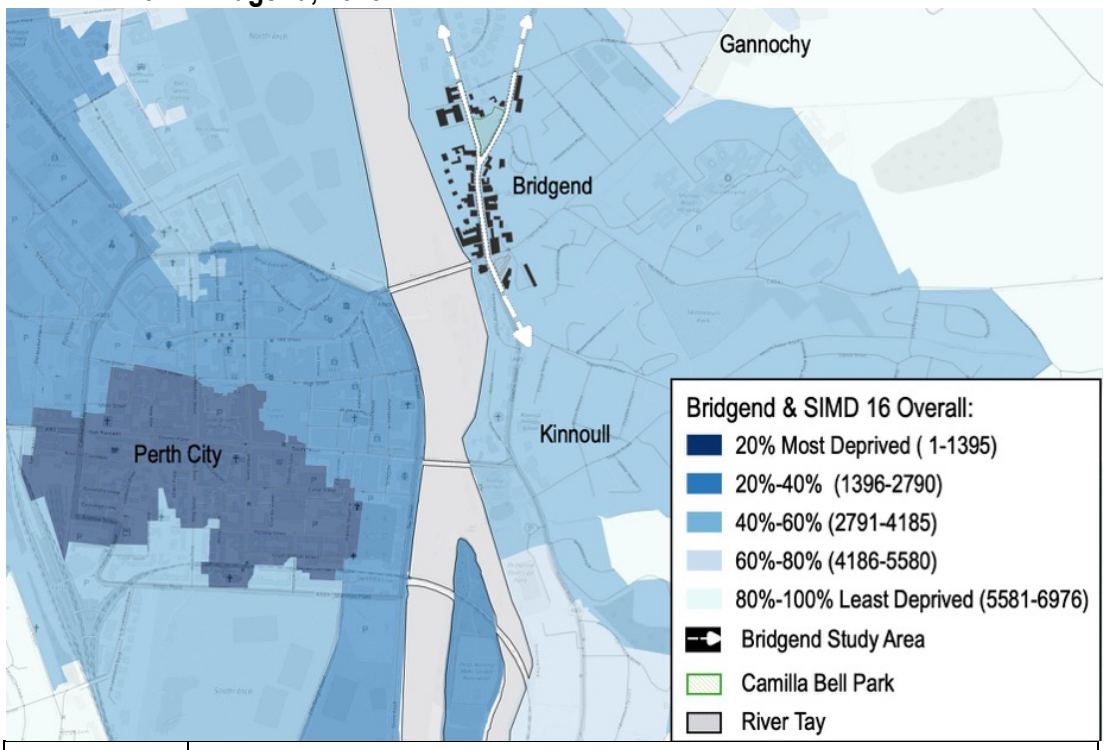
AppxB_Figure 132: Perth and Kinross's most deprived datazones



Scale 1:800000; Perth West Scale 1:75000; Blairgowrie & Rattray Scale 1:75000; Bridgend Scale 1:75000; Crieff, Aberfeldy & Auchterarder 1:70000

AppxB_Figure 133: Perth and Kinross Urban / Rural 6-Fold Classification

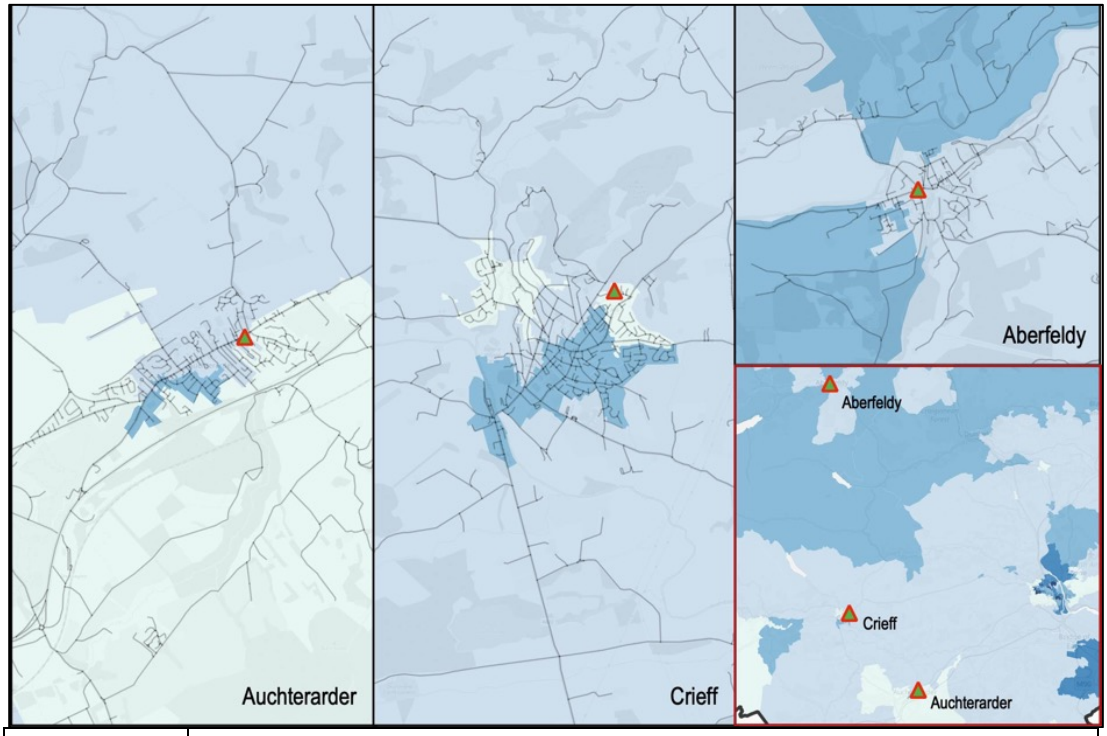
B.1.20.1 Bridgend, 2013-14



Description	Bridgend area profile. Scale 1: 17000
Client	Perth and Kinross Council in partnership with Bridgend, Gannochy and Kinnoull Community Council and Perth Left Bank Community Development Trust. The latter was formed by the Community Council in 2011.
Design Team	7N Architects (Lead); Nick Wright Planning and Steve Tolson (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Bridgend, Gannochy & Kinnoull; an area that is part of Perth City on the left bank of the River Tay.
Focus:	To prepare a twenty-year vision and action plan based on community aspirations for the future of Bridgend. An indicative action plan providing 'stepping stones' is presented in final report.
Planning Relation:	Output recommends Perth & Kinross Council to use charrette's findings to influence 'land use planning policy, service delivery (Community Planning) and capital and revenue budgets'.
Post-Charrette:	--
Format:	A condensed five-stage charrette process including desk-based research, site visits and discussions with various groups / stakeholders; a drop-in session followed by a future visioning themed workshop (March 3rd 2014); design proposal development; second drop-in session followed by 'ideas to reality' themed workshop (March 10th 2014); and final report publication.
References:	(7N Architects et al., 2014)

AppxB_Figure 134: Bridgend area profile. Scale 1: 17000

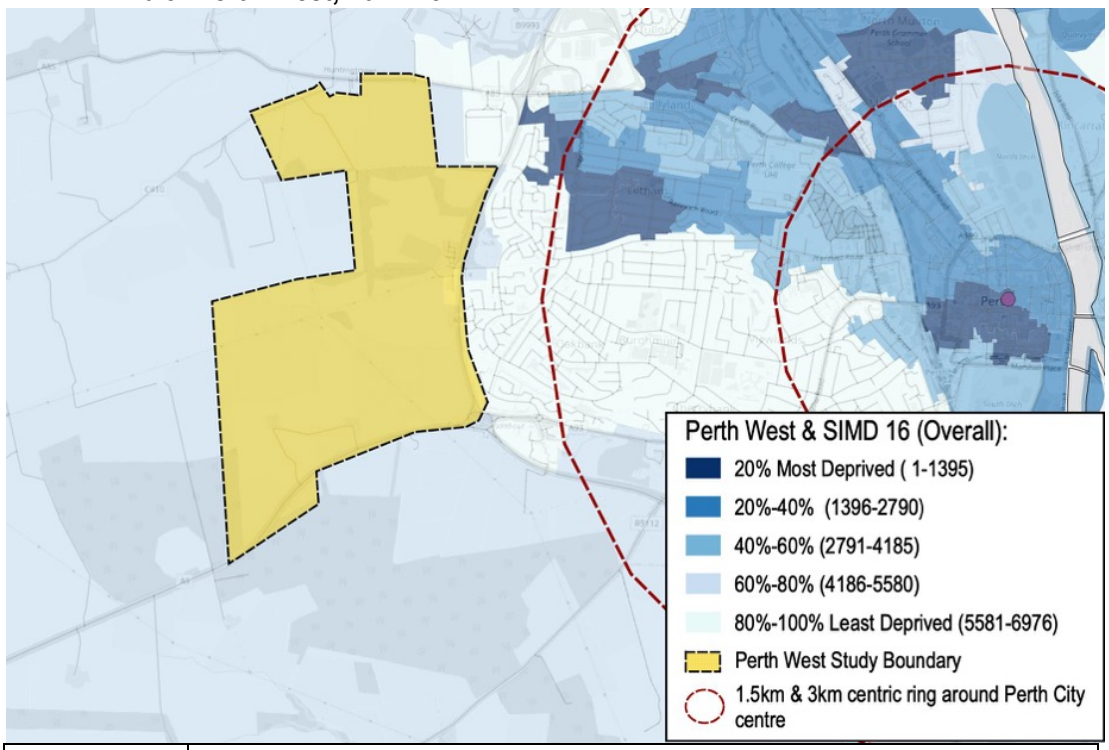
B.1.20.2 Crieff, Aberfedly & Auchterarder, 2014-15



Description	Crieff, Aberfeldy & Auchterarder charrette profile. Single location map scale 1: 135000
Client	Perth and Kinross Council [Crieff: support from Crieff Community Council, Crieff Community Trust and Crieff & Upper Strathearn Partnership; Auchterarder: support from Auchterarder and District Community Council and Auchterarder Community Partnership; Aberfeldy: support from Aberfeldy Community Council and Aberfeldy Small Business Association].
Design Team	7N Architects (Lead); Nick Wright Planning, Jura Consultants and Steve Tolson. PAS were involved in facilitating a school engagement session in Crieff.
Urban / Rural:	Crieff; remote small town, U/R 4: Aberfeldy; remote rural, U/R. 6; Auchterarder; accessible small town, U/R 3.
Study Area:	Town centres.
Focus:	Crieff and Aberfeldy reports state the aim was to develop 'flexible framework and vision for town centre regeneration'. Similarly, Auchterarder charrette work intended to 'provide a common vision for Auchterarder town centre, [and] a flexible framework for regeneration'.
Planning Relation:	Each output recommends the charrette's findings be used 'to influence council land use planning policy and service delivery/infrastructure and facilities investment by the Council and its Community Planning partners (capital and revenue budgets)'.
Post Project:	--
Format:	Charrette approach followed same pattern in each town. For example, Auchterarder: five-stage process including desk-based research, site visits and discussions with various groups / stakeholders; an 'ideas and ambition' themed workshop (13th March 2015); draft proposal development; a priorities and action themed workshop (9th April); and finalise proposals / reporting.
References:	(7N Architects, Nick Wright Planning, Jura Consultants, Steve Tolson, et al., 2015; 7N Architects, Nick Wright Planning, et al., 2015a, 2015b)

AppxB_Figure 135: Crieff, Aberfeldy & Auchterarder charrette profile

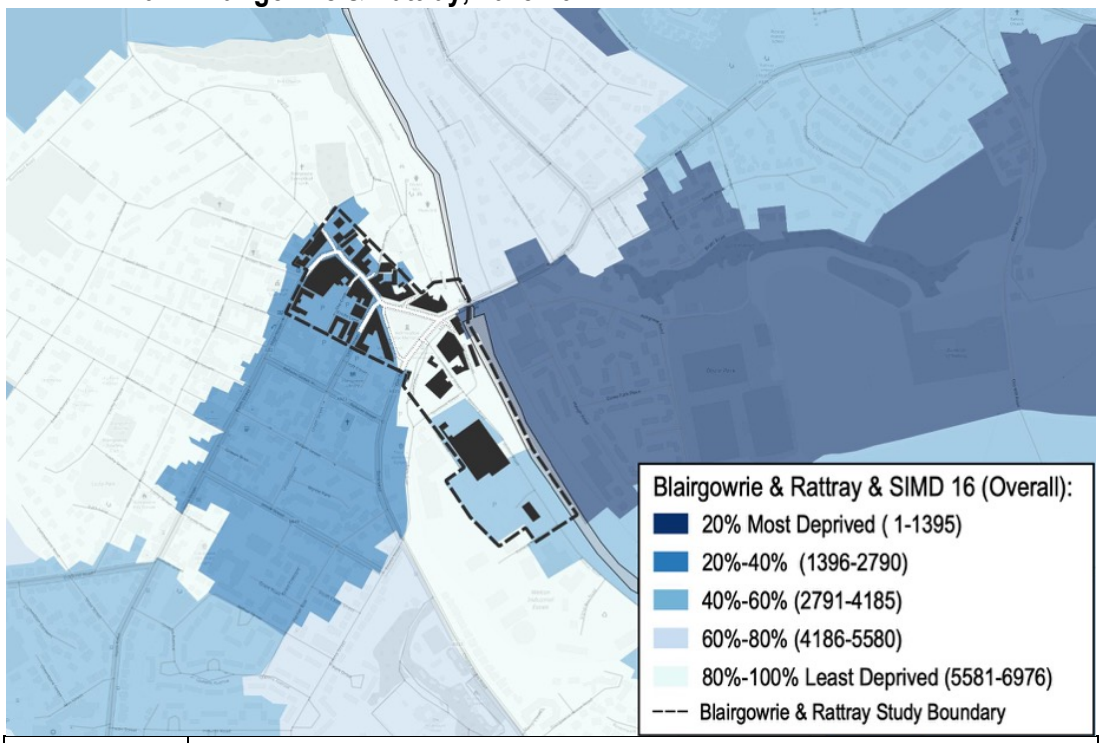
B.1.20.3 Perth West, 2014-15



Description	Perth West charrette study boundary mapped against SIMD 16 Overall datazones. Scale 1:45000
Client	Perth and Kinross Council with support from 'key landowners [John Dewar Lamberkin Trust (JDLT) and Muir Homes]'.
Design Team	Ironside Farrar Ltd (Lead); Smith Scott Mullan, Sam Shortt Consulting and John Brown & Company (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Perth West focussed on a site approximately three miles west of Perth City that had been identified in the LDP for mixed-use development. The site is 285 ha and could potentially accommodate more than 3000 new homes.
Focus:	The charrette intended to produce a Masterplan Framework for the study area.
Planning Relation:	Perth & Kinross's LDP identifies this site suitable for development. The charrette 'report is to support the Perth and Kinross Local Development Plan (LDP) and explore further consideration of the site for mixed use development'.
Post Project:	Charrette findings informed Main Issues Report for the emerging LDP2.
Format:	A two plus one format with targeted school engagement in between: 2015 charrette event dates, 30th & 31st March, April 23rd school 'mini-charrette' event and April 28th report back. March activities included: presentations, site visit, themed workshops, drop-in design surgery, design workshops and creative events (i.e., Dragon's Den-styled session). April activities included: design review with Perth & Kinross officers, working lunch with Perth & Kinross elected members and drop-in exhibition.
References:	(Ironside Farrar Ltd et al., 2015; Perth & Kinross Council, 2017)

AppxB_Figure 136: Perth West charrette study boundary mapped

B.1.20.4 Blairgowrie & Rattray, 2015-16



Description	Blairgowrie & Rattray charrette study boundary, adapted from final output report, mapped against SIMD 16 Overall datazones. Scale 1: 20255
Client	Blairgowrie & Rattray Community Council (CT lead) with support from other partners and Perth & Kinross Council.
Design Team	DPT Urban Design (Lead); Andrew Carrie Traffic & Transportation Ltd., Here + Now, Willie Miller Urban Design, Richard Whatman Consulting, 4Consulting and Children's Parliament
Urban / Rural:	Remote small town, U/R 4.
Study Area:	Principally town centre (as defined in LDP boundary), however adjacent sites also considered.
Focus:	To conduct a community appraisal identifying the town centre's 'unique selling points'; propose ideas and project proposals for future action; and identify local champions willing to 'help shape [town centre's] future'.
Planning Relation:	Charrette timing coincided with Perth & Kinross Council's MIR engagement for LDP2; although, this and charrette were 'standalone projects', timing allowed for collaborative working. Additionally, the charrette report recommends its findings be used as a starting point for East Perthshire Locality Community Planning.
Post Project:	--
Format:	Pre-charrette activities included targeted workshops (i.e., council officers, Place Standard with stakeholders / identified groups, schools) and research (i.e., parking audit, socio-economic appraisal and public life survey). Four-day consecutive format (29th February – 3rd March 2016), using five engagement techniques: one-to-one discussions, young people session, themed group sessions, drop-in / review and presentation & feedback.
References:	(Discover Blairgowrie, n.d.; DPT Urban Design, Andrew Carrie Traffic & Transportation Ltd., et al., 2016)

AppxB_Figure 137: Blairgowrie & Rattray charrette study boundary,

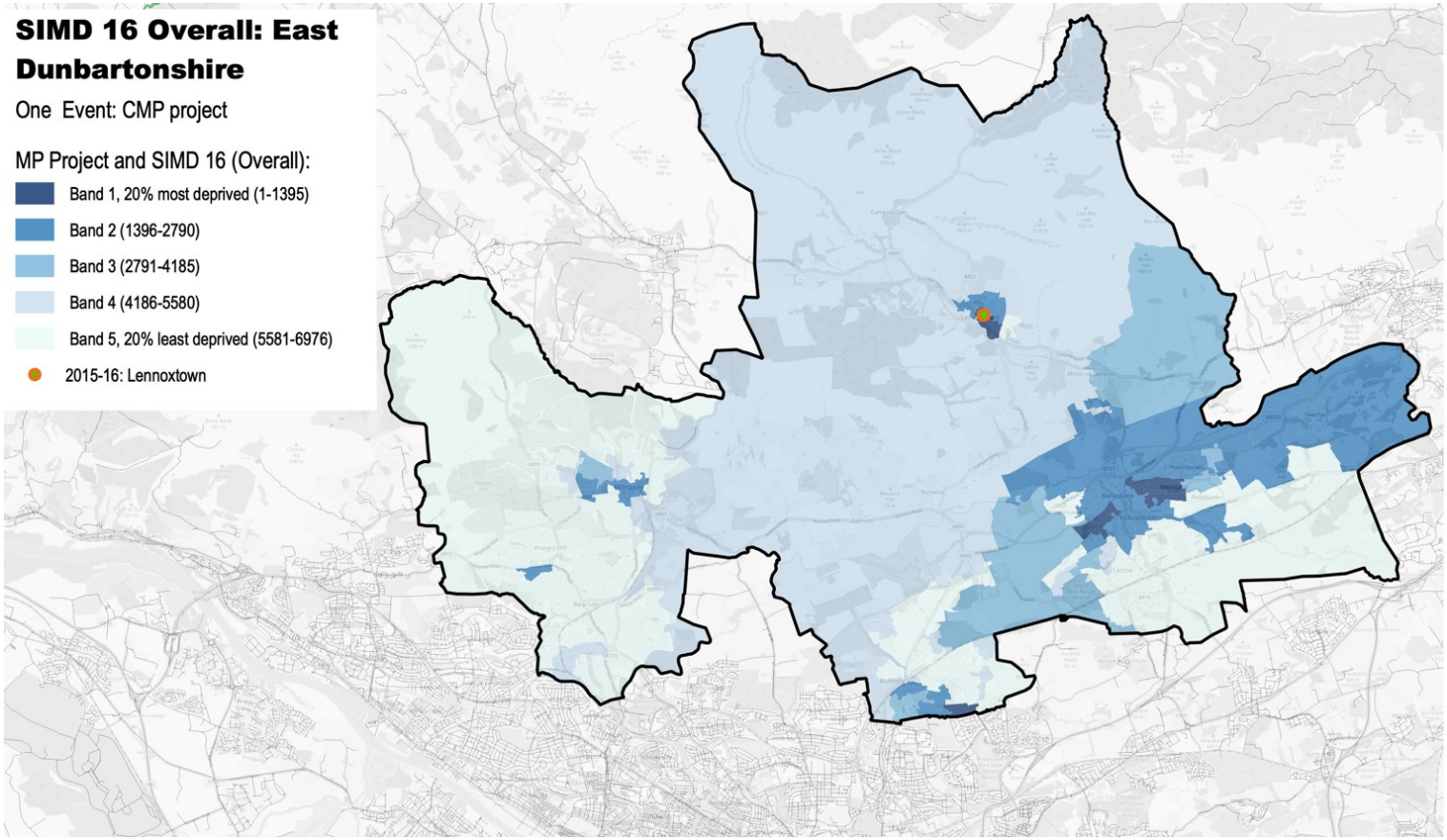
B.1.21 East Dunbartonshire

East Dunbartonshire commissioned Lennoxtown in the CMP's fifth round. The charrette focused primarily on the accessible small town's (U/R 3) town center boundary and has been the authority's only project supported through the CMP, AI or MP initiative. Lennoxtown's S01008159 datazone is one of six that are among Scotland's first quintile datazones in East Dunbartonshire. Other areas within East Dunbartonshire with first quintile datazones include Auchinairn (U/R 1) on East Dunbartonshire's southern boundary (S0100816); residential suburb Hillhead (S01008137, S01008138, S01008139); and Kirkintilloch West (S01008131).

