



Social Enterprises
Knowledgeable Economies
and Sustainable Communities

Community-Based Planning

Engagement, Collaboration, and Meaningful Participation in the Creation of Neighbourhood Plans

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with the advice of Molly McCracken, Gerry Couture, and Brendan Reimer

**A research report prepared for the Northern Ontario, Manitoba,
and Saskatchewan Regional Node of the Social Economy Suite**

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Entreprises sociales
économies intelligentes
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COMMUNITY-BASED PLANNING

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COMMUNITY-BASED PLANNING
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“Planning for community renewal is a hopeful activity, but it rarely takes place smoothly, linearly and harmoniously. Expect it to be messy, sometimes even bruising. It is often exhilarating, but can also be a real grind. It may involve brilliant moves forward, but will also involve stalls, backward steps and sideways shifts.”

— Action for Neighbourhood Change 2010, 7

INTRODUCTION

Setting the Stage

Community Development

COMMUNITY DEVELOPMENT is a process by which citizens work together to help shape their future and improve their quality of life. These citizens may be concentrated in either a geographic location (neighbourhood), or may be part of a self-identified common group. Core values of this development process include:

- building on local assets;
- inclusive and participatory planning;
- holistic perspectives;
- self-determination;
- collaboration, and;
- partnership-creation to achieve desired goals.

Those involved with shaping their communities and their future know how rewarding it is to see a boarded up house turn into a home, a weedlot turned into a garden or a gathering place, or to know that residents feel safer in their homes and on their streets.

Challenges

There are, however, many challenges to community and human-centred approaches to development. These challenges include:

- high expectations for delivery on community consultation input;
- connecting objectives among stakeholders;

- connecting with marginalized groups; and
- neighbourhood plan implementation (access to resources).

These challenges can entrench stakeholder positions and magnify interpersonal conflict, inhibiting achievement of desired outcomes. Various planning tools and approaches can help mitigate conflict and maximize opportunities to build a common vision and collaborative partnerships.

Community actors, agency representatives, and leaders can build the skills and perspectives critical to the creation of meaningful participation, which leads to successful community development.

Building necessary skills and perspectives often becomes the responsibility of an organization's executive director (ED) and board of directors. An ED's job description has many duties including fundraising, human resources, financial management, and other day-to-day responsibilities. As a result, important long-range thinking and planning may take a "back seat" to more urgent day-to-day matters. This is an unfortunate reality, because "finding ways to genuinely engage neighbourhood residents is [an essential action] of neighbourhood-based community development" (Silver, McCracken, and Sjoberg 2008, 34).

Neighbourhood Renewal Context

In Manitoba, community-led development is increasingly recognized as a way to create positive change in a neighbourhood. The creative ideas and skills emerging from communities, and the partnerships that can be formed among these communities, funders, and policy makers, can make a difference.

Neighbourhoods Alive! is a provincial initiative formed to provide community organizations in neighbourhoods with high concentrations of poverty with the support they need to improve quality of life and make their neighbourhoods safer, more inclusive, and equitable. This initiative supports programs and services in five Winnipeg neighbourhoods, and in Brandon, Thompson, Portage la Prairie, Dauphin, Selkirk, Flin Flon, and The Pas. Although each of these neighbourhoods is distinct, they share similar characteristics. All are considered to be "distressed" neighbourhoods, facing safety and security issues, declining housing stocks, and other socio-economic and systemic struggles.

The Neighbourhoods Alive! initiative provides operational and project funding to support the creation of Neighbourhood Renewal Corporations (NRCs). By using community

economic development (CED) approaches, these NRCs plan and co-ordinate neighbourhood renewal efforts. CED approaches to neighbourhood can be defined as citizen-led, holistic initiatives that take an interconnected approach to community development, integrating social and economic goals and analysis into work and project development.

Every five years, Manitoba's NRCs are required to re-engage the community in participatory planning exercises and compile a renewed neighbourhood plan. Although this plan is required by Neighbourhoods Alive!, it is also a great resource for the NRC itself, as well as for partnering organizations.

Biases and Assumptions

As with any project, a number of biases and assumptions have informed this research and must be acknowledged. These include:

Community-based planning lens — This project celebrates the contributions of communities and community groups, knowing they play a large role in direction-setting and renewal in their neighbourhoods. The use of the “lens” acknowledges that although community-based planning may require extra time, effort, and resources, the benefits of this approach (a more appropriate plan tailored to local contexts, as well as increased support from, and capacity of, community members) are great.

Planning is for everyone — This project acknowledges the diverse and valuable expertise held not only by those with a specific education in planning, but also by those who work, live, volunteer, and recreate in different communities. Consequently, the term “planner” in this resource encompasses citizens, community workers, and consultants engaged in neighbourhood planning.

Complex issues require holistic and integrated approaches — Although this resource celebrates community-based planning approaches, it also acknowledges the complexity of issues in distressed neighbourhoods. Security, housing, food security, and income issues are all connected to each other, and to a host of other challenges. None of these issues can be addressed in isolation. Similarly, no one sector or group can address these challenges alone. Partnerships and working relationships must be formed between community workers and policy makers, citizens, and civil servants.

Class bias and power balance — This resource itself cannot escape class bias. Research

interviews were limited to consultants and representatives from NRCs, those who are “in power” and responsible for planning processes. This resource does not include specific perspectives from the community members who are most impacted by planning processes. Seeking out and documenting these perspectives may be a topic for further research and exploration.

Unique situations require unique approaches — For every challenging situation, there is never one single “cookie cutter solution” that will make things better. Similarly, although this resource is designed for use by many individuals and groups across (and beyond) Manitoba, not every part will be applicable to every group. For example, community planners in Northern Manitoba work within a different socio-cultural context than those in inner-city Winnipeg. Likewise, policy makers may use this tool differently than community workers. The approaches and techniques can be adapted to fit distinct needs.

Inevitability of conflict — Throughout these pages, readers will find a number of practical responses to conflict and complex situations. These resources were included to acknowledge and normalize conflict in community planning contexts. Increased awareness of potential conflicts, and the ability to analyze and respond to interpersonal and intragroup conflict, is invaluable to community planning processes.

Research Goals

This research is for community development workers curious about different engagement and participatory planning strategies. It arises out of stated needs for increased collaborative planning tools and methods. As stated earlier, the day-to-day responsibilities of community development workers often take precedence over longer-range thinking and planning. This collection of approaches to neighbourhood planning and meaningful engagement may therefore prove quite useful. With this in mind, the objectives of this research are:

- to provide synthesized resources for Neighbourhood Renewal Corporations, municipalities, and other agencies hoping to undertake community-based planning initiatives such as the creation of neighbourhood plans;
- to address self-identified gaps in knowledge surrounding collaborative planning processes and problem solving; and
- to collaborate across academic and community development disciplines to meaningfully contribute to the work of Neighbourhood Renewal Corporations.

Research goals will be accomplished through the following objectives:

- documentation of existing expertise in communities;
- celebration of current successes;
- development of a practical toolkit documenting existing models of collaborative and participatory planning techniques for community groups; and
- provision of resources within the guide to help analyze and discern which engagement approaches to consider in different situations.

Similar toolkits exist, but this research takes a unique angle, drawing information from existing resources as well as from the direct knowledge, challenges, and experiences of consultants and community workers/planners in Manitoba. This process should facilitate the (re)discovery and sharing of new and adapted methods of working with diverse community groups.

Guide Structure

The following section will provide a planning context for this resource. This review will also discuss different types of plans, as well as an overview of different planning theories. The next section will move to the neighbourhood planning context, providing information about neighbourhood plan structures and processes. The final section focuses on community engagement and engagement planning, compiling techniques and approaches from books written by practitioners around the world, as well as the experiences of community practitioners, planners, and consultants familiar with Manitoba's Neighbourhood Planning context. Key informant interviews collected information and experiences from a selection of Manitoba's community planners.

ABOUT PLANS AND PLANNING

What Is Planning?

PLANNING MAY INITIALLY SEEM like a specific profession requiring specialized skills such as mapping, interpretation of zoning by-laws, and preparation of technical reports and documents. However, the definition of what a “planner” does, and who can be called a “planner,” continues to expand. According to the

American Planning Association, planning happens when government officials, business leaders, and citizens come together to build communities that enrich people's lives (planning.org).

At its best, members of the planning profession work as facilitators to improve people's lives and build healthy communities. This is done by creating more convenient, equitable, healthful, efficient, and attractive places that can be enjoyed now and for generations to come (planning.org).

Ideally, planning is a partnership among civic leaders, businesses, social service agencies, and citizens. Each of these entities plays a unique and meaningful role in the creation of communities that enrich people's lives. Often, this is not easy, as people must balance new development, significant histories, community services, sustainability issues, and creative change (planning.org).

Why Plan?

Planning can help communities create a vision for the future and a roadmap for achieving that vision. Action for Neighbourhood Change has put out a guide for neighbourhood planning that lists reasons why people plan. These are:

- To share a dream — Community planning provides a forum where various perspectives and emotions are heard, and a collective dream emerges.
- To build commitment and engagement — Planning brings residents, businesses, community organizations, and other stakeholders together to share ideas and work together on issues that are important to everyone.
- To influence rather than be influenced — Planning helps a community influence its place in the world rather than be influenced by global forces.
- To combine fragmented community efforts into one unified plan for action — Most communities already have a variety of groups and organizations that have their own plans. A unified community plan can help to bring these plans together for a more co-ordinated and focused result.
- To determine your community's prospects for the future — Planning helps a neighbourhood identify its strengths, evaluate its resources, and grasp opportunities.
- To focus scarce resources — Each community has many more projects it would like to pursue than it can afford. Planning is a way to ensure that you get the optimum use of your limited time, talent, and money.
- To create credibility with funders and other outside resources — Funders and other

outside resources are more likely to support the community's renewal efforts if they are inspired by the plan of action (ANC 2010, 13).

Why Participate?

Planning used to be a top-down process driven by planning departments as opposed to communities. Expert consultants and/or planning department staff would develop and then implement plans for a neighbourhood. This would happen without consultation and would be based on their own analysis of neighbourhood data. According to Lennertz and Lutzenhiser from the National Charrette Institute (NCI), this process worked quite well until about 1940. After this point, cities began to look and function more poorly and the people who suffered most were those who were directly impacted by top-down decision making. It has taken decades, but today it is common practice to gather the advice and consent of those affected by planning decisions (Lennertz and Lutzenhiser 2006, viii).

Both citizens and governments around the world are increasingly demanding more local involvement in the planning and management of their communities and the environment. Wates notes that meaningful citizen participation is now seen as the best way of building safer, stronger, wealthier, and more sustainable communities (Wates 2006, 2).

Participation is seen as a major contributor to urban sustainability. In fact, Wheeler cites community participation and involvement, as well as healthy social ecology, as two of nine main directions for urban sustainability. These are listed together with efficient land use, less automobile use, efficient resource use, restoration of natural systems, good housing, sustainable economics, and preservation of local culture and wisdom (Wheeler 2007, 507).

Things are no different here in Manitoba. The Government of Manitoba's Neighbourhoods Alive! Initiative draws attention to the partnerships developing between communities and government. These partnerships are "built on co-operation and recognition of the creative ideas and skills that neighbourhoods themselves have to offer" (Neighbourhoods Alive! Toolbox). Recently enacted legislation requires all municipalities or planning districts (formed through agreements between two or more municipalities) to submit a development plan to the province. If resources are available, jurisdictions may create the plan internally and submit it for provincial approval. If this is not an option, the province will help with the required personnel or financial resources.

Outside of Winnipeg, different jurisdictions are at different stages in their planning

practice. Municipalities or planning districts can decide how involved they want the public participation process to be; provincial law requires only that the jurisdiction “hold one or more public meetings” to gather input on the area’s development plan (The Planning Act, 44(1)). However, it is generally accepted that the greater the degree of participation, the greater the integrity and appropriateness of the plan. This is because local residents have their own visions, they know their community’s assets, and have ideas that could benefit their neighbourhoods.

Types of Planning (Planning Theories)

The following pages provide a framework upon which this research is built, including snapshots of major planning theories that have influenced practice over the last few decades.

Rational Planning

In the past, the planning profession focused on top-down and scientific approaches to planning that involved “the clarification of policy goals, systematic analysis, logical generation of policy alternatives, systematic evaluation of these alternatives and monitoring performance” (Allmendinger 2002, 54). The general assumption of rational planning is that the “best” solution can be determined through scientific approaches undertaken by experts in the field. Top-down and systematic solutions, however, are increasingly rejected by many citizens, and may have fostered a general distrust of planners. Decades of critique suggest these “traditional” approaches cannot be applied on grand scales: they may be helpful tools, but are not ends in themselves (Allmendinger, 2002, 66).

Pragmatism

Pragmatism emphasizes direct action to address specific problems — what works best in a given situation or circumstance (Allmendinger 2002, 114). At the heart of pragmatic approaches is a concern for practical and “common sense” solutions. Although there is a time and a place to “get things done,” pragmatic approaches can be impatient or dismissive of lengthy participatory processes, abstract thinking, and “bigger picture” ideas or concerns (Allmendinger 2002, 115). This can be dangerous, because if one is focusing only on practical action or a “quick win,” one may miss messages pointing to larger issues or root causes, such

as systemic inequality, colonization, harmful power dynamics, and bullying.

Instead of relying on rational methods that keep professional and political power in the hands of planners, practitioners can benefit from pragmatic approaches that break boundaries between those holding specialized knowledge and those holding community knowledge. Hoch suggests planners' work can be deepened if they consider relating to the powers of the weak, identifying with colleagues, neighbours, and citizens rather than with the "protocols of professional expertise" (Hoch in Allmendinger 2002, 123).

One of the major contributors to pragmatic planning theory, Charles E. Lindblom, wrote about incremental approaches. Lindblom argued that policy makers *cannot* and *do not* "think big." He also added that they *should not* do so. This directly counters rational planning methods; with pragmatism there is no great goal or vision as much as a focus on day-to-day issues and problems (Allmendinger 2002, 127). Like rational planning, pragmatic approaches to planning may be useful, but should be considered in the wider context of planning approaches.