Therefore, CMP funding has been used in one of several areas evidencing a possible need for support.

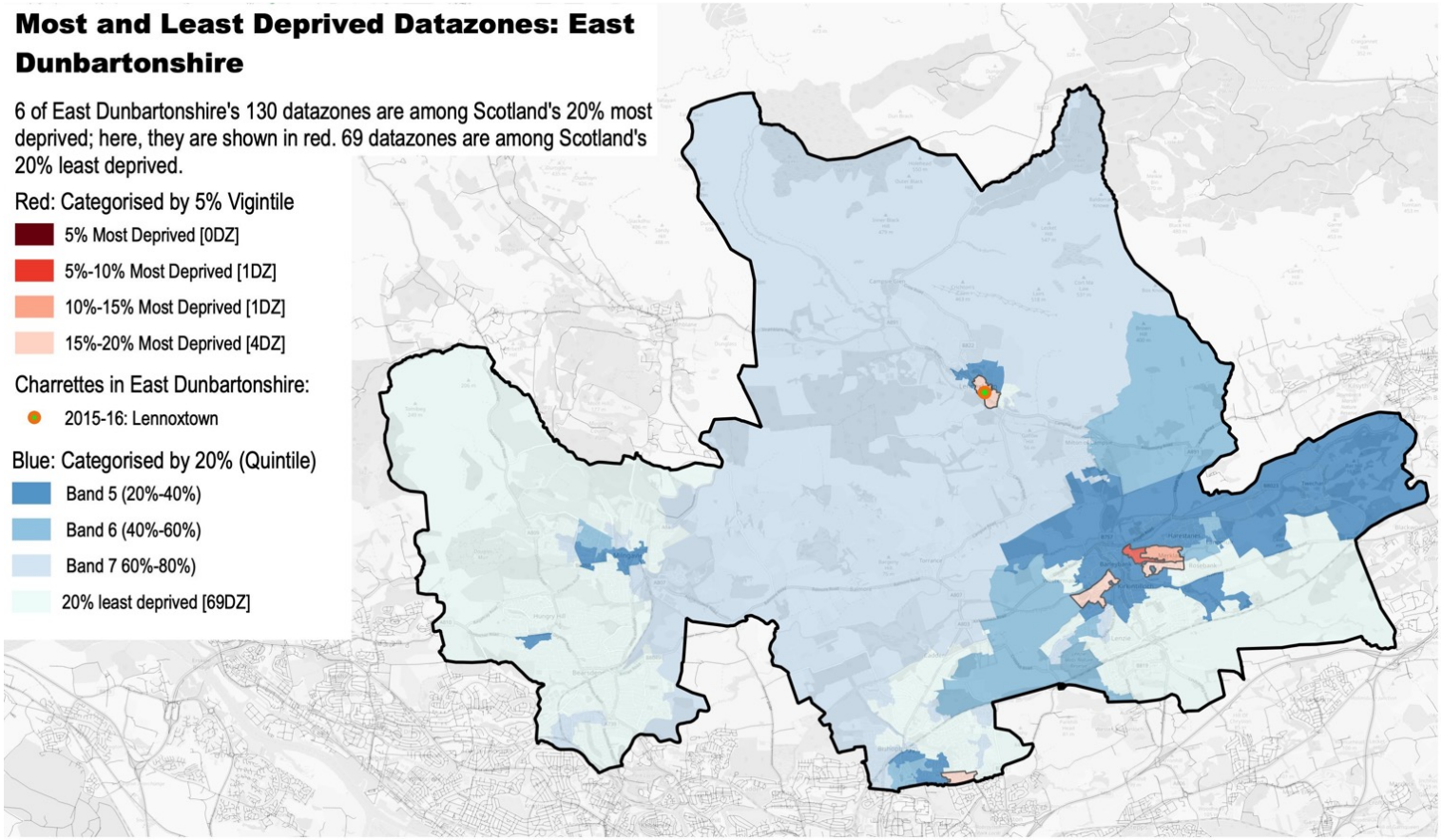
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Lennoxtown			✓				Yes. Lennoxtown has one of six first quintile datazones in East Dunbartonshire. Hillhead has a greater share with three first quintile datazones.

AppxB_Table 21 East Dunbartonshire's signs of deprivation according to SIMD 16



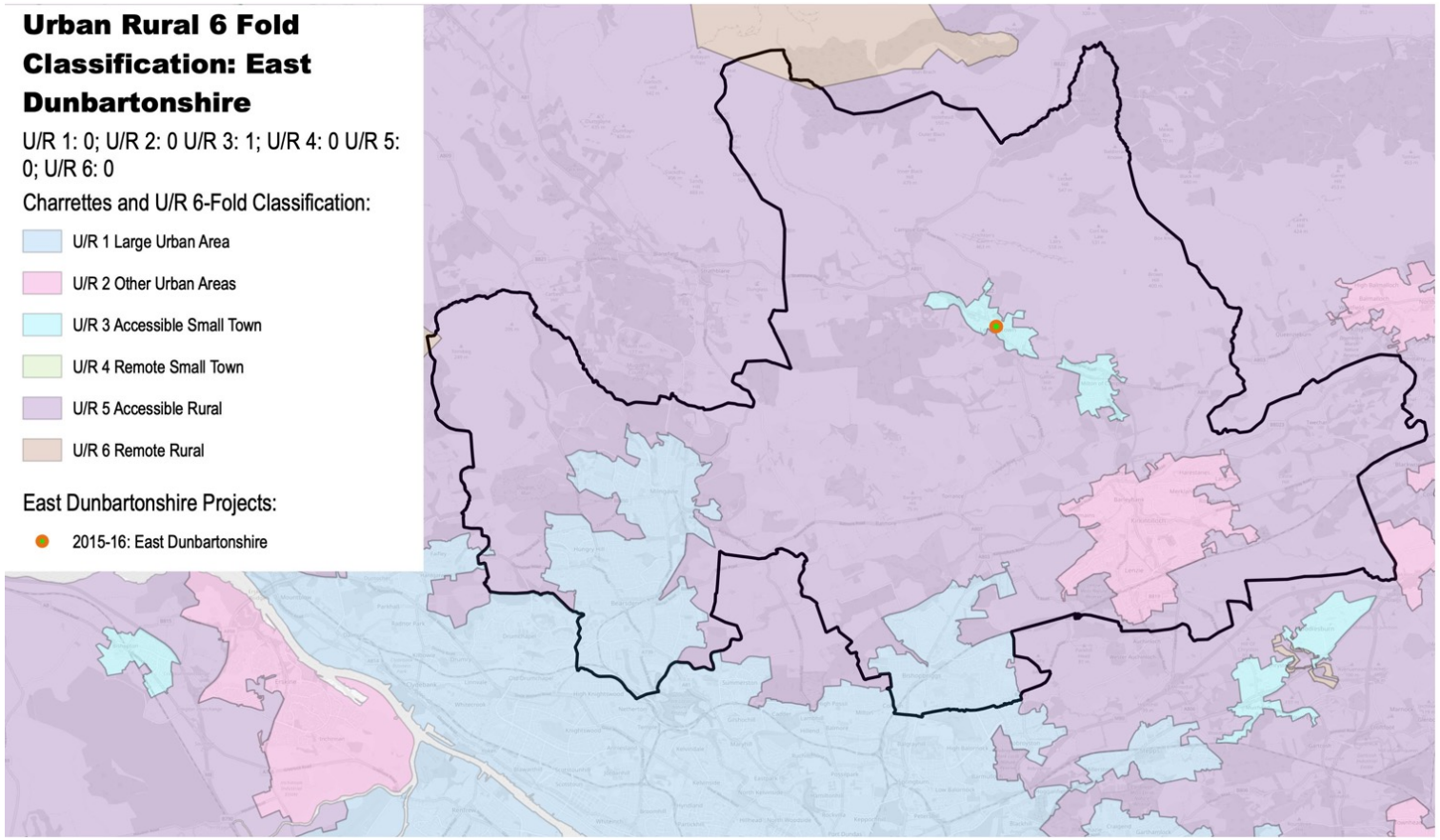
Scale 1: 210000

AppxB_Figure 138: East Dunbartonshire's one CMP project mapped



Scale 1: 210000

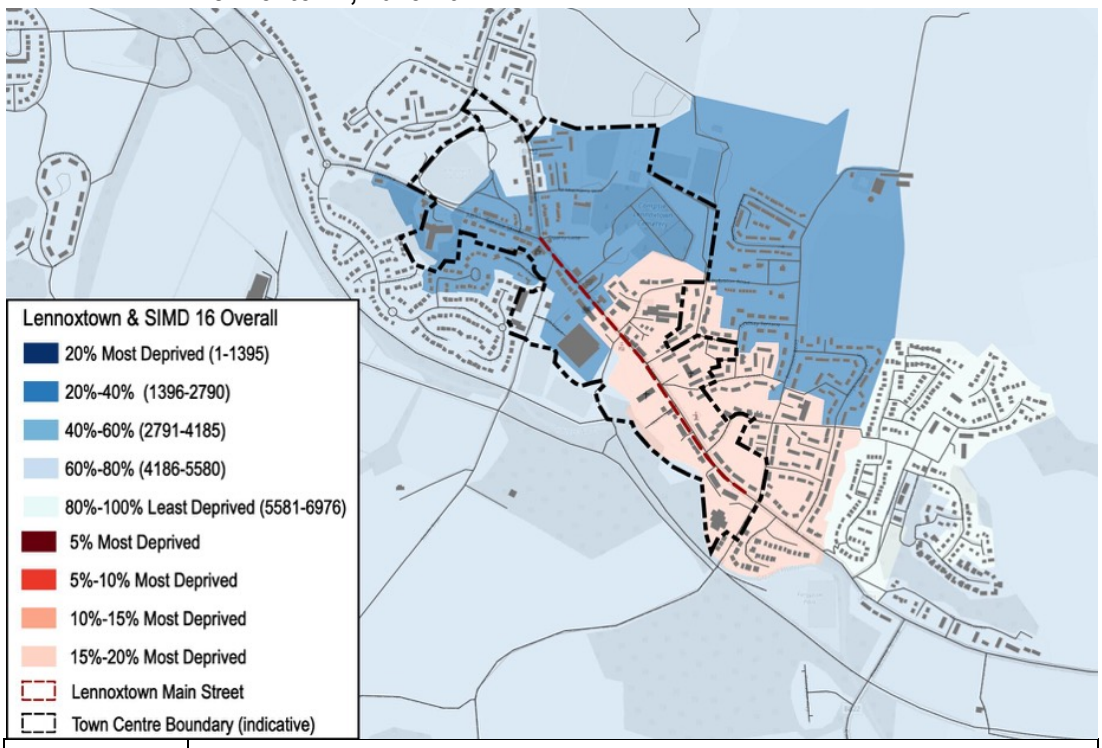
AppxB_Figure 139: East Dunbartonshire's most and least deprived datazones



Scale 1: 220000

AppxB_Figure 140: East Dunbartonshire Urban / Rural 6-Fold Classification

B.1.21.1 Lennoxtown, 2015-16



Description	Lennoxtown area profile. Scale 1: 15000
Client	East Dunbartonshire Council
Design Team	DPT Urban Design (lead); Andrew Carrie, Here + Now, Willie Miller Urban Design, John Gilbert Architects, LX Arts Ltd., 4 Consulting and Richard Whatman Consulting.
Urban / Rural:	Accessible small town, U/R 3.
Study Area:	The study area was Lennoxtown's town centre boundary as defined by LDP (see indicative boundary above adapted from charrette output). LDP defines a village centre boundary within the above dashed black like.
Focus:	Charrette aimed to 'support the development of a Town Centre Action Plan', which includes ideas for project proposals in Lennoxtown.
Planning Relation:	--
Post Project:	--
Format:	Pre-charrette activities included targeted workshops (i.e., council officers, Place Standard with stakeholders / identified groups, schools) and research (i.e. socio-economic appraisal and public life survey). Four-day consecutive format (11th-14th March 2016), using three techniques: one-to-one discussions, drop-in / review, presentation & feedback.
References:	(DPT Urban Design, Andrew Carrie, et al., 2016)

AppxB_Figure 141: Lennoxtown's area profile

B.1.22 East Lothian

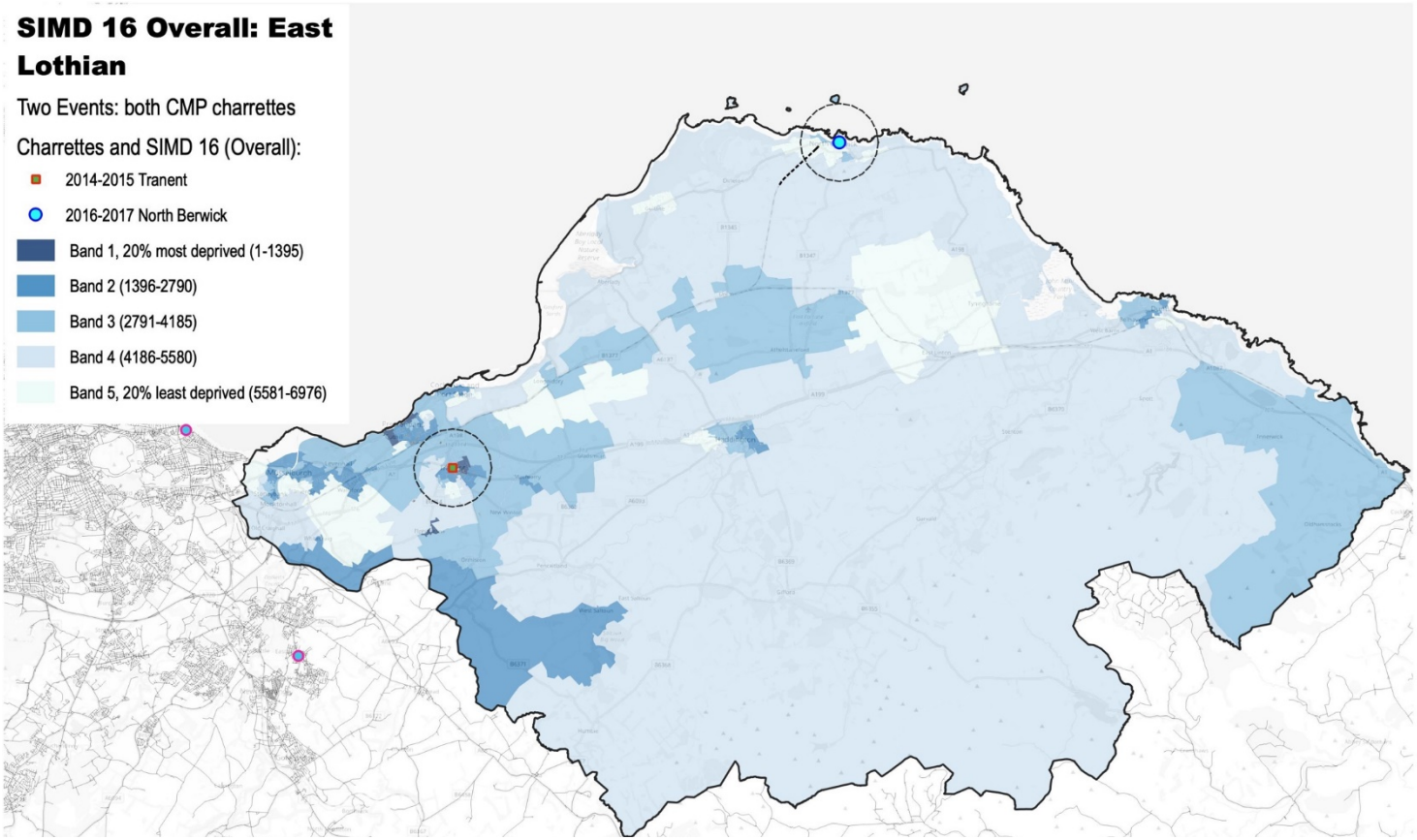
East Lothian's two charrettes were used in connection with community and spatial planning processes. Two of East Lothian's community planning area partnerships were involved, either as lead client or co-client. The Fa-side Area Partnership and East Lothian Council used their CMP award in 2014-15 to commission a charrette in Tranent (U/R 2). Which is the area-partnership's largest town with two first quintile datazones (S01008220, S01008221). The outputs informed the Tranent Town Centre Strategy, which was adopted as Supplementary Planning Guidance, thus, forming part of the LDP.

In 2016-17, the North Berwick Area Partnership commissioned a charrette for their largest town, North Berwick (U/R 4) on the south coast of the Firth of Forth. The outputs were intended to inform the Local Area Plan, which is one of two statutory plans required of CPPs (Scottish Government, n.d.). Unlike Tranent with datazones in the third and fourth vigintile, North Berwick datazones fall into third, fourth and fifth quintile.

Other areas within East Lothian with poor SIMD 16 (Overall) outcomes (i.e., ranked 1395 or below) are found in Prestonpans and Cuthil (S01008199, S01008200, S01008203) east of Musselburgh, and the accessible rural Elphinstone south west of Tranent (S01008234).

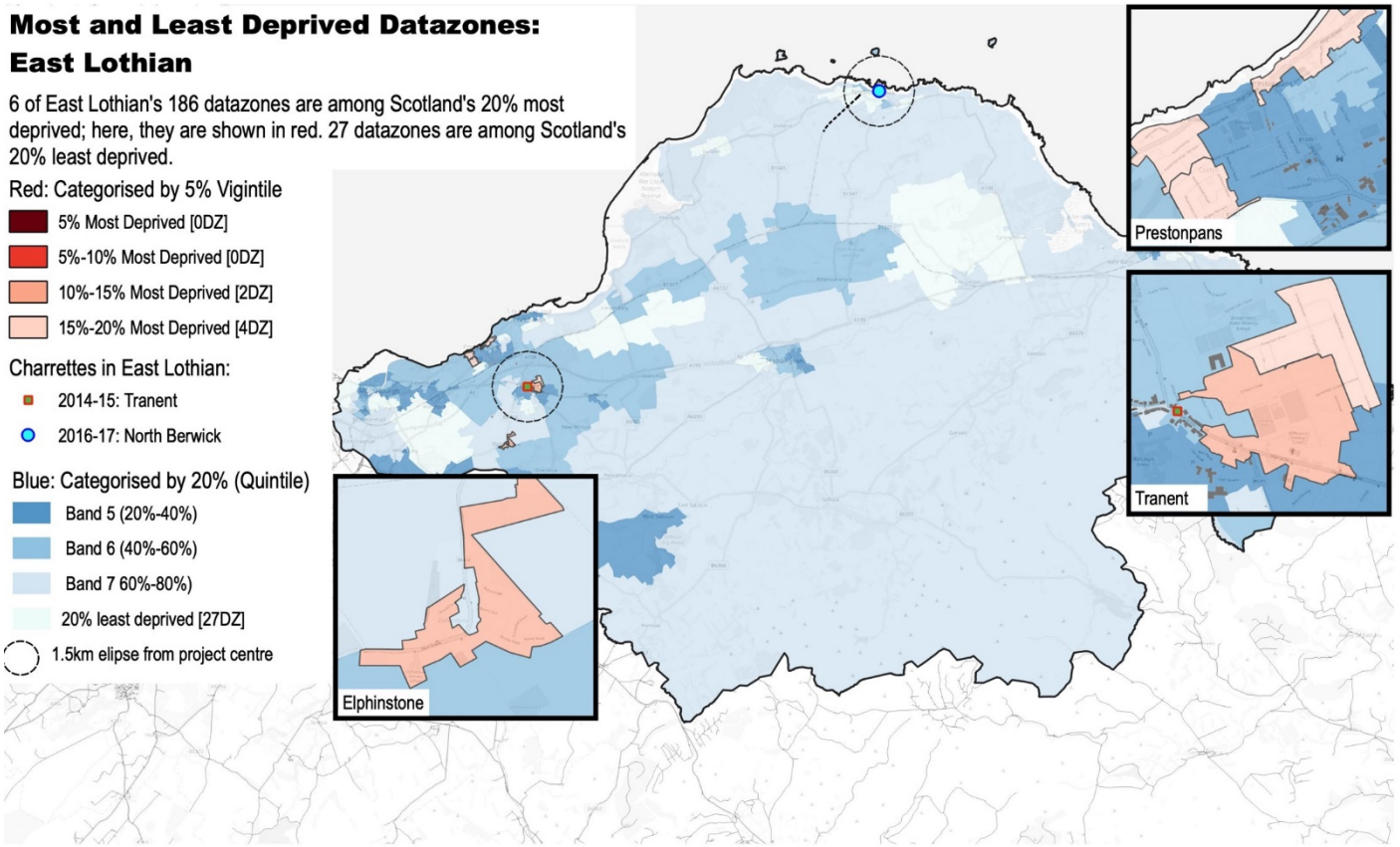
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Tranent		✓					Yes. Tranent has two of East Lothian's six first quintile datazones.
North Berwick			✓				No. North Berwick does not have any first quintile datazones and is characterised third, fourth and fifth quintile datazones.