Advocacy Planning

Human beings all have distinct biases and assumptions, and it is often helpful to acknowledge this during planning processes. Inherent in advocacy planning approaches is the idea of non-neutrality when assessing different plans. Because of their experiences, ideology, knowledge, and assumed roles, everyone has values and opinions. These colour planning processes. Advocacy planners are comfortable expressing their values. In addition, however, they also work in a way that exposes such values in other peoples' plans (Allmendinger 2002, 139). Rather than seeking to balance competing causes, advocacy planning typically promotes one specific interest, perhaps that of a marginalized group, above other interests.

Advocate planners seek to promote equity and balanced distribution of society's benefits. They do this by helping citizens who are typically powerless overcome obstacles to access and choice. In these cases, planners function as "agencies for social and economic change" (Krumholz and Forester in Allmendinger 2002, 152).

However, because of the many factors and influences facing planners (such as insecure funding sources, varying citizen opinion, and municipal will), direct advocacy is not always possible. In addition, it may not even be welcomed by a community.

Collaborative and Communicative Planning

Questions have been emerging over the past few decades, asking how planners can work with increasingly diverse communities, help them reach agreement, and facilitate plan-making both *in* and *with* these communities. One theory that has gained increasing popularity approaches planning as a communicative or collaborative process (Allmendinger 2002, 182).

Collaboration is defined by Gray as “a process through which parties who see different aspects of a problem can constructively explore their difference and search for solutions extending beyond their own limited vision of what is possible” (in Gray and Wood 1991, 4). The group synergies involved in this definition suggest that collective solutions become larger than the sum of each individual’s capability; the creative and practical potential of the whole is wider and deeper than the individual plans of each group. In addition to being synergistic, collaboration can be a very practical and strategic activity. Nathan and Mitroff see this as being the result of increased awareness on the part of different actors. This awareness allows for collective understandings and collective response (in Gray and Wood 1991, 6).

Communicative planning is considered to be a dynamic process that looks to the future without defining it and creates space for change without prescribing it. Because of its abstract definition, it may not be considered a concrete way to “plan” (ibid., p. 206). Regardless, communicative planning approaches are based upon participative forms of democracy, which recognize that perfect communication becomes possible only when people are free of domination and repression. Of course, situations can never be completely free of these negative influences, but conditions can be fostered to help create safe spaces for communication and collaboration.

Decision Making: Consensus and Dissensus

Many current planning approaches celebrate the idea of consensus-building. This decision-making approach focuses on building agreement among all parties participating in a process. The idea is to take time at the “front end” of a decision-making process and talk about the different perspectives that the final decision should address.

Healey (1997) writes about older ideas of consensus that, to the critic, focus on general agreement and harmony (dictionary.com). These ideas contrast with current collaborative and power-sharing approaches, which reflect a deep understanding of *dissensus*.

Dissensus approaches acknowledge current and past power relations and allow people to carry differing views while still working towards similar goals (Healey 1997, 263). Dissensus is defined by Merriam-Webster as merely a “difference of opinion” (Merriam-webster.com) but was explained by Aubert (1963) as being an interest-based and not a value-based disagreement.

The advantage of interest-based disagreements is that parties can disagree and still continue to work together because, although their reasons for acting may be different, their underlying values and goals remain uncompromised (Aubert 1963, 29). For example, in the neighbourhood context, citizens, businesses, and governments can agree to work together to achieve a safer or more secure neighbourhood. Although strategies (interests) may be different, the end goal (value) is the same. This interest-based understanding of dissensus acknowledges power imbalances while celebrating communication and interdependence.

It must be said, however, that consensus can still be built even as dissensus is acknowledged; even if everyone won't be in perfect agreement, it is still something to work towards. Consensus can be built in a practical way by facilitators and consultants by assessing levels of support when decisions need to be made. Participants can exercise their independence while building consensus by agreeing wholeheartedly, agreeing, agreeing with reservations, asking for more discussion, passing, or blocking decisions.

Statutory Plans

Different types of plans serve different purposes. The following is an overview of the uses and purpose of different statutory plans. To become statutory, these plans must go through the legal process required to be adopted as a municipal by-law. As a by-law, the plan carries significant weight and authority; however, any amendments to the plan must adhere to an intensive by-law amendment process.

Development Plan

A development plan is a by-law outlining the long-term vision and goals of a municipality or planning district. These include policies, diagrams and maps outlining physical, social, environmental, and economic objectives. This type of plan often looks twenty to twenty-five years into the future, is comprehensive in nature, and is used to guide virtually all development activity within a city, municipality, or planning district. In Manitoba, development plans are generally updated every five years.

Outside of Winnipeg, as of 1 January 2008, each municipality or planning district has been required to adopt a development plan.

As of March 2010, Winnipeg's development plan is *Plan Winnipeg 2020 Vision*. Consultations, focus groups, information gathering, and a *Call to Action* for Winnipeg's new development plan, *Our Winnipeg*, are currently underway (Neighbourhoods Alive! Planning FAQs). *Our Winnipeg* is expected to be adopted by city council in 2010, replacing *Plan Winnipeg*.

Secondary Plan

The goal of a secondary plan is to “provide a framework that will help guide any future development and redevelopment” (City of Winnipeg) in areas identified by a jurisdiction as unique, possessing special character, or being ecologically, economically, geographically, or socially complex (City of Winnipeg). Secondary plans are not mandated in provincial legislation. Instead, the province has created “enabling legislation” around secondary plans, which means a jurisdiction may create them if desired.

Secondary plans are written to deal with specific issues and objectives under a council's authority, and help address specific concerns and complexities of an area. They can be viewed as subsets of comprehensive municipal development plans. Often, the need for a secondary plan in a specific area is referred to in a jurisdiction's development plan, as the latter does not include enough details that would sufficiently guide development in the outlined area. Secondary plans are adopted as by-laws and must be consistent with the development plan by-law. To be updated or adapted, a secondary plan must go through the legislated by-law amendment process.

The City of Winnipeg has adopted a number of secondary plans (i.e., the *North St. Boniface Secondary Plan*) as by-laws. In Winnipeg these plans are called by a number of different names, including neighbourhood plans (i.e., *West Alexander & Centennial Neighbourhood Plan*), area structure plans (i.e., the *Transcona West Area Structure Plan*), and action area plans (i.e., *Kil-Cona Park Action Area Plan*) (City of Winnipeg).

Zoning By-Laws

Zoning by-laws are used to help implement the land-use regulatory component of development plan policies. Zoning by-laws are more specific than both secondary plans and development plans, and regulate the permitted, not permitted, and conditional uses of land while

also providing specific criteria for buildings including parking, fence heights, setbacks, signage, etc.

In general, zoning by-laws must conform to the development plan. If a secondary plan exists, the zoning by-law must also conform to this plan. The Province of Manitoba has required every municipality or planning district in Manitoba to establish (or amend) its zoning by-law within a year of adopting its development plan.

Sustainability Approaches to Planning

The statutory plans listed above have traditionally centered on physical (land use) planning. Today's planning legislation (including the Planning Act, City of Winnipeg Charter, and Provincial Land Use Policies) compels municipalities to include social, economic, and sustainable development objectives in their plans. In 2005, the Government of Canada passed legislation that better enables jurisdictions to do this. As part of the Gas Tax Agreements between federal and provincial governments, provinces are able to transfer gas tax revenues to municipalities (PSCCR 2005, 21). The condition required is that municipalities must have an Integrated Community Sustainability Plan (ICSP).

ICSPs are designed to help make planning and decision making more long-term, more coherent, and more participatory. These plans help cities, communities, and First Nations plan within a framework encompassing economic, environmental, social, and cultural dimensions of community sustainability (PSCCR 2005, 4).

Communities across Canada have begun to incorporate ICSP principles into their planning and are accessing resources and models put forward by organizations such as the Canadian Institute of Planners, the American Planning Association, the Natural Step, and the International Council for Local Environmental Initiatives. Jurisdictions can either write separate ICSPs (in addition to existing development or secondary plans) or, as the City of Winnipeg did with its proposed new plan, *Our Winnipeg*, they can incorporate ICSP principles into the creation or revision of development and secondary plans.

Summary

The above three types of plans are interconnected; all require adoption by city or municipal councils and are treated as by-laws. Each type of plan becomes more specific: a development plan outlines overall policy direction for a municipality; a secondary plan addresses needs in

a particular geographic area; and the zoning by-law provides precise land-use regulations to implement the plan. Increasingly, because of the project funding available from the gas tax, jurisdictions have been incorporating Integrated Community Sustainability Planning (ICSP) principles into their development and secondary plans.

Non-Statutory Plans

Although statutory plans are the only types adopted as by-laws in Manitoba, there are other types of plans that help to inform policy, guide development, and strengthen communities. These include neighbourhood plans, social plans, and different theme-based plans. In Manitoba, these plans are not adopted as by-laws, but they can be adopted by resolution of council. This means that the plan carries the weight of council policy but can be amended more easily than a statutory plan.

Neighbourhood Plans

According to the Province of Manitoba, a neighbourhood plan is a document identifying the strengths and weaknesses of a defined area. In addition to this, it provides practical actions geared towards community improvements. Three physical components of a neighbourhood plan include: 1) provision of a neighbourhood vision; 2) clarification of goals to achieve that vision; and 3) creation of an action plan to reach those goals.

Neighbourhood plans are not only required to receive funding from the Province of Manitoba's Neighbourhoods Alive! program, but they can also serve as "roadmaps" and strategy guides for specific initiatives.

As a neighbourhood plan is formed, stakeholders (including residents, businesses, property owners, and community organizations) put together both short- and long-term goals. These goals should benefit the wider neighbourhood and help government departments and other organizations understand the priorities and challenges of a specific neighbourhood.

The province outlines the following benefits of neighbourhood planning processes:

- Residents, businesses, and community organizations are brought together to share ideas and work together on issues that are important to everyone.
- Communication is improved and ideas are clarified.
- Neighbourhood strengths are identified and resources are evaluated.

- Consensus is built around what needs to be accomplished.
- Creativity is encouraged and partnerships (in and outside of the neighbourhood) are built.
- Citizens become more informed and can help direct the policy and financial decisions of local government (Neighbourhoods Alive! Toolbox).

Social Plans

Social planning is about planning for people. Social planning processes investigate and respond to the social needs and aspirations of multiple stakeholders who live and work in a specific community. These plans seek to improve the social well-being, liveability, cultural diversity, health, and welfare of communities.

Social planning is rooted in principles of social justice. To ensure these principles are met, it is important to protect the interests of vulnerable populations. For example, the Bega Valley Social Plan (Australia) includes a section for seven specific demographic groups (including children, young people, older people, women, Aboriginal peoples, people with a disability, and people from culturally and linguistically diverse backgrounds), but can also include other target groups (Bega Valley 2010, 8).

Because they are sources of both qualitative and quantitative data, social plans are immensely valuable resources for multiple levels of government. These plans:

- help co-ordinate different government agencies involved in funding or service provision;
- help governments and other interested agencies understand unique community needs;
- reduce risk of over-consultation by different agencies; and
- provide a model for how both local and state governments could collaborate more effectively on social planning issues (Bega Valley 2010, 12).

Social plans draw out local knowledge and capacity. Although social plans are created and implemented for large jurisdictions, many aspects of social planning could be applied while creating neighbourhood plans. One particular advantage of social plans is the space they create to hear the voices of vulnerable populations. In addition to building consensus on specific strategies, each of the targeted groups has space within the plan to outline particular needs and policy recommendations. This prevents voices from being overridden or forgotten.

Theme-Based Plans

In some cases, neighbourhood organizations may consider putting together distinct plans targeting specific issues or themes, such as housing, recreation, heritage, safety, environmentally sensitive lands, or neighbourhood greening. These plans can either stand alone or can be included as parts of a larger neighbourhood plan. As stated above, theme-based plans are not adopted as by-laws, but they can be adopted by resolution of council.

Traditional or Community-Based Land Use Planning

The histories and traditional uses of land in Manitoba are often not taken into account when plans are made. Land-use decisions have been made without co-ordinated, large area, land-use plans. Although this affects everyone, the people most affected are those who incorporate traditional practices into their lifestyles, particularly Aboriginal peoples. Some First Nations communities are moving forward with innovative planning processes, incorporating conventional community planning into traditional Aboriginal practices (PSCCR 2005, 11). Although some communities in Manitoba (such as Poplar River First Nation) are engaged with community or traditional land-use planning, many First Nations communities in the province may not have the resources to undertake traditional land-use studies.

Section Summary

This section has provided a background to planning and participation and has summarized a few different types of planning and decision-making processes. These include rational planning, pragmatism, advocacy planning, collaborative and communicative planning, and consensus-building. This section also outlined the purpose and functions of different statutory plans (development plans, secondary plans, and zoning by-laws) as well as non-statutory plans including neighbourhood plans, social plans, other theme-based plans, and the Aboriginal planning context.

NEIGHBOURHOOD PLANNING

Introduction

THE FOLLOWING SECTION provides information on four different aspects of neighbourhood plan-making processes. These aspects include how to begin (“Getting Started”), what needs to be included (“The Plan”), how the plan can be developed and written (“The Process”), and what happens when the plan is finished (“Implementation”).

Many resources for neighbourhood planning outline the process used to produce a plan from the “ground up.” In many cases, this involves steps that include:

- gathering information about the neighbourhood;
- establishing a planning team of relevant stakeholders;
- developing a vision and mission;
- gathering broader community input;
- developing an action plan;
- implementing the plan; and
- evaluating the plan (ANC, 1).

Resources outlining how to build these plans (many are listed in the “Sources” section of this document) are beneficial tools for neighbourhood planners. Planning processes, however, cannot be fully captured through step-by-step directions. One planner spoke about a dynamic process of feedback and support, designed by a “process team,” implemented and arranged by a steering committee, and informed by community members and other people with specific knowledge.

When reading this chapter, it is important to keep this in mind, remembering that planning rarely happens smoothly, linearly, and harmoniously (ANC 2010, 7). Underlined by the idea that planning is dynamic and cyclical, the following section discusses some ways to get started on this process.

Getting Started

Funding the Plan

In Neighbourhoods Alive! (NA!) designated areas, NA! will fund community plan development. In City of Winnipeg Housing Improvement Zones, the Housing Reinvestment Reserve fund provides money for neighbourhoods to develop housing plans. In addition, funding may be available from other government departments to support theme-based plans such as greening or safety plans.