AppxB_Table 22 East Lothian's signs of deprivation according to SIMD 16 (Overall)



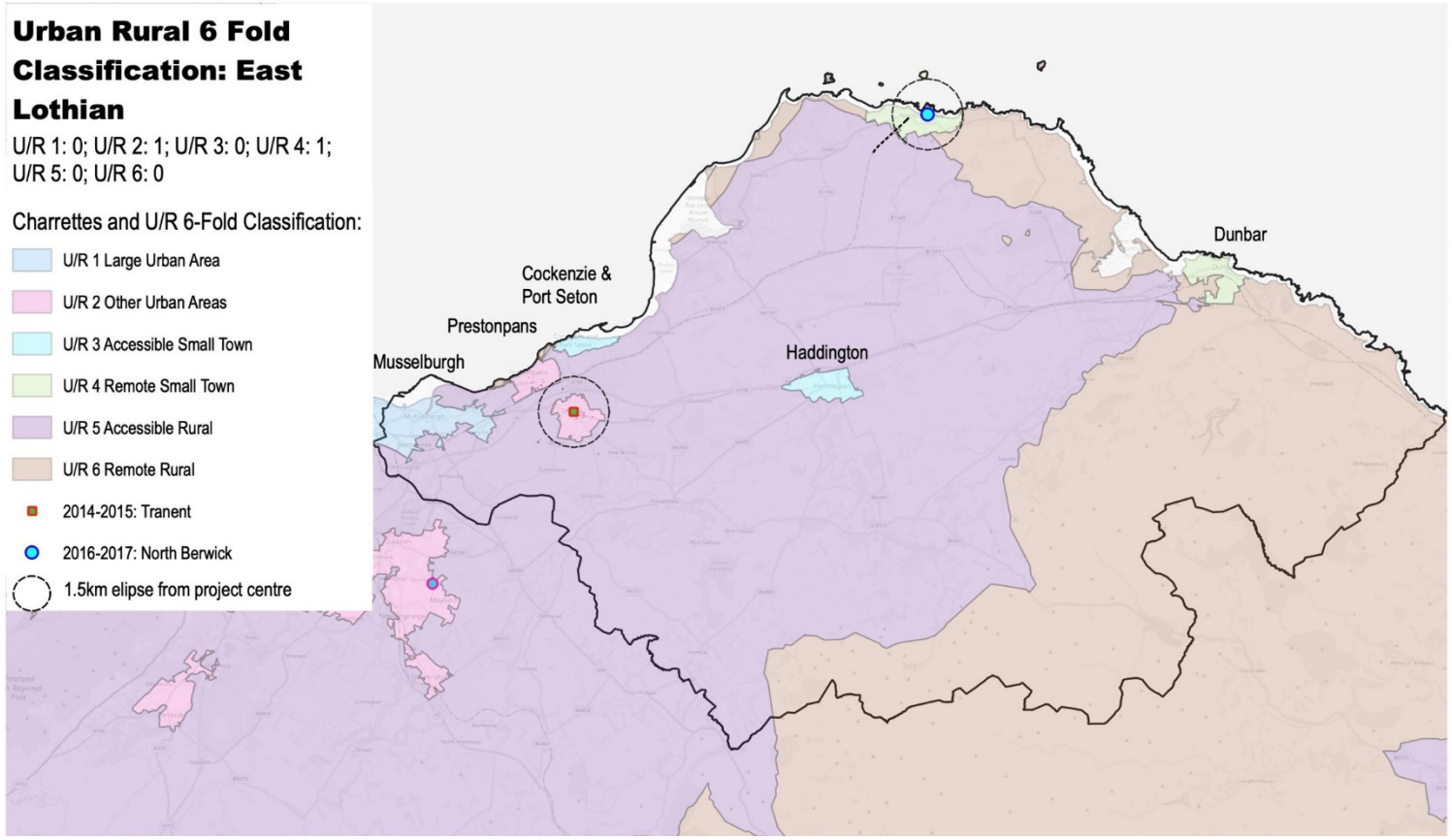
Scale 1: 210000

AppxB_Figure 142: East Lothian's two CMP projects mapped



Scale 1:230000; Elphinstone Scale 1:19000; Tranent Scale 1:19000; Prestonpans Scale 1:30000

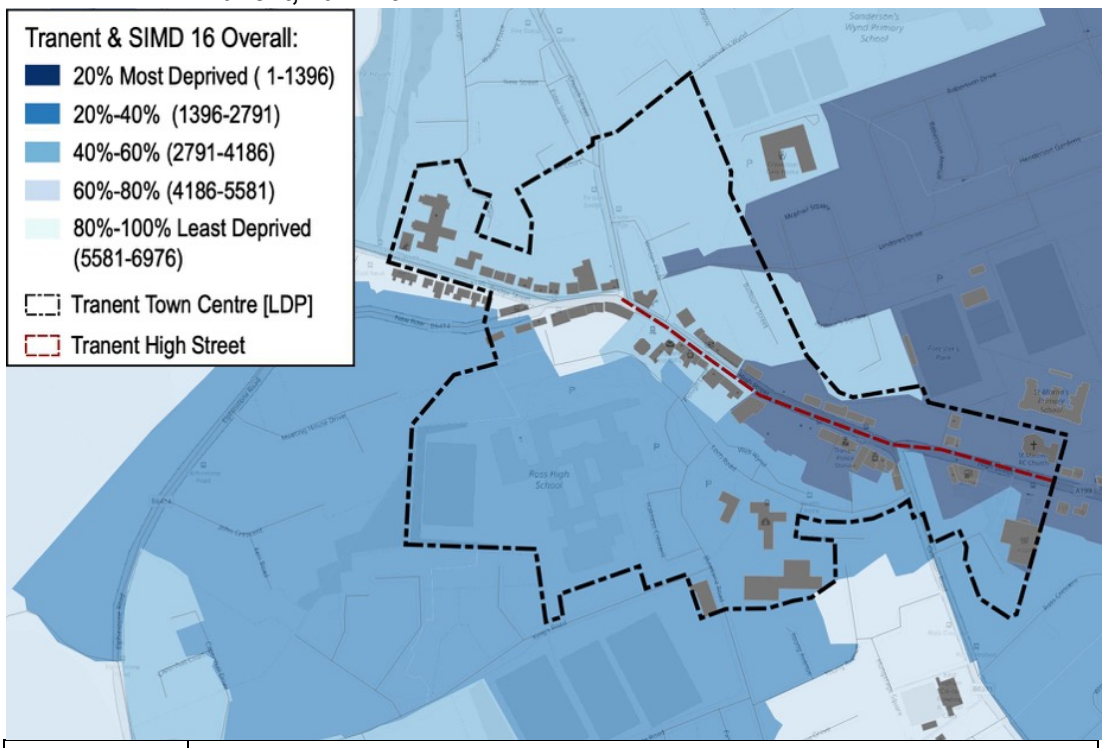
AppxB_Figure 143: East Lothian's most and least deprived datazones.



Scale 1:235000

AppxB_Figure 144: East Lothian Urban / Rural 6-Fold Classification

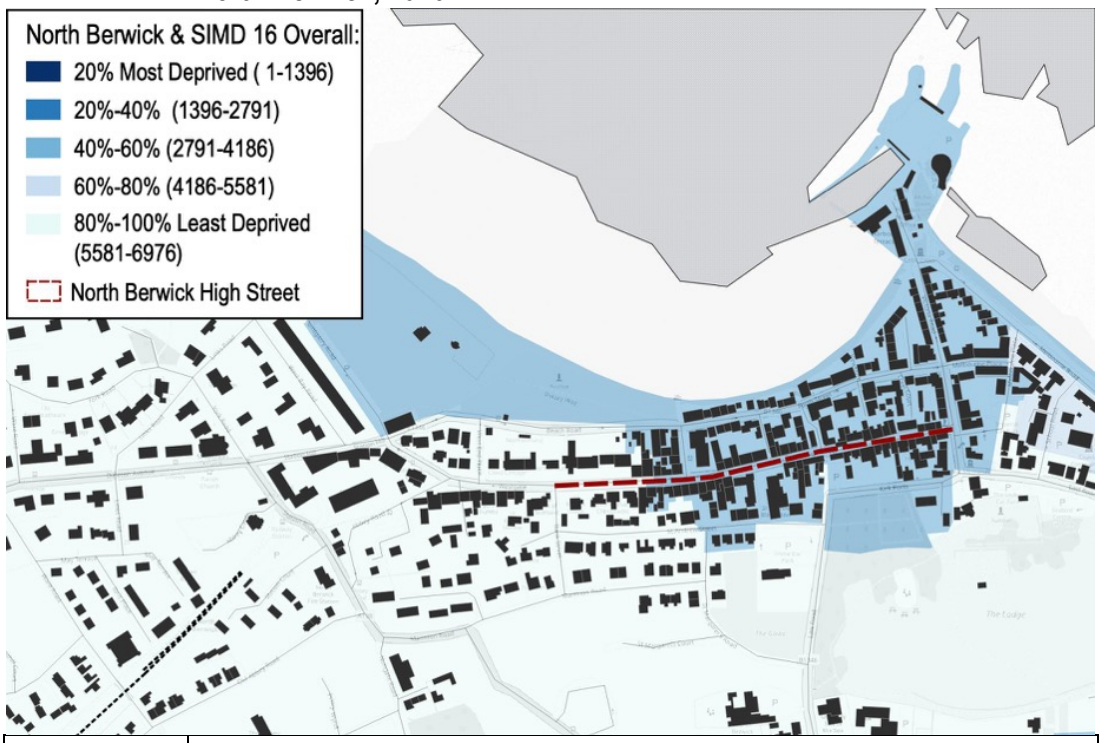
B.1.22.1 Tranent, 2014-15



Description	Tranent area profile. Scale 1: 7500
Client	East Lothian Council and the Fa'side Area Partnership
Design Team	Kevin Murray Associates (lead); Willie Miller Urban Design, Peter Brett Associates and Icecream Architecture (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Tranent town centre i.e., the largest town in the Fa'side Area Partnership of East Lothian.
Focus:	Town centre regeneration had been recognised as a priority action; a town centre framework is the final output from the charrette, providing a 'strategic plan' for regeneration with 'initial direction' on delivery.
Planning Relation:	The charrette was not starting from scratch as it acknowledged findings in recent consultation work linked to East Lothian Council's emerging LDP and Tranent and Elphinstone Community Action Plan 2014 – 2019.
Post Project:	Charrette findings informed the Tranent Town Centre Strategy, which has since been adopted as Supplementary Planning Guidance.
Format:	Pre-charrette included social media campaign, on-street engagement (e.g., charrette cart), targeted school engagement and 'working with local groups' (19th – 20th March 2015). Using two bases and a three plus one format (26th – 28th March 2015) with follow-up session (30th April), charrette activities included presentations, site walkabouts, scenario planning workshop, review sessions, drop-in design studio, feedback survey and public exhibition.
References:	(East Lothain Council, 2018, 2019; Kevin Murray Associates et al., 2015)

AppxB_Figure 145: Tranent area profile

B.1.22.2 North Berwick, 2016-17



Description	North Berwick area profile. Scale 1: 8000
Client	North Berwick Coastal Area Partnership with support from East Lothian Council.
Design Team	Kevin Murray Associates (lead); Willie Miller Urban Design and Urban Movement (subconsultants).
Urban / Rural:	Remote small town, U/R 4.
Study Area:	North Berwick town centre i.e., the largest town in the North Berwick Coastal Area Partnership.
Focus:	The charrette findings developed a 'vision and town centre strategy' with forty-four indicative project proposals. An Action Plan provides implementation guidance.
Planning Relation:	The charrette was not starting from scratch as it acknowledged findings in recent consultation work (e.g., 'Thistles Shop', '3 Wishes' and 'Community Conversations'); intended to shape community planning by influencing the 'Local Area Plan' and the Local Outcomes Improvement Plan called The East Lothian Plan 2017-2017; and influence the Local Transport Strategy as well as other policies and public / private investment decisions.
Post Project:	Charrette findings informed the North Berwick Town Centre Strategy, which has since been adopted as Supplementary Planning Guidance.
Format:	Pre-charrette included publicity campaign (e.g., social media presence, direct emails to contact database), targeted engagement (e.g., with schools / local groups), site visits, charrette survey and on-street engagement. Consecutive five-day format in various locations (30th May – 3rd June 2017) activities included: presentations, site walkabouts, drop-in design studio, themed workshops and exhibition.
References:	(East Lothain Council, 2019; Kevin Murray Associates et al., 2017)

AppxB_Figure 146: North Berwick area profile

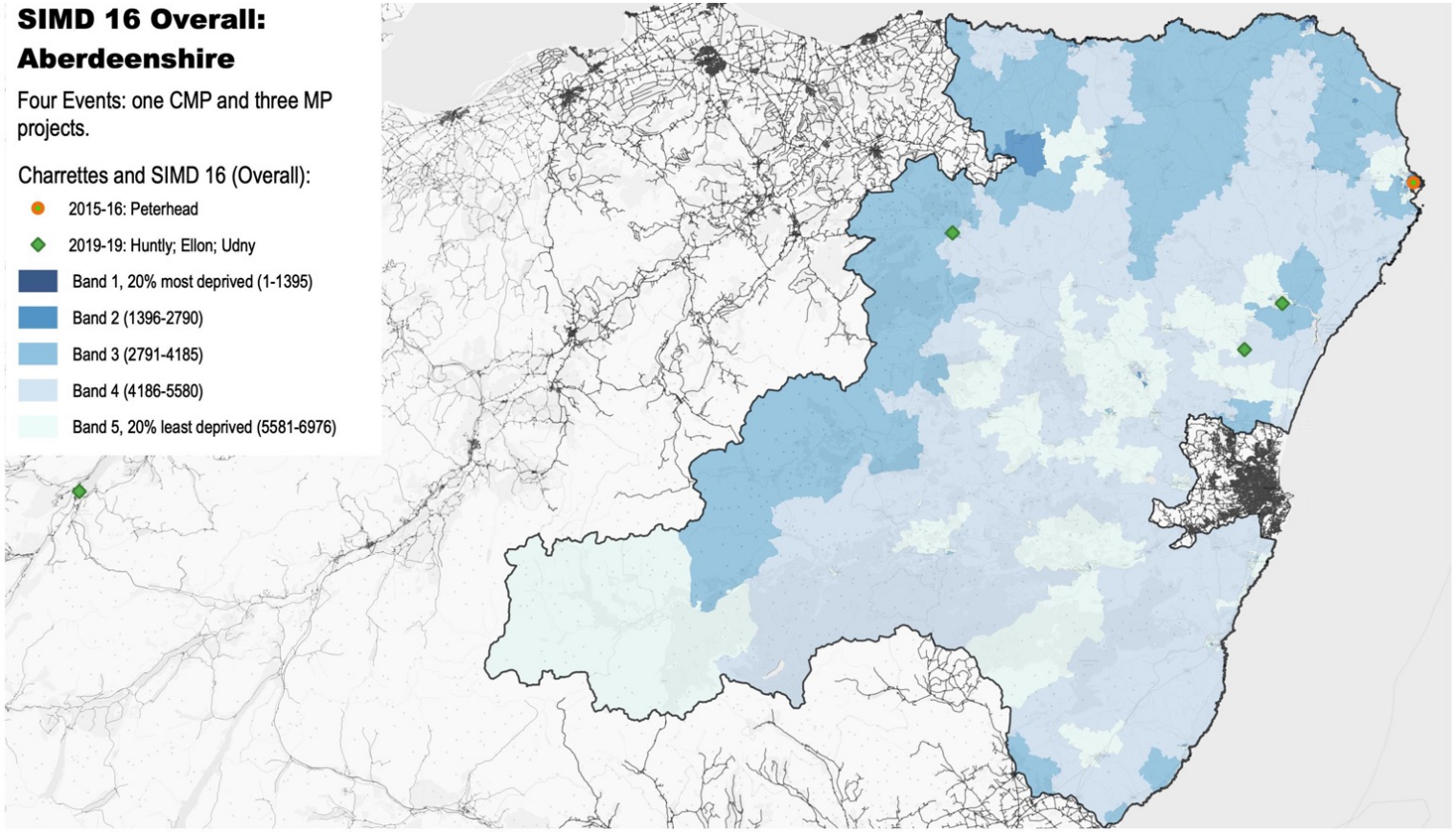
B.1.23 Aberdeenshire

Aberdeenshire has had four CMP and/or MP projects starting with Peterhead in 2015-16. MODO, with Aberdeenshire Council support, commissioned the first charrette and adopted a key role in delivering community engagement alongside the externally appointed Pidgin Perfect. The charrette focused on Peterhead's town centre which has the authority's largest share of first quintile datazones. Aberdeenshire has a 2% Local Share of Scotland's most deprived datazones (i.e., ranked 1395 or below) that are split between Peterhead and further north, Fraserburgh; the former has four first quintile datazones and the latter has two.

The remaining three projects in Aberdeenshire were all commissioned 2018-19 and have taken place in Ellon (U/R 2), Huntly (U/R 4) and Udny (U/R 5); neither have datazones in the first quintile. Like their CMP predecessor, these projects have been community-led or community co-led with council support. Similar to other projects with backing from CPPs, Marr Community Planning Group and Formartine Community Planning Group have supported Huntly and Ellon respectively.

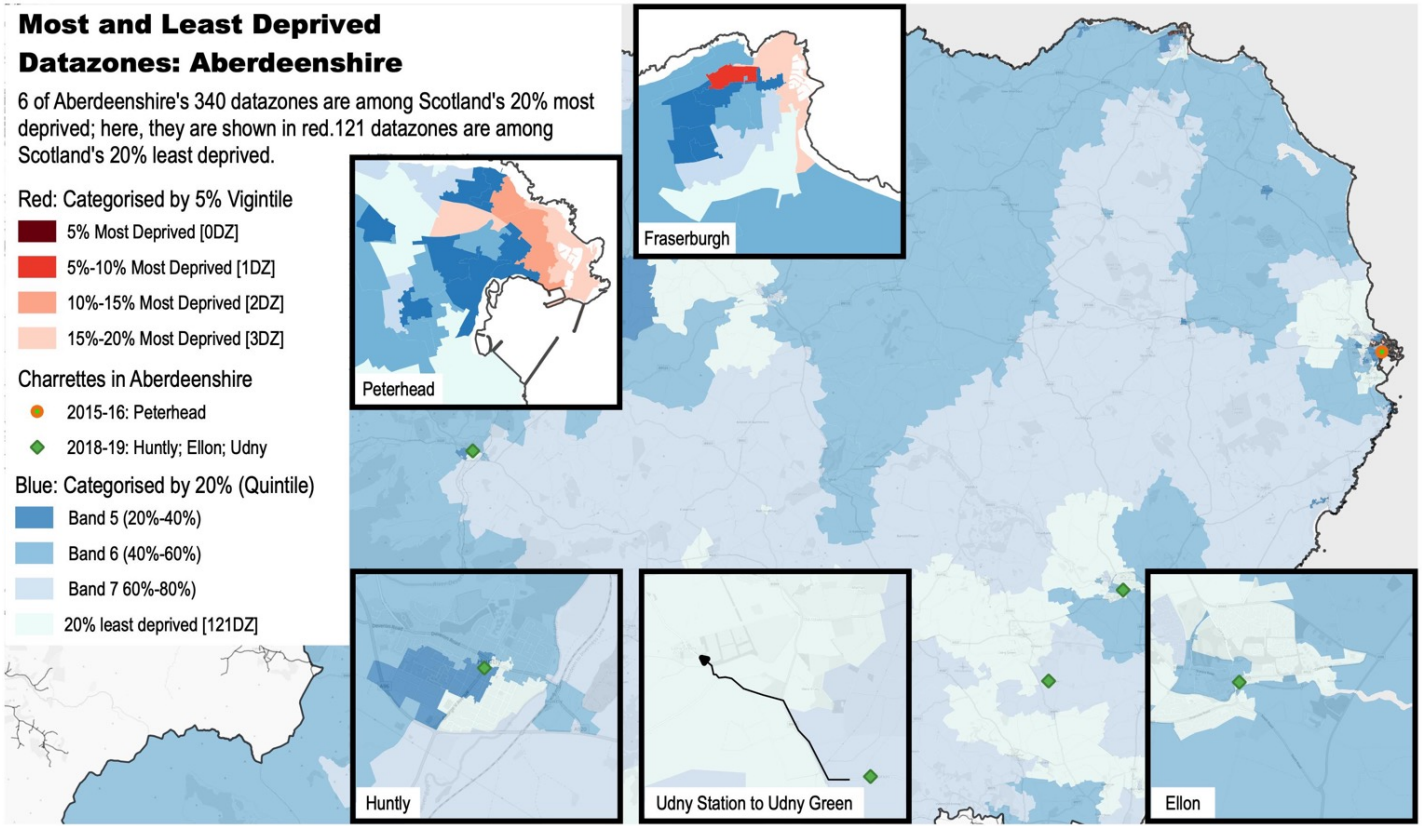
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Peterhead		✓					Yes. Peterhead has the largest share of first quintile datazones with two in the third vigintile (S01007086, S01007088) and two in the fourth vigintile (S01007087, S01007083).
Huntly				✓			No. study are falls into a third quintile datazone whilst wider Huntly is comprised of second and fifth quintile datazones.
Udny					✓		No. study areas fall into fourth and fifth quintile datazones.
Ellon		✓					No. Ellon is characterised by third, fourth and fifth datazones.

AppxB_Table 23 Aberdeenshire's signs of deprivation according to SIMD 16



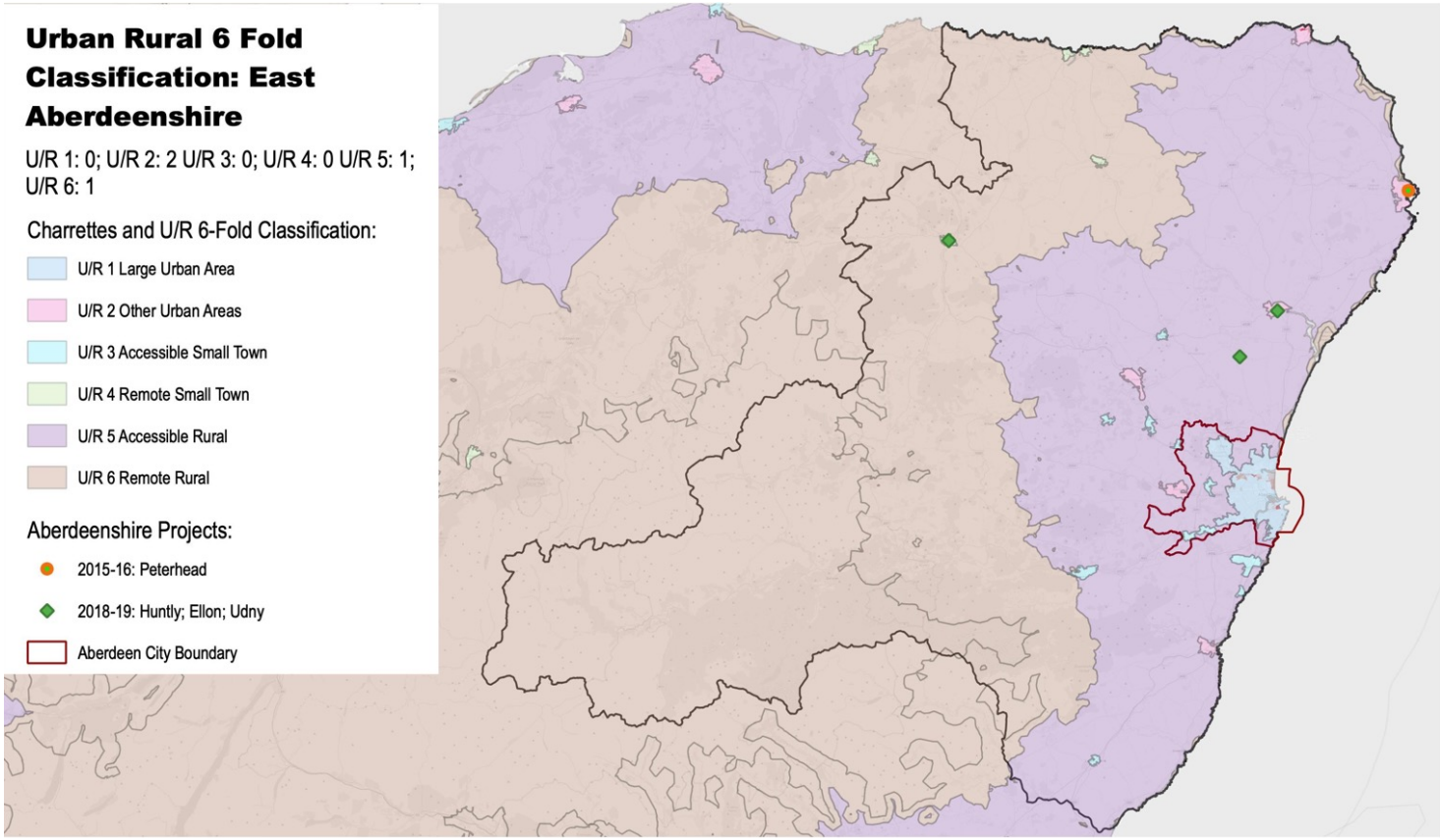
Scale 1: 1350000

AppxB_Figure 147: Aberdeenshire's four projects mapped



Scale 1: 670000; Fraserburgh Scale 1: 150000; Peterhead Scale 1: 130000; Udny and Ellon 1: 150000;

AppxB_Figure 148: Aberdeenshire's most and least deprived datazones



Scale 1: 1350000

AppxB_Figure 149: Aberdeenshire Urban / Rural 6-Fold Classification

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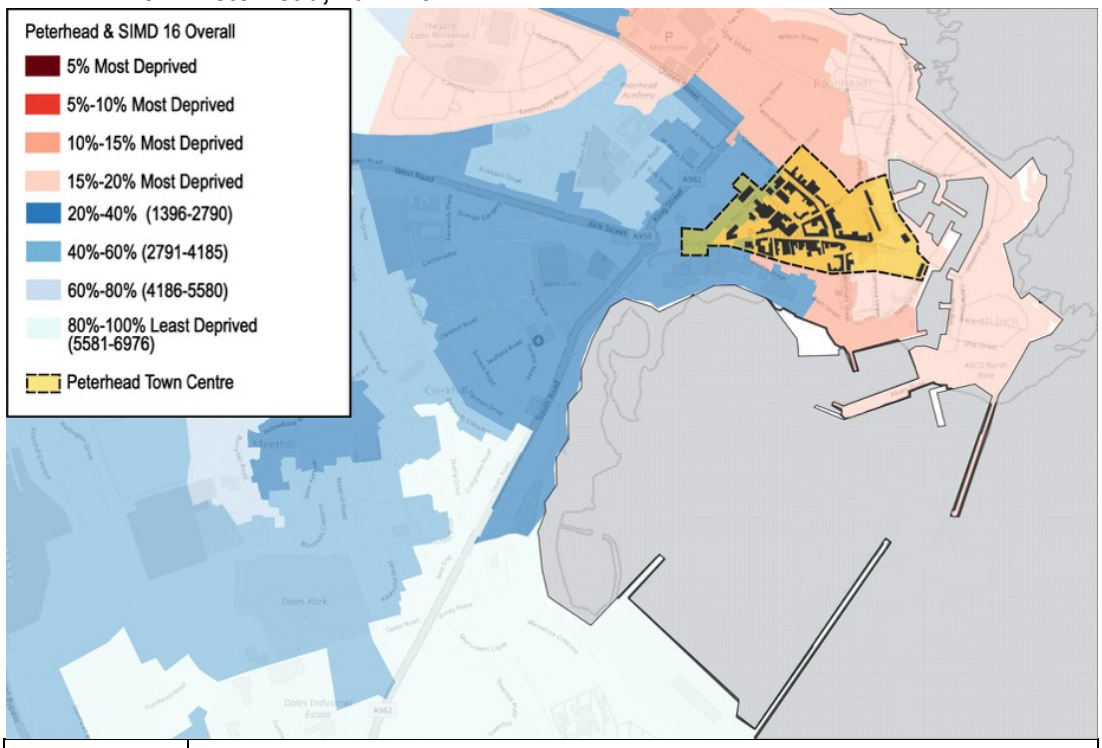
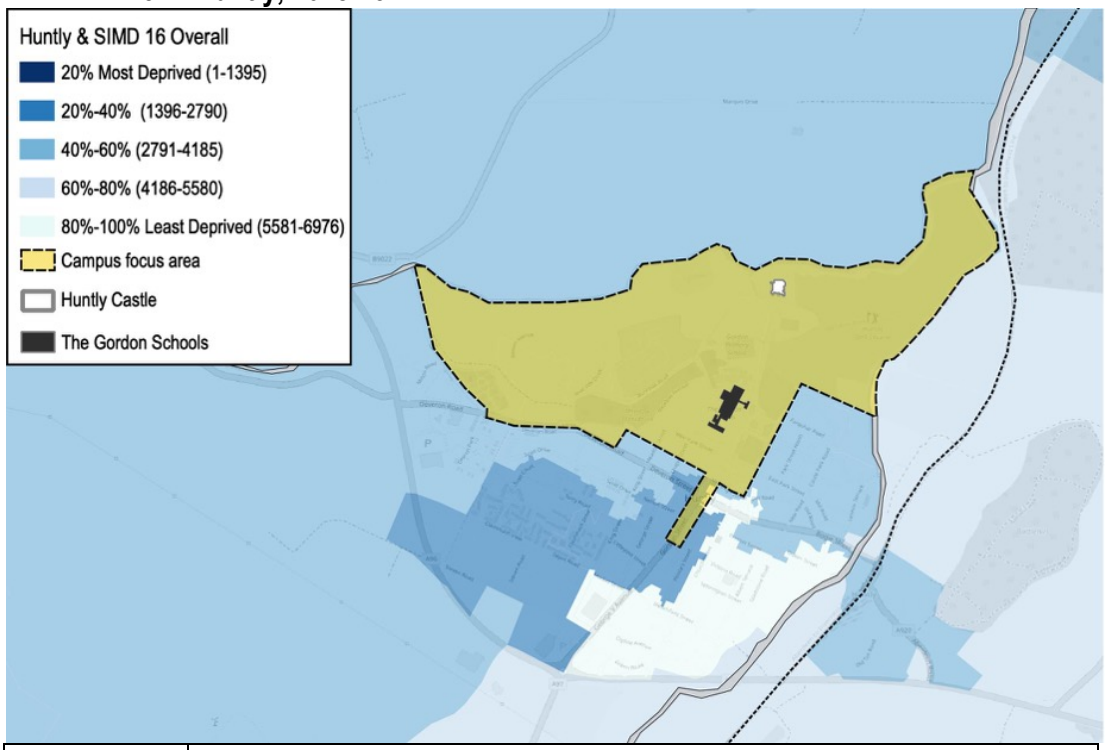
B.1.23.1 Peterhead, 2014-15



Description	Peterhead area profile highlighting town centre as defined in LDP. Scale 1: 22000
Client	MODO (i.e., a social circus organisation located in the town centre, Erroll Street) with support from Aberdeenshire Council.
Design Team	Pidgin Perfect were the external consultants leading and reporting on Choose Peterhead charrette. Subconsultants included John Gilbert Architects and Patricia Fleming Projects. MODO are described as co-leads, working alongside Pidgin Perfect, on the DT.
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Town centre focus, with particular attention paid to the 'spine of Peterhead; running from Erroll Street to the bottom of Broad street, and taking in the main shopping area and pedestrianised precinct'.
Focus:	Charrette aimed to 'deliver a community vision and action plan for Peterhead Town Centre'.
Planning Relation:	DT had 'significant discussions with several' council departments to ensure charrette outputs 'aligned with other initiatives'.
Post-Charrette:	--
Format:	Pre-charrette activities (February – May 2015) included desk-based research, worksheets (pre-charrette and place standard surveys), in-situ stickers (i.e., comment cards), social media campaign, information translation and a MODO-led programme of targeted engagement (e.g. with schools, youth group, community council, businesses, Saturday sessions and other community groups). Four consecutive day format in a central, single location (12th May - 15th May 2015), activities included: photography competition / exhibition, eighteen themed workshops, open discussion sessions, MODO-managed drop-in café.
References:	(Pidgin Perfect et al., 2015)

AppxB_Figure 150: Peterhead area profile

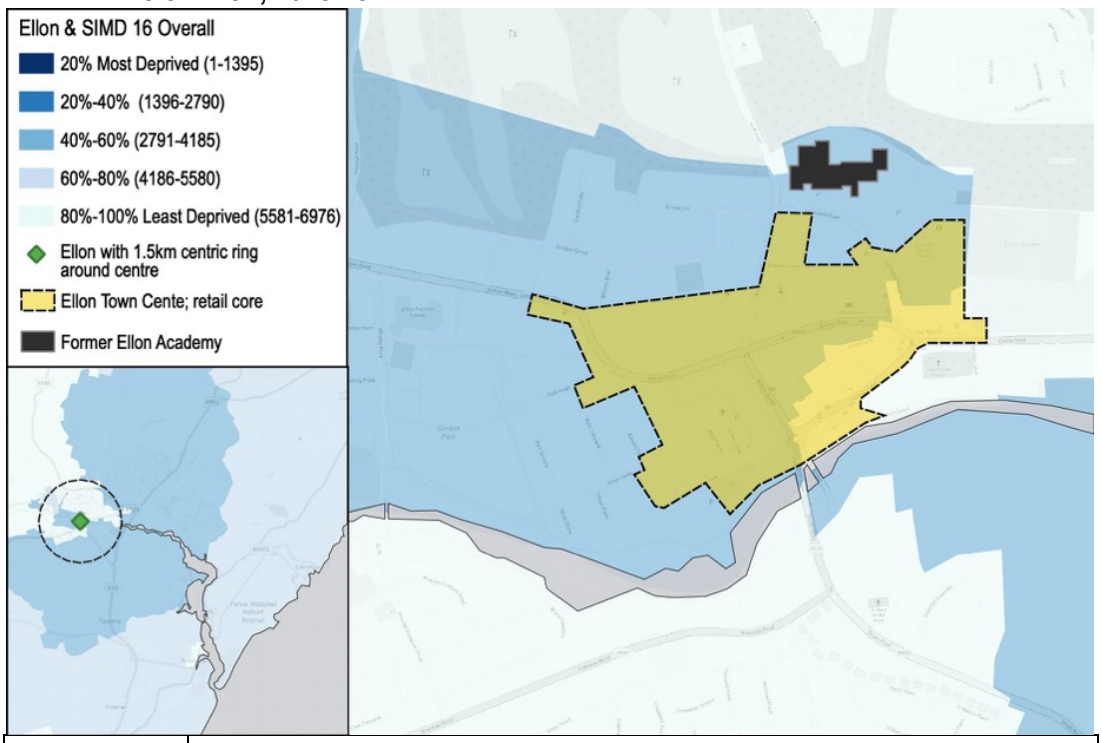
B.1.23.2 Huntly, 2018-19



Description	Huntly MP project focus area. Scale 1: 27000
Client	With support from Marr Community Planning Group, Huntly & District Development Trust (HDDT), on behalf of the wider community, successfully applied for MP funding.
Design Team	Willie Miller Urban Design, Nick Wright Planning and Icecream Architecture.
Urban / Rural:	Remote rural, U/R. 6.
Study Area:	HDDT proposed a flexible boundary (see above), which contains most of the 'existing facilities, parkland, activities and opportunities for development' for the 'learning and play' campus.
Focus:	Part of a longer-term 'learning and play' campus development project, MP funding was secured to help develop a shared vision and coordinate action of numerous community groups / stakeholders in Huntly. The MP output is expected to provide a 'coordinated community-led place plan'.
Planning Relation:	This MP project is not starting from scratch; the project follows a recent Room to Thrive Strategy project delivered by Icecream Architecture and CLES, which identified 'strong support for a campus of learning and leisure facilities'.
Post Project:	--
Format:	Project on-going at time of writing; anticipated three to four-month project duration with presentations, drop-in and co-design sessions planned over three dates (21st March 1st & 29th May 2019).
References:	(HDDT, 2019)

AppxB_Figure 151: Huntly MP project focus area.

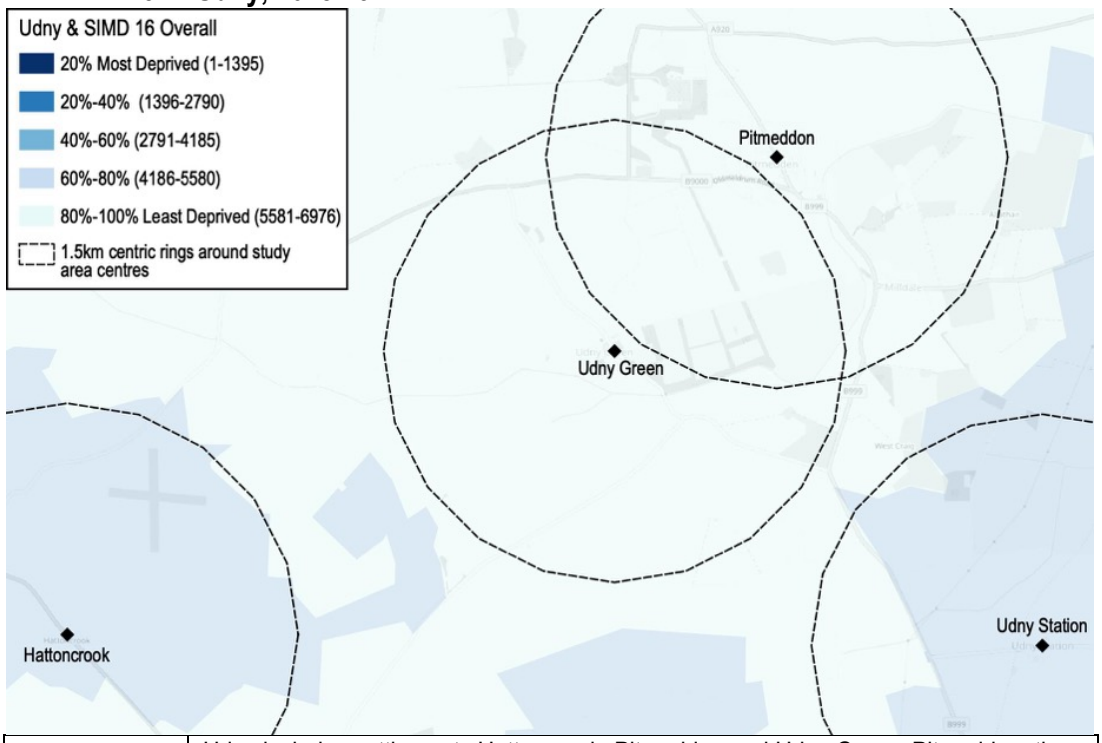
B.1.23.3 Ellon, 2018-19



Description	Ellon area profile showing coastal relation and former Ellon Academy. Scale (LHS) 1: 250000. Scale (RHS) 1: 10000
Client:	Scottish Government lists Aberdeenshire Council (Scottish Government, 2018d). Sources indicate CT comprise Ellon Community Council with support from the Formatime Community Planning Group.
Design Team:	--
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Ellon town centre.
Focus:	To develop an action plan for town centre revitalisation identifying short, medium and long-term projects and providing guidance on funding and implementation.
Planning Relation:	--
Post-Charrette:	Ellon Community Council expected to take ownership of charrette output i.e., town centre action plan.
Format:	Participatory design process in progress at time of writing. Initial events planned for February extending into March with a final April 2019 event anticipated. DT expected to use a survey and workshops.
References:	(MP Respondent 1, personal communication, 2019; "Ellon charrette gets council backing," 2018; Petrie, 2019)