Working with Others: Roles and Responsibilities

The section titled “The Process” and Figure 1 (p. 30) outline different roles and responsibilities in the planning process. Generally, it is important to have one **project manager** who knows about the entire process and can keep the project on schedule. The project manager oversees the data collection and consultation processes and supports a **steering committee**. This committee collects data and community input and is responsible for making sure the plan is written. It is also responsible for strategic design and analysis (of community consultations and other data) and collecting and providing feedback on the plan. If resources are available, the project manager can be supported by an **advisory** or **process team** consisting of knowledgeable community or government representatives.

Gathering Information

Information included in the plan can come from a number of sources. Quantitative neighbourhood data (such as demographic, economic, or labour market information) can be collected from Statistics Canada, or from a municipal staff person or website such as CrimeStat at www.winnipeg.ca. This information, or information about specific demographic groups such as youth or young adults, may also be available from other organizations in the neighbourhood or jurisdiction. In addition, an organization such as the Institute of Urban Studies (IUS) in Winnipeg may be able to help find, analyze, and in some cases, map community information all over Manitoba for a fee. The IUS also has a library housing community planning resources.

The Community Information Database, or CID, is a new data source for communities. The CID is a free online resource developed to provide communities, researchers, and governments with access to consistent and reliable socio-economic and demographic data and

information for all communities across Canada. For more information, see <http://www.cid-bdc.ca>.

Other provinces have set up their own information sources. These include Community Counts in Nova Scotia (<http://www.gov.ns.ca/finance/communitycounts/>), Community Accounts in Newfoundland and Labrador (www.communityaccounts.ca), and the Whistler 2020 project in British Columbia (<http://www.whistler2020.ca>). In Manitoba, Winnipeg residents will soon have access to information collected by the Peg Community Indicators Project, which will be launched in autumn of 2010.

Physical inventories of a neighbourhood (such as a housing inventory or greenspace list) can be conducted by community members as a community engagement tool. Other tools designed to help gather information about a neighbourhood include asset mapping, photographs taken by community residents, mapping walks, and SWOT analyses (lists of Strengths, Weaknesses, Opportunities, and Threats). These types of things may have already been done in the past, so it may only be necessary to update, and not redo, the analysis.

Involving Stakeholders

All neighbourhood planners emphasize the importance of stakeholder involvement in planning processes. A “stakeholder” can be defined as one who has a vested interest in an activity or enterprise. According to Straus (2002), there are four types of stakeholders. These include:

- those with formal power to make a decision;
- those with the power to block a decision;
- those affected by a decision; and
- those with relevant information and expertise (Straus 2002, 40).

Neighbourhood planners spoke about the following stakeholders, each of whom would affect and/or would be affected by neighbourhood planning:

- representatives from community groups or community coalitions;
- representatives from vulnerable populations (youth, older adults, children, Aboriginal peoples, newcomers, women, persons with disabilities);
- representatives from neighbourhood institutions (schools, hospitals, religious institutions, etc.);
- representatives from different community committees (residents’ associations, housing committee, gardeners, etc.);

- business representatives;
- representation from all geographic areas of the neighbourhood; and
- representation from both formal and informal groups.

The Plan

Components of a Good Plan

Following is an outline of what a plan's table of contents might look like. Although plan layout can be unique, there are some components that should be included in each one.

Community profile (statistical data) — A community profile can include background information such as demographic statistics (family composition, income, length of residency, education, employment, etc.), housing information, neighbourhood history, and crime statistics. Other information, such as significant places, parks, services, and vacant lots, gives a good context for a neighbourhood plan. Plans can also incorporate land-use maps, previous survey results, and lists of community assets. The community profile is important because the information included will help justify the different initiatives recommended in the neighbourhood plan.

Community vision — A neighbourhood plan's vision statement describes the desired future of an area five, ten, or twenty years down the road. It is based on information obtained from both neighbourhood assessments and community consultations (Neighbourhoods Alive! Toolbox 2010).

A vision statement is unique; it can be a single statement or a series of statements, each of which describes what people want the community to become.

Some of the topics that could be covered in a vision statement might be:

- the desired physical condition of the neighbourhood;
- the nature and quality of future facilities (e.g., community services, parks, etc.); and
- the desired social and economic outlook for the neighbourhood (Neighbourhoods Alive! Toolbox 2010).

The vision statement provides a framework for the entire plan. Therefore, it is important to take time to ensure it is meaningful and comprehensive. Once it is finished, remember to “feed it back” to neighbourhood residents through community newspapers, public meetings,

meetings with community groups, and other discussions. This will help refine the document and let community members know how their input was used in the plan.

Information on community engagement and planning processes — It is helpful for funders, decision makers, community workers, and community members to know who was involved in the creation of the neighbourhood plan, and *how* they were involved. Processes are important and should not be overlooked. This part of the plan will include:

- what consultation techniques were used (i.e., survey, public forum, charrette, presentations at board meetings, etc.);
- how many people were reached through these different techniques; and
- a description of the entire process design (i.e., the advisory team, steering committee, feedback loops, etc.).

This information will be useful when the next plan needs to be written, as participants will be able to build on work that has already been accomplished.

Action plan — The Province of Manitoba’s Guide for Developing Neighbourhood Plans outlines the different parts of an action plan — goals, objectives, and steps to be taken to achieve the outlined goals (strategies). These three can get mixed up, so when making the action plan, it is important to keep these definitions clear.

- A **goal** is something that a person or group wants to achieve. It is a desired “end” that is closely linked to your vision statement and is something that you want (and expect) to accomplish in the future. Goals are often broad, because they are the end result of different strategies and objectives. An example of a goal or desired end (taken from the Province of Manitoba’s Neighbourhood Planning Guide) would be to upgrade the condition of housing stock in the neighbourhood.
- **Objectives** are specific results or “milestones” that will help you know whether you are reaching your goal. These must be measurable and attainable. In general, one overarching goal can have many different objectives, or many different ways of measuring how that goal can be achieved. Two distinct objectives relating to the previous example could be to a) replace existing boarded and abandoned homes on targeted streets through rehabilitation or new construction by 2003, and b) increase homeowner investment in property upgrades by 20 percent every year.
- **Strategies** (or steps to be taken) describe how you will accomplish the objectives and continue to work towards the goal. Each objective listed has multiple steps that must be taken to achieve it. Strategies related to objective a) above might include establishing a Housing Steering Committee, meeting with housing staff to discuss issues and actions related to building abandonment, meeting with local developers and assessing abandoned homes, and purchasing and renovating homes. These strategies and

steps must help achieve the objective and they must be consistent with the overarching goal, or end result.

Indicators and measurements — In addition to goals, objectives, and strategies, it is also important to ask the question “how will we know when this is achieved?” This question is important so funders know their investments are resulting in a desired impact, but it is also important for community members to look back in future years and see how their neighbourhood has changed. Indicators and measurements are also important for organizations. An organization’s development requires thoughtful analysis of the community context, which results in targeted, strategic actions. Tracking indicators will clarify whether initiatives are creating the changes they want to see.

Results from community consultations — These can be included as appendices or as separate documents, but it is important to have these available when the final plan is returned to community members for feedback and approval. This also demonstrates to community residents that their participation was recorded, was valued, and influenced the plan.

Characteristics of a Good Plan

Planners experienced with neighbourhood plans and planning outlined the following characteristics of a good plan. Although these do not comprise physical parts of a plan, it is good to keep these characteristics in mind when creating a neighbourhood plan.