AppxB_Figure 152: Ellon area profile

B.1.23.4 Udny, 2018-19



Description	Udny includes settlements Hattoncrook, Pitmeddon and Udny Green. Pitmeddon, the largest, was the central focus area for Udny MP project; however, this settlement was considered in its wider Udny context.
Client	The Udny Community Trust
Design Team	PAS
Urban / Rural:	Accessible rural, U/R 5.
Study Area:	Village of Pitmeddon with an approximate population of 1444; although MP project had a central focus on Pitmeddon-specific issues, it considered the wider environs of Udny.
Focus:	The charrette intended to develop a 'shared vision and workable action plan' to assist and guide local development. The output includes an 'Udny Spatial Masterplan' with indicative project proposals and an accompanying 'Action Plan'.
Planning Relation:	The outputs anticipate the Charrette*Plus* findings will be used to shape 'local statutory planning' and be regarded as a Local Place Plan.
Post-Charrette:	--
Format:	Model: Charrette*Plus.* A three-stage process included pre-charrette activities such as desk-based research, targeted stakeholder engagement (e.g., with community groups, elected members, schools) and 'multiple meetings' to review previous reports, research or project work. Based in Pitmedden Village Hall, a three plus one format was adopted over November – December 2018. Activities included themed workshops (e.g., visioning and proposal feedback) with a follow-up event in December 2018. Outputs and implementation constituted stage three.
References:	(PAS, 2019b, 2019c)

AppxB_Figure 153: Udny area charrette

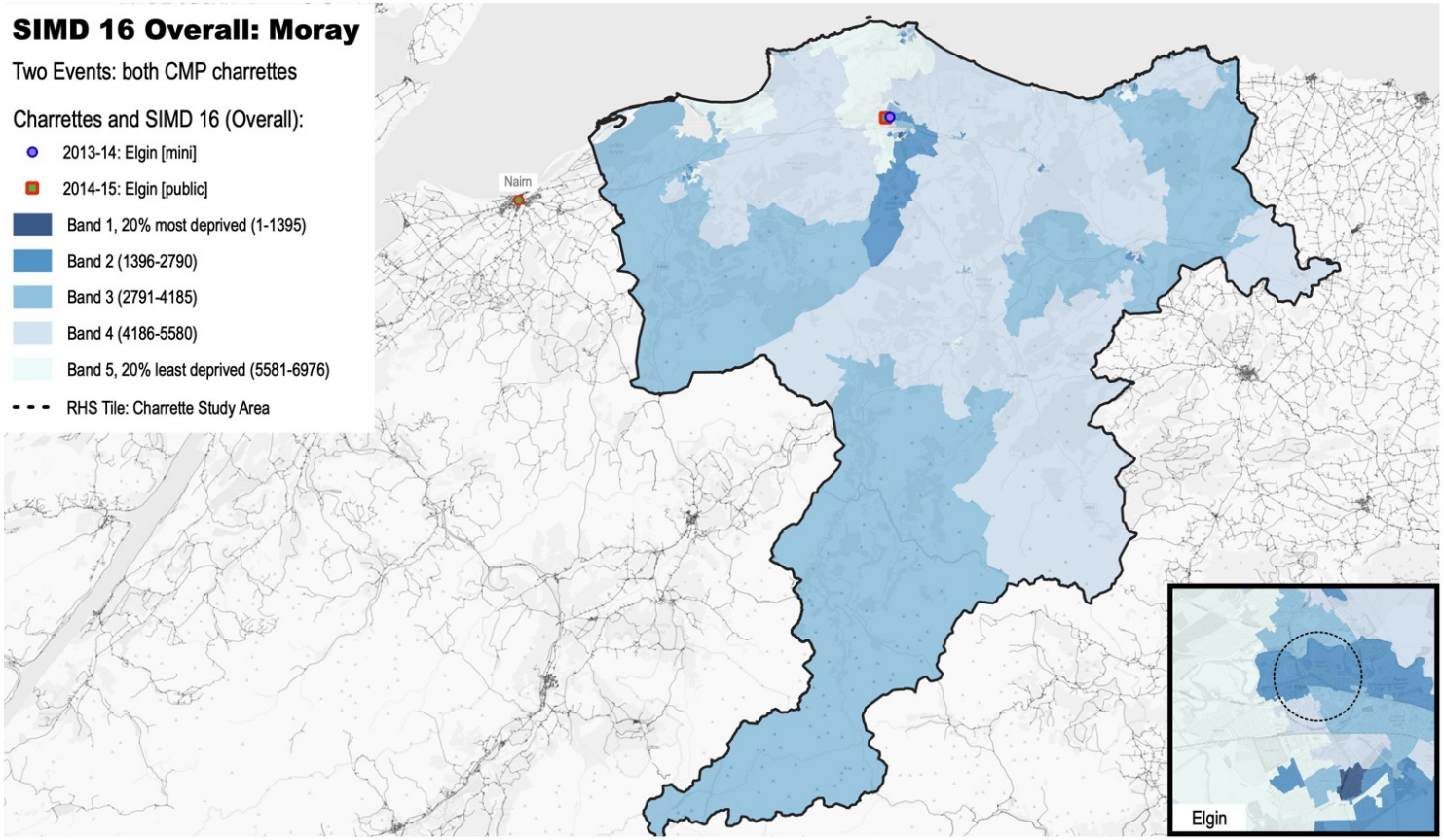
B.1.24 Moray

Moray Economic Partnership are one of five community planning groups established by Moray's CPP in 2013 (Partnership, 2016). The partnership commissioned its first 'mini' charrette in the CMP's third round. Similar to the South Wishaw charrette (2012-13) and led by the same DT (lead) facilitation team, this charrette engaged invited stakeholders only. It laid the foundations for a full-scale, public charrette commissioned and led by the same DT the following year.

The charrette focused on Elgin, with a particular interest in Lossie Green and Cooper Park which falls into a second quintile datazone. The local authority's only datazone ranked 1322 (S01011111) lies south of Elgin in the suburb New Elgin.

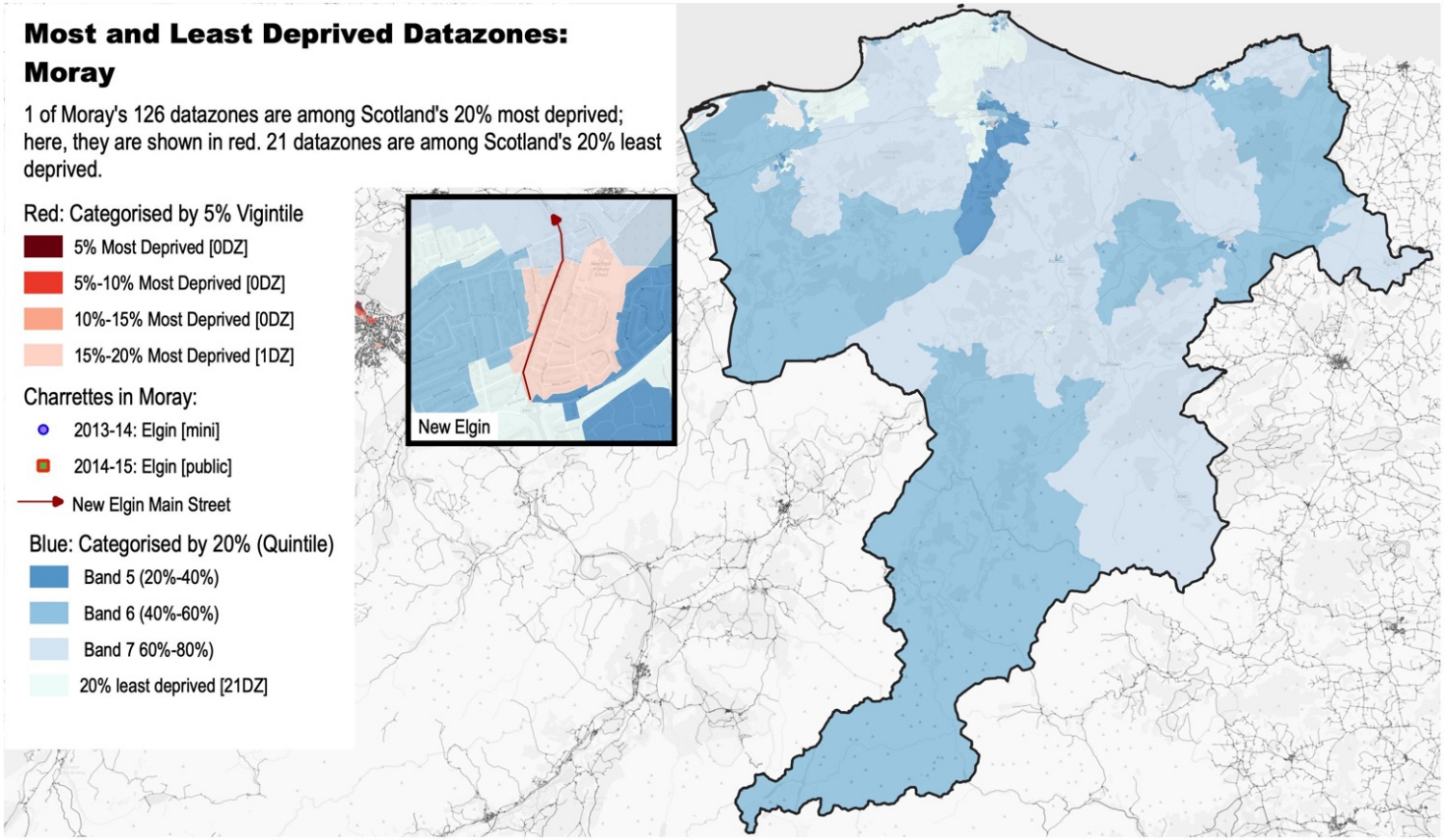
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Elgin		✓					No. Moray's only first-quintile datazone lies further south in New Elgin.

AppxB_Table 24 Moray Signs of deprivation according to SIMD 16



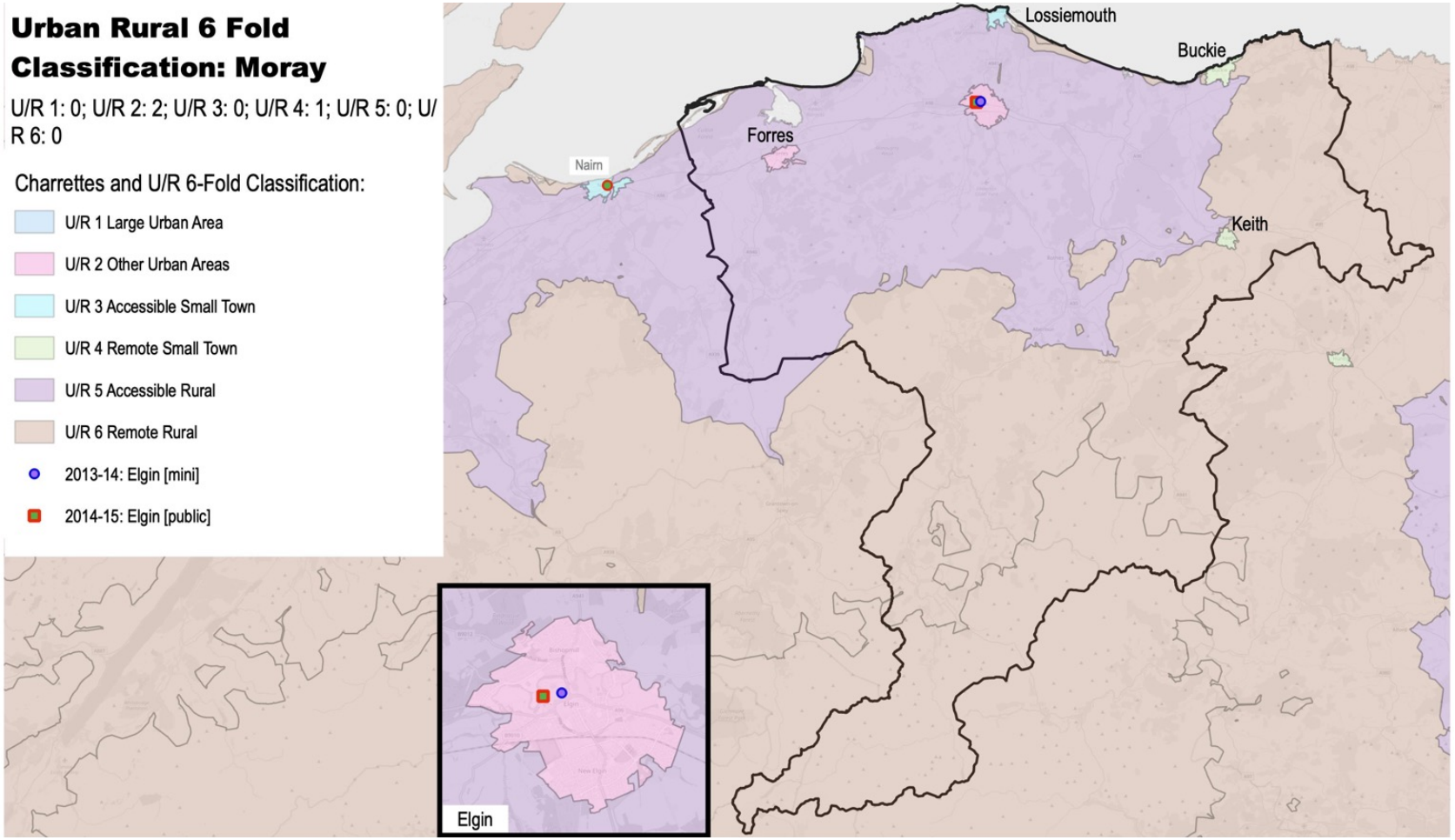
Scale 1: 920000; Elgin Scale 1: 150000

AppxB_Figure 154: Moray's two CMP projects mapped



Scale 1: 920000; New Elgin Scale 1: 35000

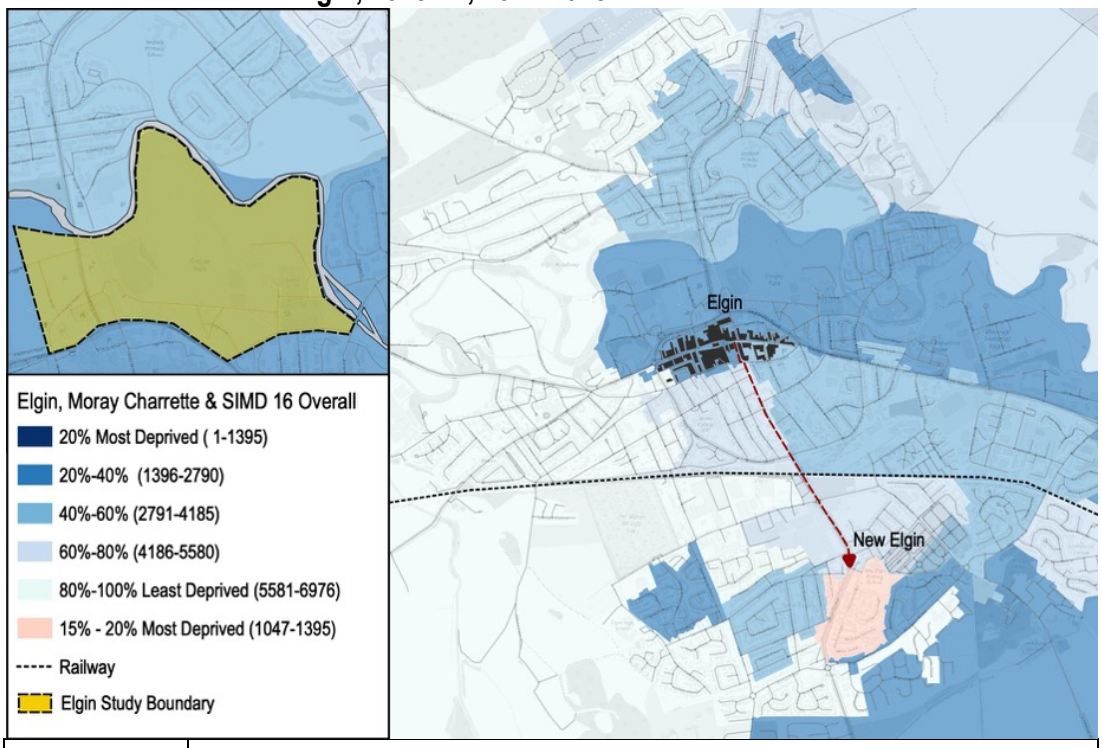
AppxB_Figure 155: Moray's most and least deprived datazones



Scale 1: 920000; New Elgin Scale 1: 35000

AppxB_Figure 156: Moray Urban / Rural 6-Fold Classification

B.1.24.1 Elgin, 2013-14; 2014-2015



Description	Elgin area profile highlighting Moray's one datazones in the 20% most deprived bracket. LHS Scale 1: 20000. LHS Scale 1: 36000
Client	Moray Council on behalf of the Moray Economic Partnership.
Design Team	[2013-14, mini] Austin-Smith:Lord (lead); Douglas Wheeler Associates Ltd, Ryden and Transport Planning ltd (subconsultants). [2014-15, public] Austin-Smith: Lord (lead); Douglas Wheeler Associates Ltd, Ryden, Transport Planning Ltd and WAVE*Particle* (subconsultants).
Urban / Rural:	Other urban area, U/R 2.
Study Area:	Area within central Elgin i.e., redevelopment of Lossie Green and Cooper Park considering connection to city centre.
Focus:	[2013-14, mini] To develop a Masterplan and Development Brief with site specific actions for Lossie Green. [2014-15, public] Considering the same study area, develop a future vision and regeneration masterplan development framework.
Planning Relation:	[2013-14] Moray CPP (MCPP) commissioned 'Elgin -City for the Future' (ECTF) report, which partly constitutes the Moray Economic Strategy. Need to redevelop Lossie Green is identified in ECTFC. The mini charrette provided an opportunity to update the ECTFC. [2014-15] Moray Council LDP adopted in 2015. Output recommendation / next steps: Moray Council to use charrette output in identifying 'sites in central Elgin for Supplementary Guidance' and to guide local decision-making over the next ten years.
Post Project:	Post mini charrette (2013-14), CT applied for CMP funding to support a full-scale public charrette.
Format:	[2013-14, mini] CMP was a 'mini' charrette with invited stakeholders (i.e., 'local businesses, community representatives, council officers, landowners, developers and other stakeholders'). Held over two days in a single location (March 4th, 5th 2014), activities included presentations, drop-in sessions, targeted and themed workshops. An 'inception day' held prior to mini charrette launch (February 14th, 2014) included 'briefing meetings' to review development since ECFTF publication.

	[2014-15, public] with a four plus one format a full-scale, public charrette was held in the same location as predecessor on 2nd – 5th March 2015, with the final and third 'milestone' presentation held March 19th. Activities included: themed site walks, eight targeted working sessions, design studio drop-in, presentations and exhibition / review sessions. Pre-charrette activities from December 2014 onwards, activities: inception meeting with 'speed briefing sessions'; targeted workshops and creative engagement with schools, college and selection of community groups; and DT attendance at local events (e.g., youth café). Publicity campaign included press articles, banners, posters and flyers, social media and dedicated webpage and briefings emailed to contact database.
References:	(Austin-Smith: Lord, Douglas Wheeler Associates Ltd, et al., 2015 ; Austin-Smith:Lord et al., 2014 ; Moray Council, n.d.)

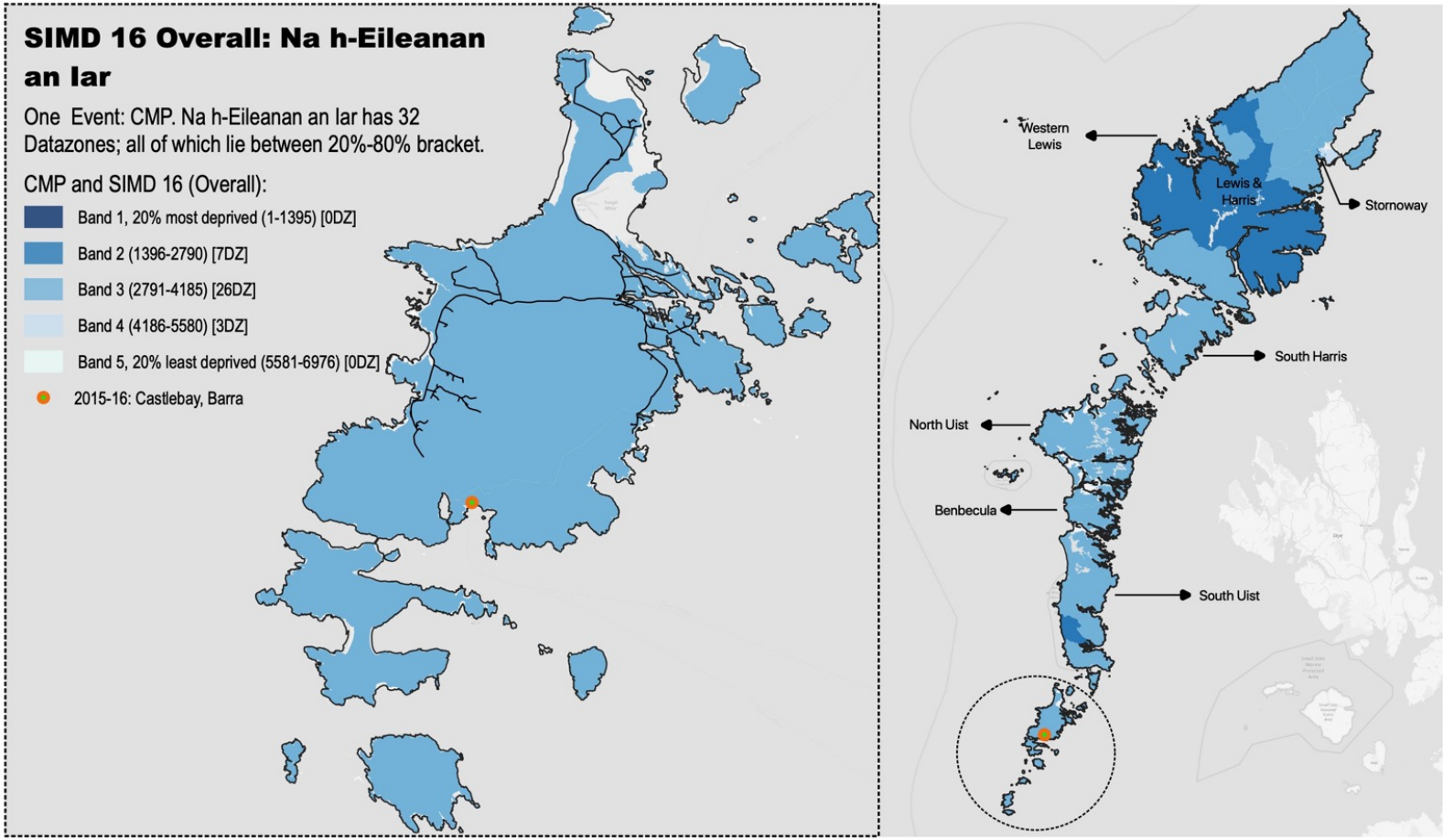
AppxB_Figure 157: Elgin area profile

B.1.25 Na h-Eileanan an Iar

There has been one charrette in the Western Isles in the southern island of Barra. It was commissioned by the community-owned company Barra & Vatersay Community Ltd (2015-16) and falls into a third quintile datazone. The islands comprising the Outer Hebrides fall into thirty-two datazones; neither fall into the first or fifth quintile.

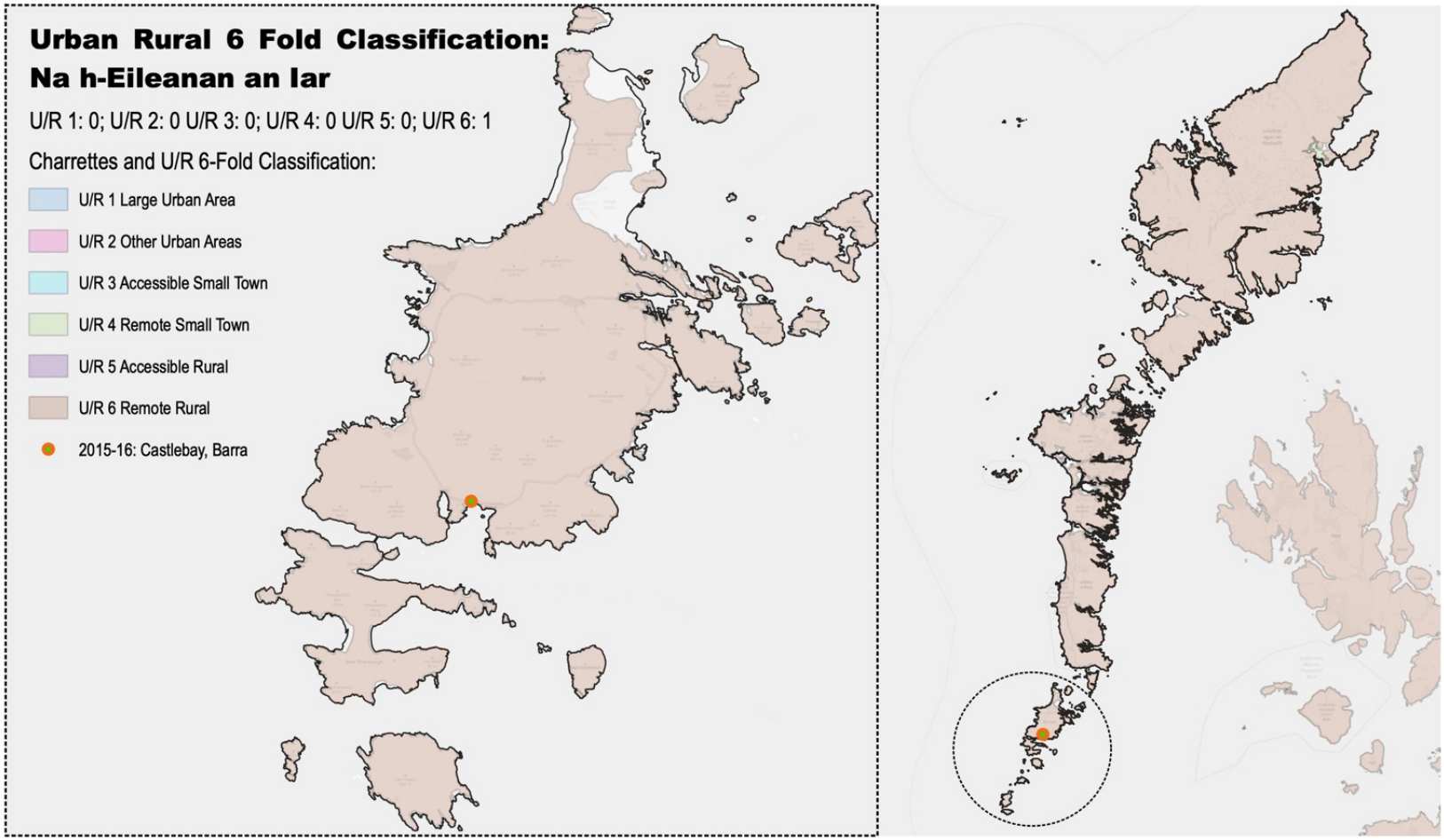
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Castlebay						✓	No. The remote rural Western Isles, part of the wider archipelago of Hebrides, does not have any datazones in the most or least deprived quintiles.

AppxB_Table 25 Na h-Eileanan an Iar, signs of deprivation according to SIMD 16



LHS Scale 1: 260000; RHS Scale 1: 2500000

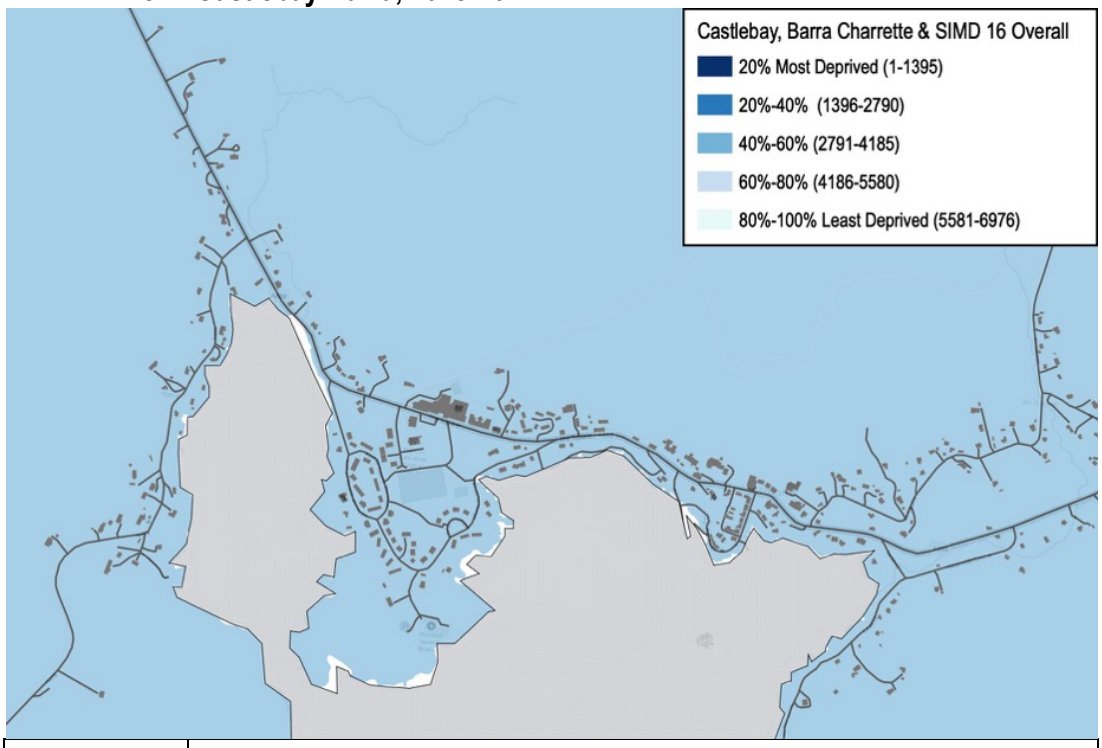
AppxB_Figure 158: Castlebay Barra CMP mapped



LHS Scale 1: 260000; RHS Scale 1: 2500000

AppxB_Figure 159: Na h-Eileanan an Iar Urban / Rural 6-Fold Classification.

B.1.25.1 Castlebay Barra, 2015-16



Description	Castlebay, the main village on the island of Barra and location of the authority's one CMP project. Scale 1: 15000
Client	*Barra* & Vatersay Community Ltd.
Design Team	Ironside Farrar Ltd.
Urban / Rural:	Remote rural, U/R 6.
Study Area:	Castlebay i.e., the biggest settlement in Barra and Vatersay.
Focus:	To conduct a community appraisal by evaluating 'community needs and aspirations' and developing a 'comprehensive development plan for Castlebay'.
Planning Relation:	Planning Service department of local authority attended three charrette sessions.
Post Project:	--
Format:	Pre-charrette activities included contextual studies, a place-making assessment, review of initiatives / projects, targeted engagement, school 'mini' charrette and local pre-charrette engagement. Charrette passed through three stages of understanding local needs, identifying project opportunities and thinking about delivery. Public sessions held 17th – 19th March 2016.
References:	(Comhairle nan Eilean Siar, 2016)

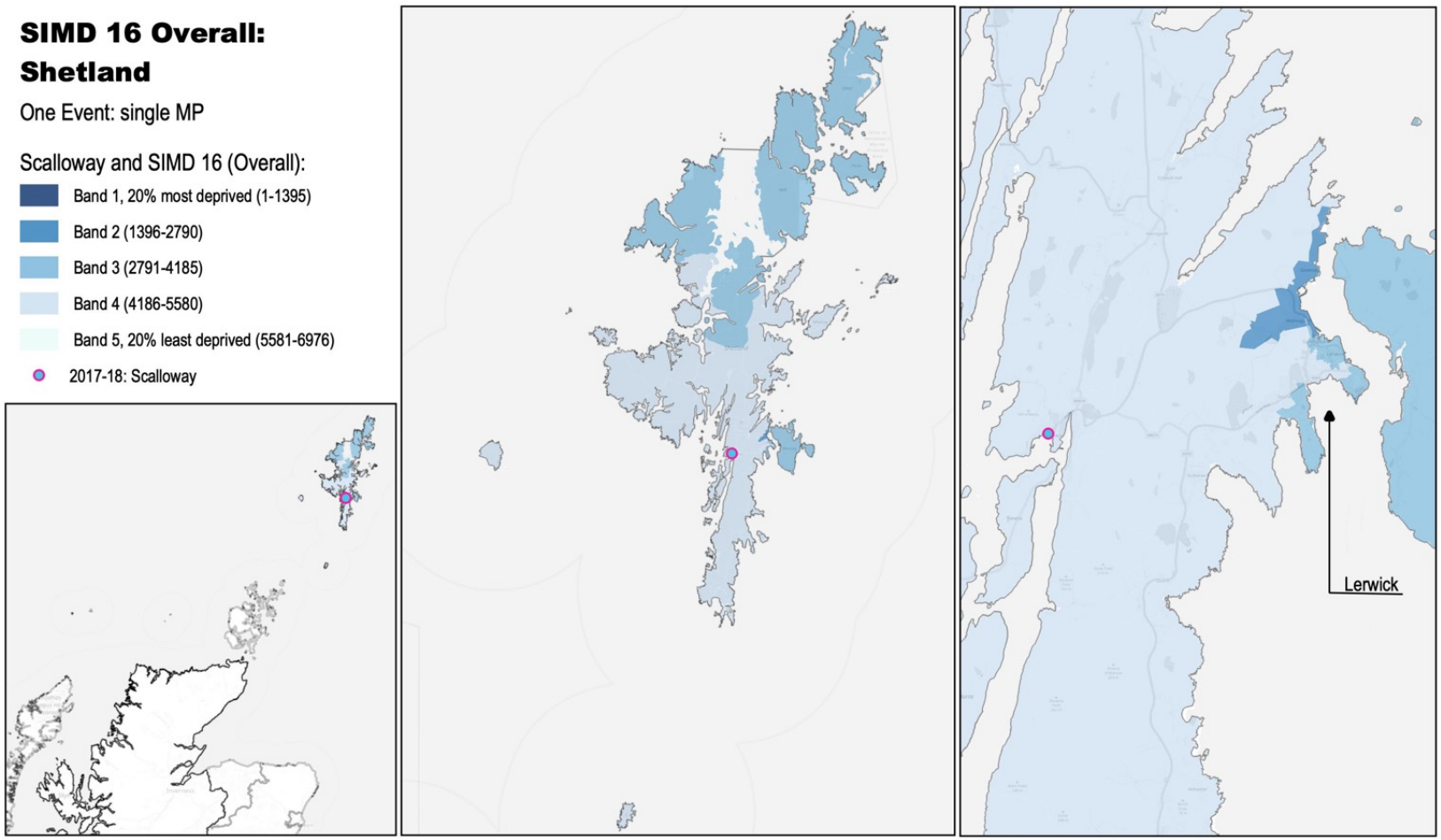
AppxB_Figure 160: Castlebay, the main village on the island of Barra

B.1.26 Shetland

Shetland Islands Council commissioned *Recreate Scalloway* in 2018-19 making it the only CMP, AI or MP supported project on the Shetland Isles. This remote rural community lies west of Lerwick; the island's only U/R 4 settlement and island capital. Datazones are ranked between 2548 and 5395 meaning neither fall into the most and or least deprived quintiles. Scalloway falls into a fourth quintile datazone (S01012404).

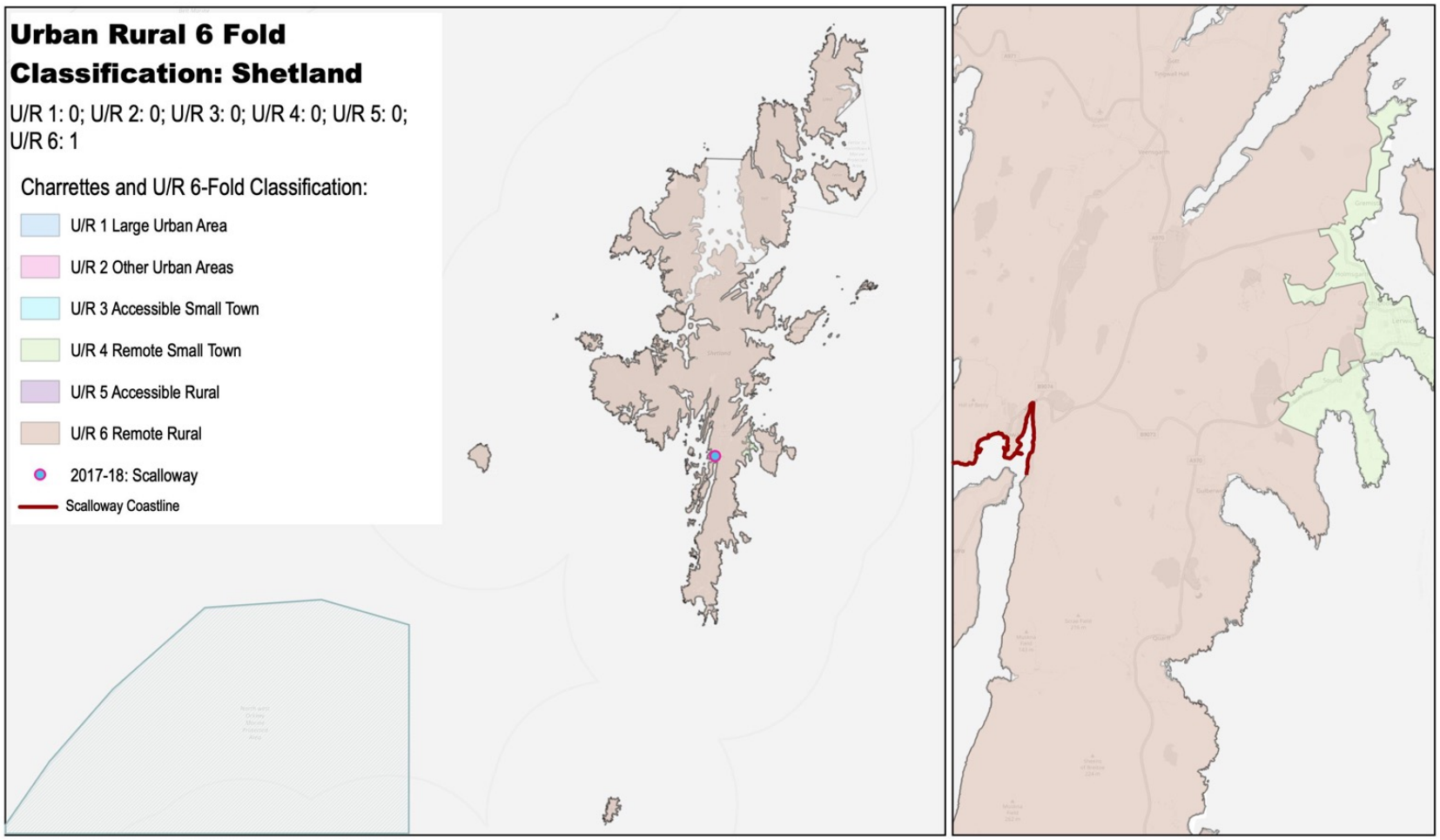
	Urban / Rural						Signs of deprivation according to SIMD 16?
	1	2	3	4	5	6	
Scalloway						✓	No. Shetland Island's thirty datazones fall into the 20%-80& bracket; the authority does not have any in the first quintile.

AppxB_Table 26 Scalloway's signs of deprivation according to SIMD 16



Scale 1: 11000000; Scale 1: 2050000; Scale 1: 280000 (from left to right).