Creativity and applicability to neighbourhood contexts — The plan should not only include an action plan and project ideas; it should reflect the hopes and aspirations of its stakeholders. A neighbourhood plan can be both an informative and inspirational document.

Accuracy — The plan should properly reflect different assets and challenges in the community. This information can be gathered through a SWOT (Strengths, Weaknesses, Opportunities, and Threats) analysis, an engagement technique that can involve diverse stakeholders and gather information in a focused and non-threatening way.

Ease of implementation — The plan is not merely a vision document; it should clearly outline the roles and responsibilities of different community groups or individuals. It should also include lists of resources available or resources needed, as well as timeframes outlining how long a project should take and the steps needed to get there.

Measurability — It may be relatively simple to measure whether a project is completed, how many participants were involved, etc. However, it is more difficult to measure how (or whether) these actions or projects achieve the desired outcomes and how well the initiative connects to the vision statement. A good plan considers and includes indicators for each of these measurements.

Cross-sectoral considerations — Strong plans engage and reflect ideals of all stakeholders, bringing together social, environmental, and economic goals. However, it may not be easy to engage all sectors, and it may be even more difficult to incorporate and integrate their various perspectives. One planner mentioned some of the challenges involved with gathering input from community businesses. Even though it is tough, their involvement has been a valuable part of their plan-making processes.

Updating Existing Plans

In some cases, a neighbourhood plan already exists and community members have already been actively engaged with its creation. Figure 1 (page 30) can be a model for the plan updating process, as it outlines dynamic processes of feedback and support led by a process team, steering committee, and community members.

One community planner spoke about the process of updating plans and stressed the importance of pulling all original stakeholders (or organizations) together, looking at the existing information, and asking each other “what has changed?” Pulling stakeholders together again will help remind people of the previous planning process. It is also important because although participating organizations may be similar, many participants may need to be introduced (or re-introduced) to the plan updating process.

As existing plans are examined, participants will realize that some goals have been achieved, some progress has been made, and perhaps focus has shifted to different issues. One caution is that community members may be weary of consultations and sessions demanding their time and input. Planners must be sensitive to this and be careful to not over-consult with community members. The key is to regularly update stakeholders and remind them about how things are changing in the neighbourhood. They are more likely to continue to participate if they see how their input can lead to change.

Techniques and tips from other planners include the following:

1. When updating a plan, you need not start from “square one.” Often, broad goals do

not have to be rewritten, allowing the steering committee to focus on specific actions and action plans. In addition, many neighbourhood residents may have already been through consultation processes and have therefore built much of the skills and knowledge necessary for providing input into the updated plans. This community expertise and experience will add depth to the plan.

2. Interagency meetings and email listserves are a great way of getting feedback throughout the updating process. Simple surveys and casual conversations can also assess people's levels of support for specific items included in the plan.
3. Consultations can help validate existing plans in an interactive and collective way. Community members can assess priorities in multiple ways. One technique used by a community planner is to display a list of initiatives (some or all of which may stem from the existing plan) and ask people to first rate the IMPACT each initiative will have. Participants then go through the list again and rate what they perceive as the ACHIEVABILITY of each initiative. Results can be graphed and a course of action can be created.
4. Another interactive way to gather input on existing community priorities is to list initiatives and provide participants with a certain amount of "money" (can be tokens, representative bills, etc.) that they can "invest" in different initiatives. This is an engaging exercise that may connect particularly well with children and youth and reveal their priorities.

Theme-Based Plans

A Neighbourhood Renewal Corporation may have already completed one or more theme-based plans, such as a safety plan, greening plan, or housing plan. If so, these plans can be included within the neighbourhood plan, either as appendices or as entire sections. Information gathered while these plans were being created can assist the plan updating process.

The Process

Characteristics of a Good Process

Action for Neighbourhood Change (ANC) has created a Neighbourhood Planning Guide, part of a series of tools developed by the Tamarack Institute to help community groups engaged with planning processes. It outlines four principles of community planning, which are all characteristics of a good neighbourhood planning process. These include:

1. **Multisectoral collaboration** — It takes a great deal of insight and energy to solve a complex local problem such as poverty, crime, or environmental decline. Multi-

sectoral collaboration strengthens a community's capacity to address important issues by weaving together the skills, resources, networks, and knowledge of leaders from community, government, business, academia, foundations, and media. Multisectoral collaboration recognizes that everyone is part of the problem and that everyone can be part of the solution. It recognizes that no one sector can tackle the issues alone. Together we can do more.

2. **Comprehensive thinking and action** — Complex local and social issues do not lend themselves to quick-fix solutions. To make a strategic impact on the issues our communities face, we have to think and act in broader, more comprehensive ways. Collaboration across sectors (nonprofit, business, and government) is important.
3. **Community learning and change** — No one has all the answers; only a commitment to learn, change, and grow will help reach collective goals. The key to learning is active engagement with information through a mediating process that entails exploration, discussion, and implementation. In this process, there is a significant difference between information and knowledge. Knowledge is created once information has been applied or used. The learning process must take into account the needs, concerns, and interests of the learners or potential users of information for it to be applied effectively. Learning takes place through many two-way interactions in which the users of the information are engaged meaningfully with the information.
4. **Community asset building** — The asset-based approach is simply seeing the glass half full rather than half empty. It is based on the belief that all communities have skills, networks, resources, and energy that can be mobilized to tackle local problems and improve the community's quality of life. The approach focuses on developing those assets rather than focusing on a community's deficits (ANC 2010, 11).

Other important characteristics of a good process that can be added to this list include:

5. **Social inclusion** — Social inclusion is about helping to ensure that everyone feels able to contribute and be involved in his or her local community, particularly people who are not always involved in community activities, such as young people. The following checklist was adapted from the Community Planning Toolkit put together by the Community Council of Devon in the United Kingdom. Its questions help one think broadly about who is/is not, and who can/cannot easily be part of planning processes.
 1. Does your project steering committee reflect all opinions and all groups within your community?
 2. Are your meetings held at a time and place that are accessible to all the community?
 3. Have you considered taking your consultation/meeting to groups that cannot attend?
 4. Have you included the opinions of all your "neighbours" (i.e., those from nearby neighbourhoods and separate communities of interest)?
 5. How have you included the opinions of young people and children?

6. Have you considered differing methods of collecting information so that every level of interaction is addressed (post-its, discussion groups, drawings, etc.)?
 7. Do you advertise a name and number that people can contact to offer their assistance/services throughout the process (it is good to have a list of specific tasks that people can offer to do if they have the skills)?
 8. Have you advertised meetings in a clear and accessible way?
 9. Do you have methods of obtaining confidential information from your community?
 10. Does/will the design of your plan incorporate an appropriate font size, accessible layout, etc.?
 11. Do you have trained volunteers or staff available to talk through various aspects of the plan with those who require assistance?
 12. Have you taken advice from or partnered with other organisations in your area? (CCD 2002, Appendix A)
6. **Stakeholder involvement** — Stakeholder involvement was discussed in the section titled “Getting Started” (p. 18), but consulting those who will be affected by planning decisions (and those who can affect these decisions) is vital to a healthy neighbourhood planning process. Stakeholders represent numerous sectors and help to provide wider perspectives on decisions important to the community. Throughout the process, it can be helpful to keep a growing list of the organizations, demographic groups, institutions, and businesses represented in the consultations. If a person or a group feels left out of the process, consider adding members to the steering committee to ensure appropriate representation.
 7. **Effective engagement** — Another characteristic of a good process involves community engagement. Countless approaches and techniques can be used to gather community input. Some of these resources are outlined in the section titled “Engaging Communities” (p. 32) of this guide. Other resources can be found in the “Sources” section (p. 51).