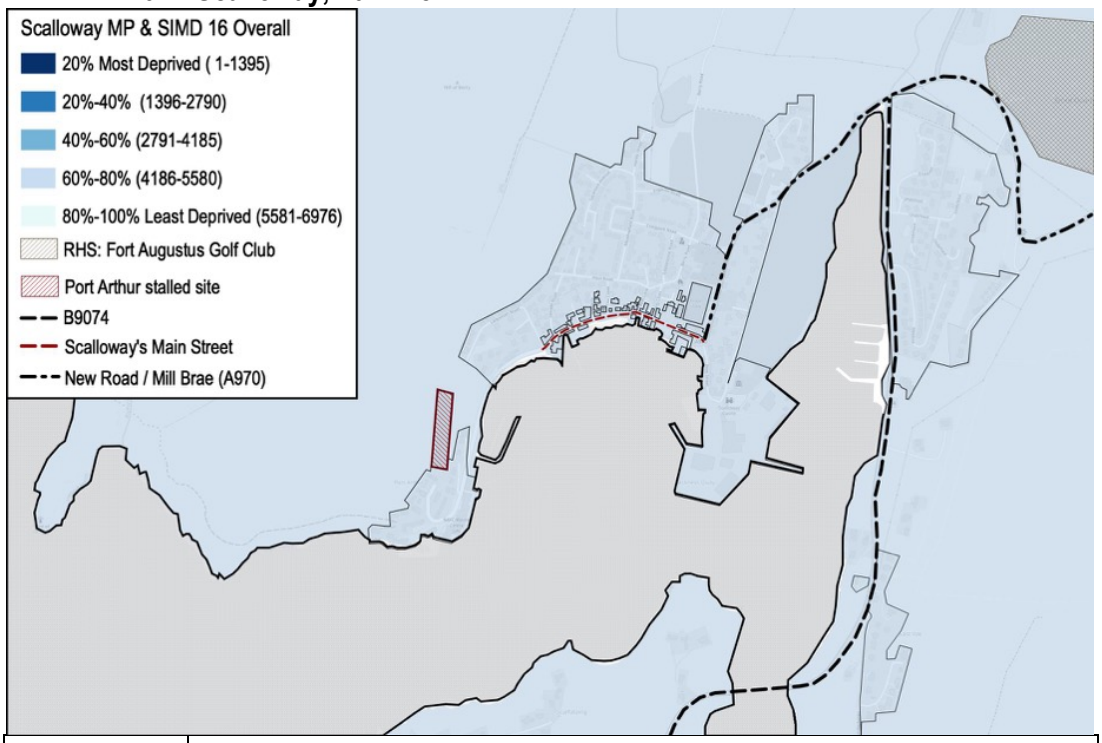
AppxB_Figure 161: MP project mapped



Scale 1: 2000000; Scale 1: 200000

AppxB_Figure 162: Shetland Urban / Rural 6-Fold Classification

B.1.26.1 Scalloway, 2017-18



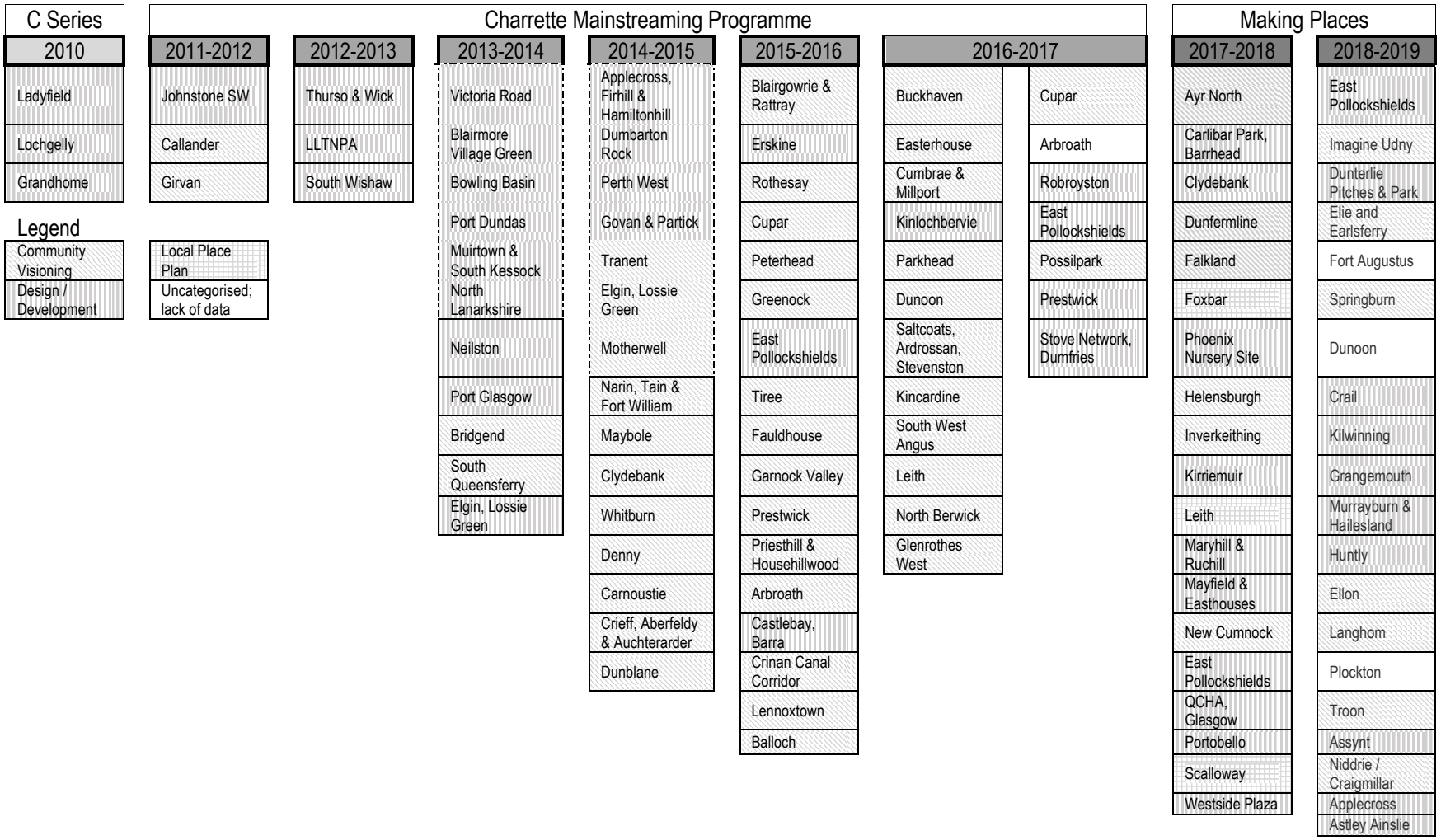
Description	Scalloway area profile showing Main Street and indicative settlement envelope, mapped against SIMD 16 (Overall) datazones. Scale 1: 35000
Client	Shetlands Island Council is listed as project proposer (Scottish Government, 2017); Scalloway Community Council (SCC) are described as project lead (Community Councils, n.d.)
Design Team	GL Hearn and Iglu Studios
Urban / Rural:	Remote rural community, U/R 6.
Study Area:	Scalloway i.e., a remote rural village in Shetland with an approximate population of 1200 residents.
Focus:	To gather community views (e.g., from residents to businesses), address local issues and explore possible solutions formulating a local place plan for Scalloway.
Planning Relation:	The Re-create Scalloway outputs (i.e., Local Place Plan intended) will provide 'community input into the local development plan for wider settlement planning'.
Post-Project:	MP funding was used for the community-led design initiative; next steps include applying and securing funding for project implementation.
Format:	With reference to flyers and project communications, Re-create Scalloway project was delivered over several months. Pre-event activities included publicity campaign (radio and local press announcements, dedicated website, social media, promotion through existing networks -community council- and survey). Event activities (May 18th, 19th; June 13th, 14th; November 24th, 25th 2018) included: drop-in sessions, walkabouts, themed workshops, DT presentations, informal drop-in at Cornerstone Café and targeted engagement (e.g., with youth group, schools, 60+ group and young parents from walking group).
References:	(Community Councils, n.d.; Scalloway Community Council, 2018a, 2018b, 2018c; Scottish Government, 2017)

AppxB_Figure 163 Scalloway, 2017-18 area Charrette

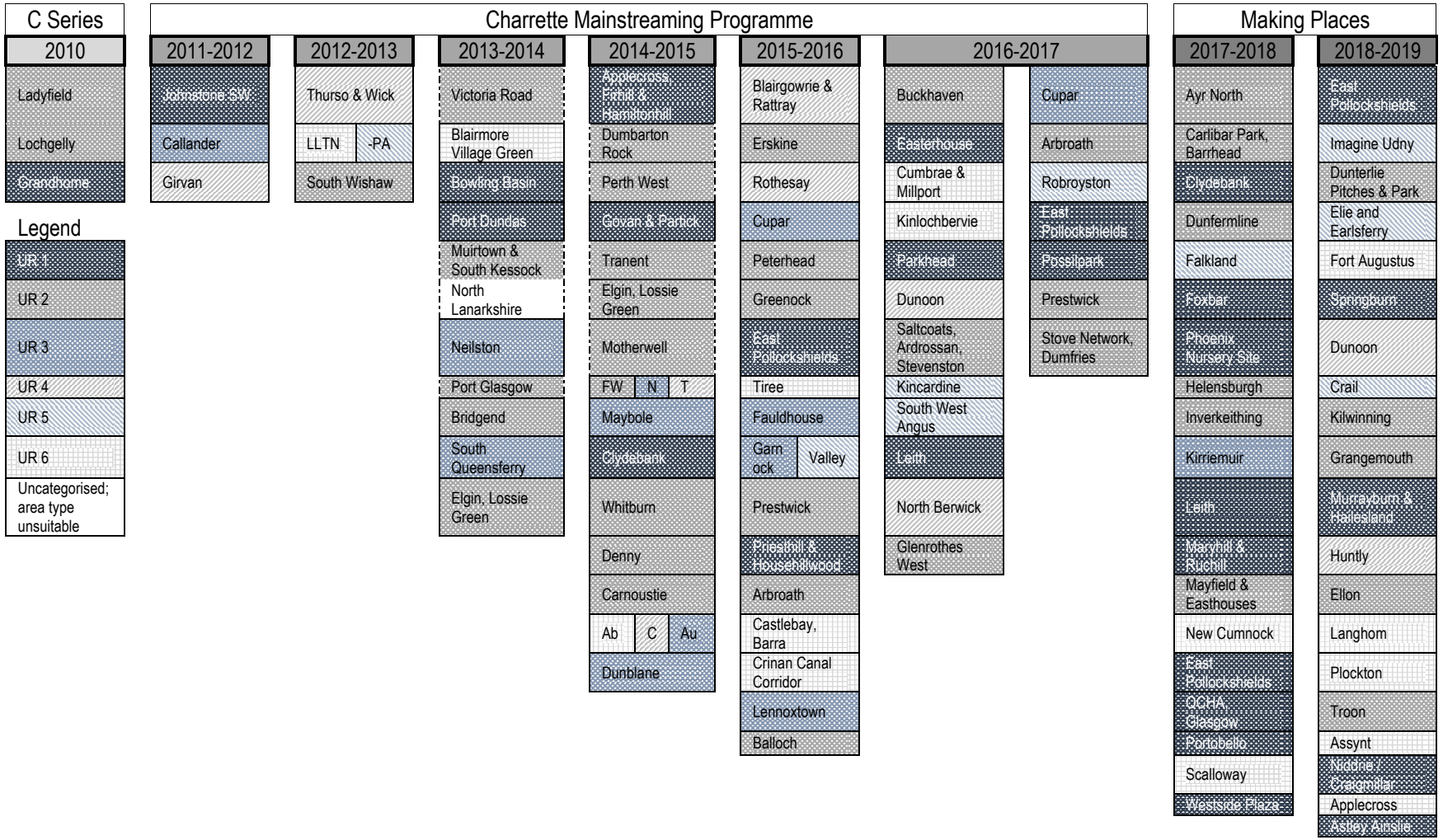
C.1 Appendix C Process and Objectives

Appendix C supports Chapter Eight's context, process and objectives, outputs and outcome 'descriptors' by presenting the analysis that led to their formation.

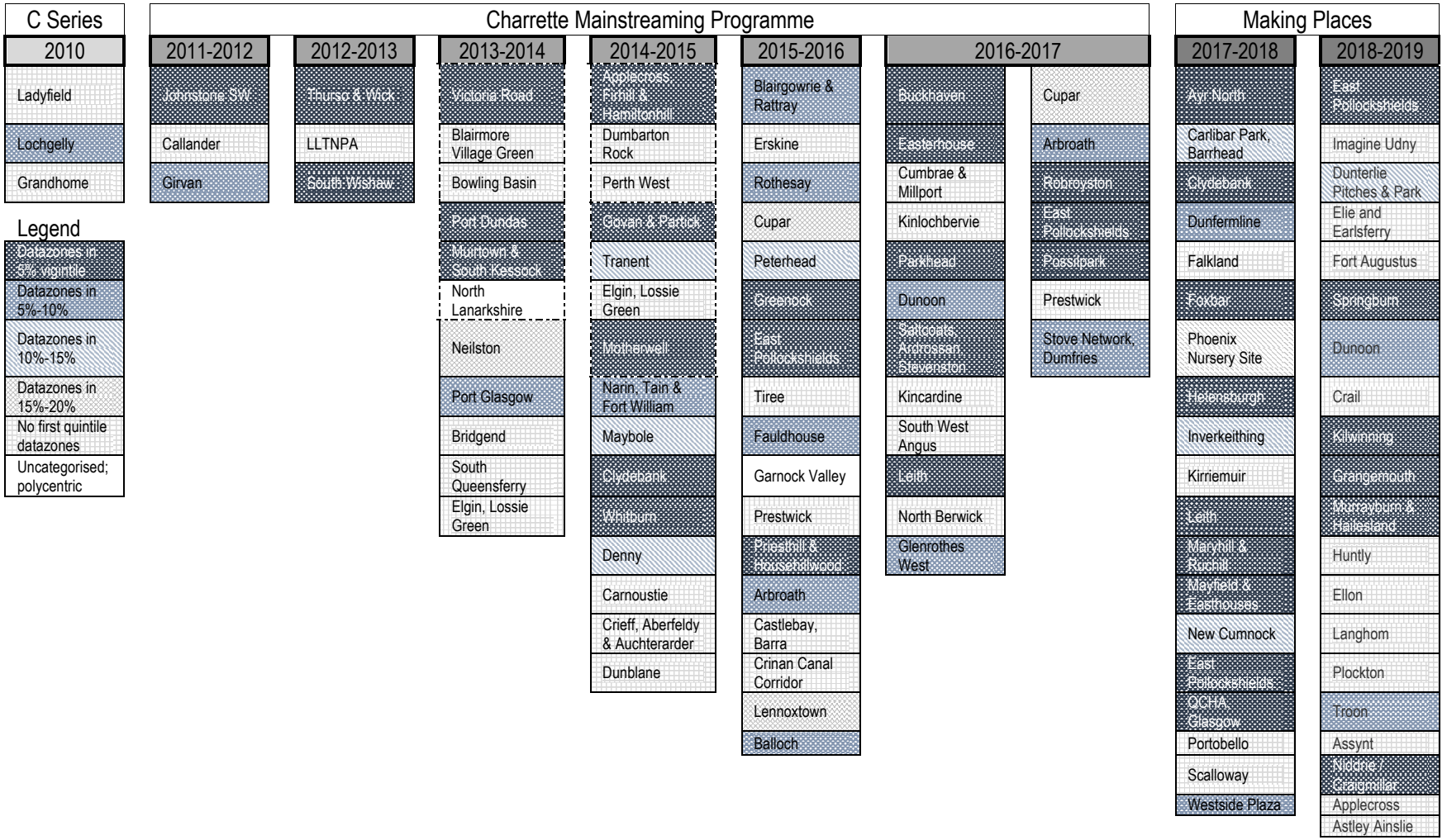
C.1.1 Issue Type



C.1.2 Characterising CMP, AI and MP Project by Geography



C.1.3 CMP, AI and MP Projects identified by lowest ranking SIMD vigintile



C.1.4 CMP, AI and MP Project Design Team Listings

1	Parsons Brinckerhoff	16	Wave Particle	31	Fairhurst	46	Indigo Project Solutions
2	BRE	17	Transport Planning Ltd.	32	Nick Wright Planning	47	SIAS
3	7N Architects	18	AECOM	33	URS	48	Macleod and Aitken
4	Jura Consultants	19	Ryden	34	Rettie & Co.	49	LUC / LDN
5	Roger Tym & Partners	20	Neilson Partnership	35	Tom Sneddon: Architect	50	Matt Baker
6	Simpson & Brown Architects	21	Icosse	36	City Design Co-Operative	51	Envirocentre
7	Dawn Developments	22	ESALA	37	URBIS Ltd.	52	Mike Hyatt
8	John Thompson & Partners	23	DPT Urban Design	38	SNOOK	53	Lesley Kerr
9	Wardell Armstrong LLP	24	Kevin Murray Associates	39	University of Stirling	54	Tourism Resources Company
10	SKM Colin Buchanan	25	ARUP	40	Steve Tolson	55	Barton Willmore
11	Gillespies	26	Michael Laird Architects	41	Peter Brett Associates	56	Sam Short Consulting
12	The CADISPA Trust	27	Rankin Fraser Landscape Architects	42	Willie Miller Urban Design	57	Smith Scot Mullan
13	Scarborough's Future Urban Renaissance	28	RPS Group	43	Benton Scott-Simmons	58	John Brown & Company
14	Austin-Smith: Lord	29	Ironside Farrar Ltd	44	Turner Townsend	59	Icecream Architecture
15	Douglas Wheeler Associates	30	Anderson Bell Christie Architects	45	WT Architecture	60	Malcom Fraser Associates
61	Carlogie Ltd.	75	Dress for the Weather	89	Ekosgen	103	HERE+NOW

62	Brunton Design Studio
63	Centre for Local Economic Strategies (CLES)
64	Maggie Laidlaw + Samantha Green
65	Tony McKay
66	Basharat Khan
67	Planning Aid Scotland (PAS)
68	Andrew Carrie
69	Iglu
70	Harrison Stevens
71	Studio 42 Design Ltd.
72	LX Arts Ltd.
73	4 Consulting
74	Collective Architecture
117	Martin Aitken Associates Ltd
118	GL Hearn
119	Iglu

76	Community Links Scotland
77	Here & Now
78	Children's Parliament
79	Pidgin Perfect
80	MODO (i.e., the client)
81	Patricia Fleming
82	John Gilbert Architects
83	Gerry Grams
84	Yellow Book Ltd.
85	Vivienne Brown Associates
86	Lingo Flamingo
87	Lucy Payne
88	Oliver Chapman
120	Architecture and Design Scotland
121	Scottish Future Trust
122	City of Play

90	JMA: McIlhagger Associates
91	DM Hall
92	Morham & Brotchie
93	Richard Whatman Consulting
94	LX Arts Ltd.
95	ERZ
96	Hoskins Architects
97	Alan Jones Associates
98	Darnton B3 Architects
99	Steve Hurrell
100	Thompson Gray
101	Lateral North
102	Biomorphis
123	Outpost Arts

104	Urban Movement
105	CMC ASSOCIATES
106	PAGE AND PARK
107	colin ross workshop
108	Sam Foster Architects
109	Keddie Consulting
110	BAXENDALE
111	Grant Murray Architects.
112	STAR Development Group
113	Camerons Architects
114	Outside The Box Ltd
115	City Design Co-operative Ltd
116	G3 Consulting Engineers

C.1.5 CMP, AI and MP Award Grants from Scottish Government

		No. of Projects	Project Names
Five Categories Distinguishing Award Grants	Below Average -2SD	12	Blairmore Village Green, 2013-14; Agile City, 22017-18; Bridgend, 2013-14; Priesthill & Househillwood, 2015-16; South Queensferry 2013-14; East Renfrewshire Council, 2017-18; Dunterlie Football Pitches and Play Park, 2018-19; Kinlochbervie, 2016-17; Maryhill Housing Association, 2017-18; Plockton Masterplan, 2018-19; New Cumnock Development Trust, 2017-18; Lochinver, Assynt, 2018-19
	Average -1SD	48	Denny, 2014-15; Applecross Community Land Use Plan, 2018-19; Stove Network, Dumfries, 2016-17 ai; Bowling, 2013-14; Dumbarton Castle, 2014-15; Tranent, 2014-15; Clydebank, 2014-15; Nairn, Tain & Ft William, 2014-15; Erskine, 2015-16; Tiree, 2015-16, Garnock Valley, 2015-16; Arbroath, 215-16; Lennoxtown, 2015-16; Balloch, 2015-16; North Berwick, 2016-17; Cupar,2015-16; Robroyston, 2016-17 ai; East Pollockshields, 2016-17,ai; Prestwick, 2016-17 ai; Shetland Islands Council, 2017-18; Renfrewshire Council, 2017-18; Argyll & Bute Council, 2017-18; Fife Council, 2017-18; Fort Augustus, 2018-19; Murrayburn & Hailesland Community Park, 2018-19; Langhom charrette, 2018-19; Muirhead, Birkhill & Liff, 2016-17; Possilpark,2016-17 ai; Port Glasgow, 2013-14; Kircaldy, 2013-14; McSence Ltd, 2017-18; Action Porty, 2017-18; East Pollokshields, 2016-17 ai; East Pollokshields, 2018-19; Dunoon, 2018-19; Grangemouth, 2018-19; Astley Ainslie,2018-19; Arbroath, 2015-16,Dunblane, 2014-15; Elgin, Lossie Green, 2013-15; Applecross, Firhill & Hamiltonhill, 2014-15, Castlebay, Barra, 2015-16; Cumbrea & Millport, 2016/17, Saltcoats, 2016-17; Ardrossan & Stevenston, 2016-17; Kirriemuir, 2017-18; Imagine Udny, 2018-19; Kilwinning, 2018-19; Ellon, 2018-19
	Average +1SD	39	Falkland & Newton of Falkland, 2017-18; Crieff, Aberfeldy & Auchterarder, 2014-15; East Pollockshields, 2016-17 ai; Rothesay, 2015-16, Dunoon, 2016-17; Troon, 2018-19; Elie and Earlsferry, 2018-19; Crail, 2018-19; Dunfermline, 2017-18; Springburn, 2018-19; North Lanarkshire, 2013-14; Neilston, 2013-14; Port Dundas, 2013-14; Elgin, Lossie Green, 2014-15; Govan and Partick, 2014-15; Perth West Masterplan, 2014-15; Carnoustie, 2014-15; Whitburn, 2014-15; Blairgowrie & Rattray, 2015-16; Cupar, 2015-16; Peterhead,2015-16; Fauldhouse, 2015-16; Crinan Canal Corridor, 2015-16; Buckhaven, 2016-17; Easterhouse Town Centre, 2016-17; Parkhead, 2016-17; Kincardine (Longannet), 2016-17; Glenrothes West, 2016-17; Wester Hailes Community Trust, 2017-18; Clydebank, 2014-15; Huntly, 2018-16; Troon, 2018-19, Leith, 2016-17; South Wishaw, 2012-13; Niddrie / Craigmillar, 2018-19; Muirtown & South Kessock, Inverness, 2013-14; Maybole, 2014-15; Greenock, 2015-16; Prestwick, 2015-16
	Above Average +2SD	3	Queens Cross Housing Association, 2017-18; Callander, 2011-12; Girvan, 2011-12
	High +3SD	2	Leith, 2017-18; Johnstone SW, 2011-12
	+4SD	0	
	+5SD	1	Thurso and Wick, 2012-13
	+6SD	1	LLTNPA, 2012-13

C.1.6 Task Types Derived from CMP, AI and MP Outputs

		Format
1. Community Appraisal		
Definition:	A community appraisal is an assessment of needs, assets and opportunities. Normally it was accompanied by other objectives.	
Examples:	Example 1: 'The theme of the Charrette will be "A wish for your community" and the plan is to engage the community in arts led workshops which explore the strengths and assets of the community, along with the areas for improvement' (Priesthill & Househillwood Neighbourhood, 2015-16). Example 2: 'We recognise that Leith has been victim to a series of failed masterplans. It is not our intention to create another one. Instead this Blueprint forms the result of our findings' (Leith, 2016-17)	Report; Documentary
2. Shared Vision		
Definition:	A shared vision is a long-term collective aspiration for a community's future. It is aspirational, informs other planning layers and may aim to foster a collective, partnership approach to working.	
Examples:	Example 1: 'The 2025 vision for Clydebank Town Centre aims to inspire, shape and direct the identification of projects and priorities across the overarching themes of place, business and community. The vision has helped shape the integrated Development Framework and Action Plan that were the main outputs from the Charrette' (Clydebank, 2014-15). Example 2: 'With development pressures for expansion, now is the time to develop a sustainable plan for the community's future based on this vision…' (Crail, 2018-19).	A title, statement, principles, concept diagram
3. Local Strategy or Action Plan		
Definition:	Building on Community Appraisal and Shared Vision, strategies tended to explore a way forward considering physical and/or non-physical options. Sometimes linked to a particular issue such as regeneration, housing or land use policy; or as a catalogue of ideas (see examples). Similar to Shared Vision there is a notable degree among strategies that combine other objectives (e.g., community appraisal, shared vision, potential action and deliverability work).	Illustrative Masterplan; Option Appraisals
Examples:	Example 1: 'The mini-charrette focused on reviewing effective housing land supply issues and developing a spatial strategy for housing development in the South Wishaw area defined by the study area boundary' (South Wishaw, 2012-13) Example 2: 'John Gilbert Architects was invited to assist Assynt Development Trust with strategy for Lochinver – one which made the village a better place to live, offer more opportunities for business and increase leisure opportunities for locals and visitors. This short piece of work aims to provide a catalyst for considering the development of Lochinver and is a basis for more detailed work' (Lochinver 2018-19).	
4. Development Framework		
Definition:	A development framework is not as detailed as a masterplan (see Port Dundas, 2013-14), often plays a supporting role alongside other objectives and is the source from which more detailed work can draw (Hamiltonhill, Applecross, Firhill, 2014-15).	Schematic Illustrations,

Examples:	Example 1: 'The land around Muirtown Basin was to be the subject of a masterplan, while the South Kessock area was to be the subject of a development framework' (Muirtown and South Kessock, 2013-14). Example 2: 'Charrette and sets out an Action Plan and Development Framework of mutually supportive priority projects. In the spirit of 'whole place planning' the Action Plan sets out non-physical initiatives supported by, and supportive of, a Development Framework of physical interventions (Arbroath, 2015-16).	Concepts; Programme, Indicative Schedule of Works

5. Masterplan

Definition:	A Masterplan appears to be the most comprehensive and detailed of all objectives. Although, it has been used for *illustrative* or *visionary* purposes (see Girvan, 2011-12). Masterplans tend to be an aggregate of several objectives (e.g., including design guidance, spatial strategies, shared vision and so forth).	Illustrations; Action Plan; Base Data Research; Special Studies (e.g., engineering, transport framework); Design Code; Architectural Concepts
Examples:	Example 1 [detailed]: 'A spatial masterplan is, foremost, a practical planning tool. It is intended to coordinate strategic change within a defined area, over time, and is nested between planning policy and design' (Inverkeithing, 2013-14). Example 2 [detailed]: The masterplan is prepared with a view of submitting the preferred proposals for Planning Permission in Principle in 2016 (Applecross, Hamiltonhill & Firhill, 2014-15). Example 2 [visionary]: 'The aim was to produce a visionary masterplan for the area, with a particular focus on producing costed proposals for the redevelopment of the Glenwood Centre' (Glenrothes, 2016-17).	

6. Potential Action

Definition:	A minority of projects, whose scale could be characterised as 'Site Development / Regeneration', focussed more specifically on design proposals. For some, this was the sole objective, others not; for others, it sat alongside other tasks:	Costings; Detailed Design Work including Special Studies
Examples:	Example 1: 'This document reports on a series of community workshops that have taken place in Blairmore Village at the end of 2013 and beginning of 2014, focused on creating a plan for the future of Blairmore Village Green' (Blairmore Village Green, 2013-14). Examples 2: 'The Community Company will be joined by specialist consultants and architects to explore your views on how best to further the development of facilities on and around the Pier' (Kinlochbervie, 2016-17).	

7. Deliverability Work

Definition:	Whilst some projects endeavoured to establish a vision (illustrated via a strategy, masterplan and so forth) a minority were more focussed on deliverables.	An agreement; Timetable; Schedule of Works
Examples:	Example 1: 'In effect the Charrette exercise was designed to act as a bridge between the early vision of the Town Charter and the project delivery phase' (Neilston, 2013-14)	

C.1.7 Goals, Purposes of Participation Revised Post Expert Review

Following the expert review, I revised the participation goal groups in the preliminary framework based on recommendations. Following advice from Professor Sanoff, who suggested terms such as 'democratic goals' were likely too ambiguous given the term's layered connotations. Here, I provide a short literature review referencing the frequently cited purposes, goals and benefits for public and stakeholder participation. Unlike Chapter Six, I rely on literature, rather than empirical data from CMP, AI and MP output and interviewee analysis.

Combined, these sources helped derive often cited goals and outcomes for the case characterisation framework. Evidently, this is not an exhaustive list. Therefore, Chapter Six and this appendix provide a resource of other possible motivations and reasons for initiating a participatory approach.

With reference to Beierle and Konisky (2000), Jones et al. (2009) Innes and Booher (2004a), Innes and Booher (1999a), Beierle and Cayford (2002), Lawless and Pearson (2012), Laurian and Shaw (2009), Bailey and Pill (2015), Bailey (2010), Gaventa and Barrett (2012b); O'Faircheallaigh (2009) and Silver et al. (2010), there are numerous justifications for a participatory approach. There are various ways to classify these *goals*[76]. I identified four trends within 'goals':

1. Ethical, Normative
2. Process, Substantive
3. Social, Political
4. Practical, Functioning (Instrumental)

C.1.7.1 Ethical, Normative

Incorporate Values; Influence Decisions: Initiatives aim to give 'more voice to those affected by policy innovations' (Lawless & Pearson, 2012, p. 510). It is regarded 'unethical or

[76] I use 'goals' to broadly cover all motivations, purposes, reasons, benefits described in justifying or describing the intentions of a participatory approach.

undemocratic for [the public] not to be involved in decisions' therefore public input must be included and ultimately shape discourse and subsequent decisions (and/or plans, strategies and so forth) (Beierle & Cayford, 2002; O'Faircheallaigh, 2009, p. 22). Therefore, 'public participation must fulfil the demands and needs of the citizenry' and fight against the marginalisation of minority interests (Webler & Renn, 1995). Consideration of all interested and affected parties should be acknowledged (Healey, 2015; Laurian & Shaw, 2009).

Necessary for Democracy: Citizens must participate in civic life given democracy can only legitimately function if decisions rest 'on the needs of the community' (Webler & Renn, 1995). Therefore, involvement of individuals is necessary for societal functioning and 'maintenance of a democratic polity' (Pateman, 1970, p. 20); participation is an educational, conditioning experience. Citizens through their involvement 'develop a fuller understanding of their system of government' that enables fuller appreciation of others and broader societal interests (Bickerstaff & Walker, 2001; O'Faircheallaigh, 2009, p. 22). Therefore, raising one's capacity to exercise involvement rights and fulfil citizenship obligations.

Revive Democracy: Acknowledging public participation is a necessity for societal functioning, more direct, participatory forms of engagement are thought to re-engage individuals that have become despondent and distrustful of public service institutions. Therefore, 'involvement of citizens may moderate an apparent "democratic deficit"' (Lawless & Pearson, 2012) and subsidise low levels of engagement evident in representative democracy (Wilson, 1999).

Citizen Empowerment: Building individual and collective capacity is another reason to initiate public and stakeholder participation. Empowerment, not synonymous with participation (Silver et al., 2010), suggests levelling the playing field and offering a platform to minority voices (Webler & Renn, 1995). It indicates a transfer of authority, power or resources (Bailey, 2010; Bailey & Pill, 2015), and could be evidenced through education or skill development and managing or owning assets or service delivery. The ultimate goal is to render communities independent, and more sustainable: 'Building social capital is the primary objective achieved by residents playing a central role in decision-making and believing that they "own" the process as they move away from being dependent' (Sanoff, 1999, p. 6).

Goals	Outcomes
Ethical, Normative Goals	Ethical, Normative Outcomes
1. Incorporate Local Values Ensure those most affected or vulnerable are included and given opportunities for expression (Bailey, 2010; Cunningham & Tiefenbacher, 2008; Lawless & Pearson, 2012); local, tacit knowledge is incorporated (Beierle & Konisky, 2000; Cunningham & Tiefenbacher, 2008); input influences outputs and outcomes.	• Influence on primary task (e.g., decision-ruling, strategy, proposal, recommendations). • Tacit knowledge and/or local opinion is gathered (e.g., voluntary geographic information).
2. Reactivate Citizens Re-engage citizens in local governance, address democratic deficit; in turn, anticipating a more connected, well-resourced resilient and less dependent community (Bailey, 2010; Gaventa & Barrett, 2012b; Lawless & Pearson, 2012; Wilson, 1999).	• Community betterment (e.g., less dependent, more resourced and connected community). • Membership rises in political, social, voluntary and so forth associations.

3. Empower Individuals, Agencies & Communities
 	
Element of education, skill development; a transfer of power, resources or authority to an individual or agency; participants have 'equal capacities to participate', resources enabling participation (Bailey, 2010; Bailey & Pill, 2015; Parvin, 2018; Silver et al., 2010, p. 455).
	• Individuals and/or agency note improved change to normal conditions, functioning
	  ○ [Example, individual] Gain 'democratic competencies'; broaden, strengthen linkages
	  ○ [Example, agency] Transfer of assets or responsibility to manage locally run services

4. Social Justice; Outcome Responsiveness Broader more deliberative, inclusive processes are thought to render services and institutions more responsive to local need (Bailey, 2010; Barnes et al., 2007; Bickerstaff & Walker, 2001; Gaventa & Barrett, 2012b; Lawless & Pearson, 2012) and address inequality of benefits and burdens of local decision making through the redistribution of material and social outcomes (Hernández-medina, 2010; Innes & Booher, 2015). The objective centres on 'fairness and justice' (Innes & Booher, 2004a, p. 422)	• Fairer distribution of social and material outcomes. • Needs of minorities better satisfied.

C.1.7.2 Process, Substantive Goals

Better Quality Outcomes: Public and stakeholder involvement may be initiated because broader input is thought to 'improve the quality and responsiveness of local services' (Bailey, 2010, p. 318). The substrate from which subsequent proposals, decisions, strategies and so forth are based, are stronger because new, alternative perspectives are added to the mix (Beierle & Cayford, 2002). Input provides a holistic vantage point, injects creativity and identifies new, novel ideas (Ibid 2002). Broader input is therefore used to solve complex problems, improve service delivery and 'identify effective, socially acceptable strategies to mitigate impacts and identify opportunities' (Lawless & Pearson, 2012; O'Faircheallaigh, 2009, p. 21).

Convene Multiple Interests: A central tenet of consensus building, community design and so forth (see Sanoff, 1999, p. ix for terms) is 'dialogue and joint learning among those with interests in an issue' (Innes & Booher, 1999a, p. 413). Dialogical spaces offer more than an opportunity to list priorities but diverse parties to work 'practically achieving their planning desires' (Allmendinger & Tewdwr-Jones, 2002, p. 9). The early R/UDAT initiatives established new communication channels: 'when a team came to town, people who had never talked to each other before, far less heard one another, began talking and listening' (Batchelor & Lewis, 1986, p. 12). Therefore, a key goal of participatory processes is to convene multiple interests.

Raise Awareness; Educate: Community and stakeholder involvement may be initiated to help inform and/or educate citizens and stakeholders on an issue; raise competencies enabling dialogue, debate and expressing of opinions (Bailey, 2010; see Participant J, Private Practice Professional in Chapter Six); and increase awareness of local community goings-on (Laurian & Shaw, 2009).

Convene Multiple Interests

Process, Substantive Goals	Process, Substantive Outcomes
1. Raise Awareness; Educate Raise citizens' awareness of local, regional or national issues and raise institutions' awareness of local issues, problems or need (Bickerstaff et al., 2002; Bickerstaff & Walker, 2001; Innes & Booher, 2004a; Laurian & Shaw, 2009); raise competencies to enable participation (Bailey, 2010; see criteria in Webler, 1995).	• Participants agree shared terms of reference, misunderstandings minimised • Participants have equal access to available (objective, tacit) knowledge sources (which enable involvement) • Citizens increase understanding of an issue • Institutions better understand public opinion; gather useful tacit knowledge
2. Inclusive, Communicative Process Facilitate dialogue, deliberation and debate between multiple interests; open, two-way flow of information (Margerum, 2011, Ch. 4); equal opportunities to participate, express views (Mannarini & Talò, 2013); deliver a *fair* and *competent* process (see criteria in Webler, 1995).	• Participants have equal opportunity to comment, debate and shape final agenda • Participants have equal opportunity to comment, debate and shape moderating procedures • Equal opportunities for participants to be present and/or represented • Equal opportunities for participants to express and respond to (challenge) others' claims • Barriers to involvement are minimised to reduce possible bias / unequal distribution of interests involved and/or represented
3. Mutual Learning Convening multiple interests engenders shared learning as processes encourage perspectives to hear one another; work jointly on practical problem solving (Innes & Booher, 2004a); participants 'socially construct an holistic picture of reality depicting personal and shared relations' (Webler, 1995, p. 72); reflexivity helps soften adopted positions and 'less dogmatic attitude toward their current ideals' (Parvin, 2018, p. 37).	• Mutual learning; greater appreciation for others' perspectives • Self-reflexivity; polarisation softened • 'Shared problem frames' (Innes & Booher, 1999a); agreed priorities
4. Improve Decision Quality Broader input heightens quality or improves decision (or other output types); for example, new knowledge advances solution development, broader input leads to innovation and novel, creative ideas forwarded (Beierle & Cayford, 2002).	• Creative solution is developed; innovative strategy • Participants offer new, unearthed insights and/or tacit knowledge • Decisions (and other output types) offer joint gains

C.1.7.3 Social, Political Goals

Social, Political and Institutional Capital: Building on mutual learning, collaborative processes could foster longer-term, intangible outcomes such as bonding and bridging social capital, greater levels of trust, improved relations and co-ordinated joint action outside or beyond the participatory initiative (Innes & Booher, 1999a). Convening agencies could incubate 'network power', which sees diverse groups communicating, sharing, forming relationships and working in sync through their connected relational web.

Satisfaction, Legitimacy and Trust: Participants are thought to be generally happier with outputs produced with them, than those achieved through other means and feel 'better off without any participants being worse off' (Beierle & Cayford, 2002, p. 27). Broader involvement lends the plan (and/or decision, strategy and so forth) greater legitimacy and could build trust in planning agencies or government institutions (Laurian & Shaw, 2009).

New Discourses, Practices: Proponents of collaborative processes recognise much 'planning work' is done through informal, dialogical spaces where diverse interests meet (Healey, 2012, p. 59). These interactions are thought capable of 'transformative influence upon existing structures (in the institutional sense)' (Allmendinger & Tewdwr-Jones, 2002, p. 8). Therefore, participatory urban governance becomes manifest in new arenas, platforms and 'institutional arrangements' (Healey, 2012); effectively changing everyday operations and systems of governance.

Social, Political Goals	• Social, Political Outcomes
1. Social, Political and Institutional Capital Obvious crossovers with 'Ethical, Normative Goals' the purpose includes incubating new communication channels, social networks, personal and professional associations (Innes & Booher, 1999a).	• New, strengthened relations • Agreement to work on shared aims
2. Satisfaction, Legitimacy and Trust With reference to Laurian and Shaw (2009) 'governance goals', includes building greater trust in institutions / agencies; increase agency legitimacy; render outputs and public decisions legitimate (Innes & Booher, 2004a); participants consider output derived from fair, inclusive, transparent and ultimately 'democratic' process (Innes & Booher, 2004a); participatory approach addresses 'legitimacy gap' (Lawless & Pearson, 2012).	• Greater trust in civic institutions • Agency decisions and outputs perceived to be legitimate

3. New Discourses, Practices
 	
Broader institutional impacts evidenced through practice change (Innes & Booher, 1999a); through behavioural change e.g. change in travel patterns after greater issue awareness (Bickerstaff et al., 2002)
	•
	
	• Second and Third Order Effects (see Innes & Booher, 1999a)
	  ○ [second order] new partnerships, coordination and joint action, joint learning extends into community, agreement implementation, changes in practice procedures, changes in perception
	  ○ [third order] New collaborations, more co-evolution and less destructive conflict, results on the ground, new institutions, new norms, new discourses

C.1.7.4 Practical, Functioning (Instrumental) Goals

Agreement; Reduce Conflict: Conflict is necessary for consensus-building processes; in its absence there would be little need for interaction (Innes & Booher, 2015). Therefore, as participatory processes facilitate joint learning, conflicts may be addressed and possibly resolved. However, as Professor Healey noted in Chapter Five's feedback, consensus is itself a contested concept. Innes and Booher (2015, p. 200) note 'Conflicts never end' but 'temporary agreements' may be forged and buy-in or support may be cultivated (Bickerstaff et al., 2002).

Satisfy Statutory Requirements: Public and stakeholder involvement may be relatively tokenistic (see Arnstein, 1969) and initiated to satisfy 'the dictates of central government' and to ensure outputs meet funding criteria requirements (Bickerstaff & Walker, 2001, p. 437).

Efficiency: Scottish planning reforms and wider European practices advance simultaneous goals including more efficient and speedier decision making as well as rendering processes 'more democratic' (Aitken, 2010; Healey, 2012, p. 61); however, these goals may be less than complementary. Nevertheless, broader involvement could help maximise 'the efficiency of interventions' (Lawless & Pearson, 2012, p. 510). Efficiencies may also be monetary, as Beierle and Cayford (2002) note a 'better' outcome or process could include one that is more cost-effective than alternative means.

Practical, Functioning (Instrumental) Goals	Practical, Functioning (Instrumental) Outcomes
1. Agreeable Outputs; Reduced Conflict Purpose is to generate largely agreeable decisions (and other output types); ensure a joint, coordinated approach (Bickerstaff & Walker, 2001); increase buy-in and support for outputs (Bickerstaff et al., 2002); address conflict or competing interests; reduce opposition (Bedford et al., 2002).	• Produce socially acceptable decision and/or other output types. • Produce joint, coordinated outputs (e.g., strategy, plan, decision). • Contestations, letters of objection reduced.
2. Satisfy Statutory Requirements Satisfy 'participation' requirements or meet funding criteria eligibility (Bickerstaff & Walker, 2001; Innes & Booher, 2004a). Referencing Arnstein (1969) this objective is largely tokenistic and offering participation is the objective.	• Satisfy all statutory, legal requirements. • Meet funding eligibility criteria.
3. Efficiency A more participatory approach is thought to potentially deliver ''better' and more efficient policies' (Bickerstaff et al., 2002, p. 64).	• Cost efficient process than alternative processes. • Cost efficient output (i.e., solution, decision, proposal) compared to alternative processes. • Streamlined, speedier decision-making process.