The Urban Design Compendium is a physical guide and website offered through the Homes and Communities Agency in the United Kingdom. This guide outlines principles of urban design and provides case studies on practical applications of these principles. One of the offerings of this compendium is a list of community engagement principles. These are as follows:

- **Be realistic.** Community engagement requires significant time, staffing, and financial resources. Developing a plan outlining tasks, skills needed, and persons responsible can help keep people on track.
- **Use appropriate tools.** Although different approaches can be helpful, remember

there are no standard models for any circumstances. For example, developing a neighbourhood safety plan requires significantly different approaches than redevelopment of a specific site within a neighbourhood. Similarly, different approaches and resources may be required depending on the audience one is engaging.

- **Provide effective facilitation.** Independent facilitators with the right skills and expertise can help reduce conflict and help oversee the entire engagement process. Effective facilitators can help community members and other stakeholders understand and manage expectations and conversations, particularly where the views of particular individuals or interest groups might otherwise dominate events.
- **Provide skills and training.** To fully engage in the process, communities and stakeholders may need to learn specific skills. These could include note-taking, small group facilitation, or being a “tour guide” for neighbourhood exploratory/mapping walks. Other times, there may be opportunities for community members to take on longer-term roles, such as web upkeep/blogging or different management skills. If community members take on these roles, it may build a stronger sense of plan ownership.
- **Keep it going.** Effective feedback must ALWAYS be provided, to show how ideas have developed and how they were included in plans that were made. Feedback, as well as community involvement, must be formalized as necessary parts of plan-making processes.

What to Expect (Stages of a Process)

The previous principles describe different factors contributing to a meaningful planning process. However, even with good plans and well-designed processes, community planners should expect to have significant bumps and hiccups along the way. In fact, bumps and hiccups are so normal that they have become part of the developmental stages of teambuilding, organizational building, and process building. These stages (taken from changingminds.org) have been referred to as:

- **Form** — When people first come together, an initial exploration stage occurs. There may be excitement and cautious energy amongst the members, but participants are generally polite with each other and are interested in being part of the team. During this stage, it may be helpful to make sure quieter or more withdrawn participants are engaged. This is also the time to clarify project goals.
- **Storm** — As soon as people become more comfortable with each other, they may start to say things they had previously “held back.” In addition, problems may arise that the group had not anticipated. This creates tension, and this tension can be magnified if:
 - there is more than one strong personality;

- participant roles are unclear;
- group objectives are unclear; and/or
- external threats exist, such as perceived competition for resources.

It may be difficult, but this stage must address differences and establish ground rules for dealing with the “storm” (such as collaboration or consensus-building). Clarifying group objectives and individuals’ roles may also help.

- **Norm(alize)** — As “storms” are brought forward and addressed, teams and organizations tend to “settle in” and pay attention to the tasks at hand. A framework for effective communication is built and people begin to feel more like a team. The group develops socially and people start to reach agreement. Although things are starting to get accomplished at this stage, it is still important to maintain a balance between work and teambuilding.
- **Perform** — This is the optimal level of a team, organization, or process development. Team members have been able to reach working agreements that manage and control individual and sectoral differences. Although it is important to continue relationship-building, at this stage the focus can shift to getting work done because group capacity has been built.

Throughout these initial activities, the role of the project manager is to guide the group through each of the stages, facilitating this social process and helping the group through the challenges that will inevitably emerge.

Process Example

An example of a planning process is outlined in Figure 1 (overleaf). In this visual, a **project manager** is designated to oversee and manage the entire planning process. This is often the executive director or a person specifically hired for this position. The project manager supports those who are gathering neighbourhood information as well as those who are planning and collecting public input. In addition, the project manager supports and facilitates the work of the steering committee.

If necessary, a **process team** is formed. This consists of representatives from governing bodies and perhaps a board member or other key community players. This team directly supports and advises the work of the project manager.

The **steering committee** is a committee formed by key stakeholders and/or community spokespeople. In some cases, the NRC board may function in this role, with perhaps a few additions to ensure representation.

As the diagram in Figure 1 indicates, the steering committee is informed by different types of **public input** (i.e., forums, interviews, surveys, focus groups). Also guiding the work of the steering committee is **formal research** about the neighbourhood, which includes demographic information, maps, and other relevant statistics.

As information is collected, members of the steering committee write the plan. They can also hire someone to write it, remembering to continually feed back information about what they are hearing to community members. This helps build consensus about the plan's direction, builds credibility in the neighbourhood, and ensures community members have had a chance to participate throughout the process.

The final stage of the plan-writing process involves adoption. This can be done at the board level, but the community plan can also be taken to a town or city council, where it is adopted by resolution of council. Plans can also be given to partnering organizations and institutions, which can ask its board of directors to support the plan in principle.

Implementation

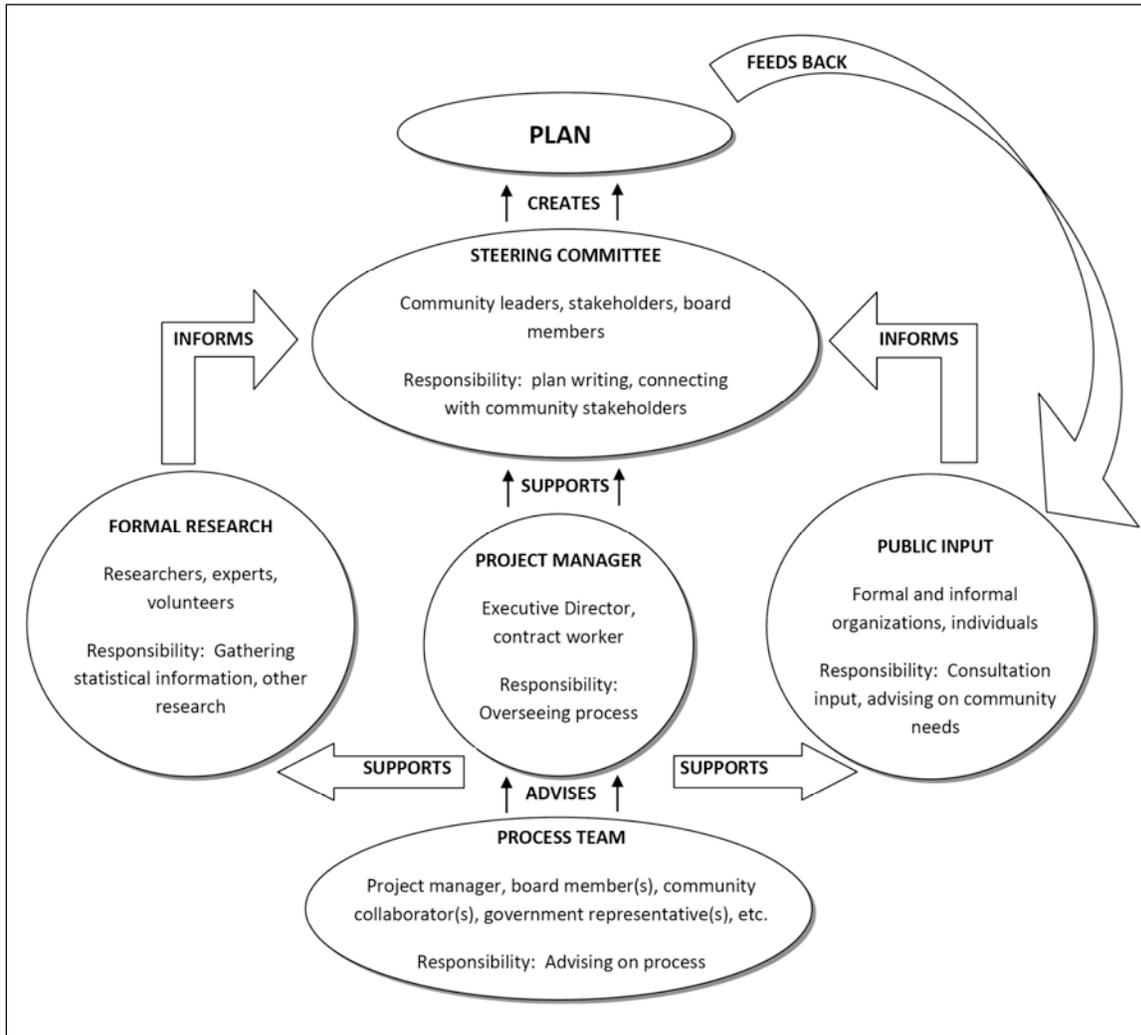
Putting the Plan into Practice

Once the plan is written and approved by community members, it can be used to its full potential. This involves further developing projects, preparing budgets, and beginning to implement the ideas included in the plan. The following implementation steps have been adapted from the ANC Planning Resource (p. 46).

Solidify partnerships. The neighbourhood plan will outline different potential projects, as well as partners who can initiate a project with an NRC's support, or help the NRC implement a project. Although it may take time to build trust, these relationships are invaluable.

Determine project priority list. There are some projects that can be started and addressed right away, while others require a lot of background research and buy-in from other people, organizations, and levels of government. Paying attention to "low hanging fruit" shows community members that they have been heard and that results are possible. Prioritization can happen through consultation with the steering committee, with a newly organized committee of project partners, or with an NRC's board or staff. Prioritization on projects can also happen at larger community meetings or forums.

Figure 1. Organizational and Process Diagram



Source: Gerry Couture (advisor/academic partner, and president of Urban Edge Consulting), in discussion with Karin J. Kliewer, April 2010.

Ultimately, some projects may need to be prioritized over others because of limited resources and potential funding opportunities. Because of this, it is important to communicate to your constituency why some things are started before others.

Develop project plans. At this point, project ideas outlined in the neighbourhood plan can be expanded to include step-by-step project details, an outline of who will do the work, what their responsibilities will be, and the expected date of completion.

Prepare budgets. It is important to know the costs involved with the implementation

of each project. This can help with project prioritization and with an NRC's annual budget. These plans should also include a list of potential funding sources.

Make staffing plans. Staffing plans can be created for both staff who will be implementing the project as well as for those in partner organizations who will be involved. These plans can also include the types of technical assistance that will be needed throughout the project, who could provide this assistance, and where funding will come from.

Solidify feedback loops with community. As the project progresses, community members and other stakeholders will need to stay informed. This plan can outline different methods of communication that will be used and how often they will be used. It can also describe how communication will flow between the NRC and project partners.

Remember to revisit plan vision and mission. Throughout the implementation stage, it may be helpful to remind each other of the NRC's vision and mission. This will help keep projects directly linked to the overall neighbourhood plan. One planner suggested appointing a "vision keeper" at meetings, whose role would be to remind participants of the plan's overarching vision and mission and ensure that project planning stays in line with it.

Evaluation

Evaluating plan and project outcomes is an important task, as it will help determine how well planning has worked, and how (or if) projects should continue. Evaluation not only benefits an organization, but it can also provide valuable information to community stakeholders, project partners, and government representatives and officials. Effective evaluation processes require significant training and specific skill sets; there are many well-developed resources on this topic.

Section Summary

The previous section has touched on four different parts of plan-making; getting started, what goes into a neighbourhood plan, the process involved with creating the plan, and plan implementation. The following section focuses more specifically on community engagement and different challenges involved with engagement processes. Engagement is vital to neighbourhood planning as these processes must gather both input and support from residents.

ENGAGING COMMUNITIES

Introduction

THIS SECTION combines theoretical and practical writings with the engagement experiences of planners in Winnipeg. In this resource, the term “planner” encompasses citizens, community workers, and consultants engaged in neighbourhood planning. Although the planners interviewed for this resource came from a range of experiences and backgrounds, they have one thing in common; all are engaging communities to make neighbourhoods more positive places for everyone.

Through engagement processes, neighbourhood plans are formed, reformed, prioritized, and carried out. Because they are required by Neighbourhoods Alive! to receive start up or continued core funding, these plans ensure that NRCs are working in partnership with constituents to renew their community in a co-ordinated way.

Levels of Citizen Participation

According to Arnstein (2007), citizen participation is another term for citizen power. Effective participation enables vulnerable populations who have traditionally been excluded from political and economic processes to be deliberately included in plan-making (235).

People can be engaged in different ways, ranging from large-scale information sessions to citizen focus groups or working groups, to community-designed and community-led movements and initiatives. All levels of engagement have their own benefits and challenges. More participants may be able to find the time to participate when involved with the first few levels of community engagement. As community participation increases, so do citizens’ capacities and levels of empowerment.

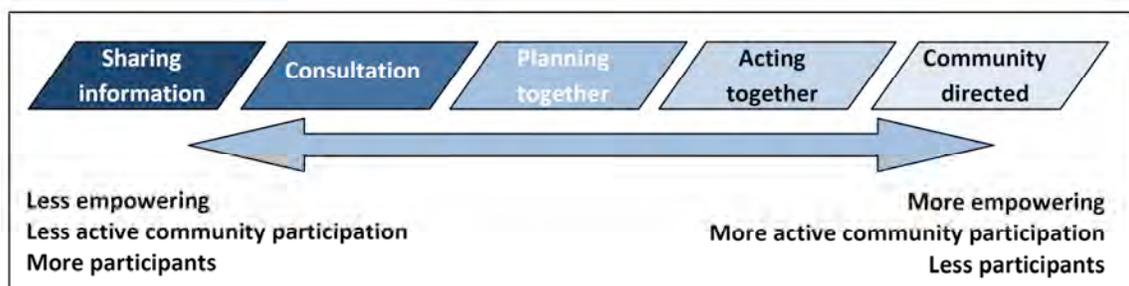
One way to consider the different levels of community engagement is to look at these

levels as a “continuum” of participation. The Province of Manitoba has created a continuum (Figure 2, below), where engagement increases as one moves from “sharing information,” to “consultation,” to “planning together,” then “acting together,” and finally to “community directed” engagement. In this continuum, the number of participants often decreases as levels of engagement increase.

This may be because increased community engagement requires more time from participants, who may already be stretched in their personal and volunteer commitments. People may have the time and interest to attend a community consultation or a working group, but it can be assumed that fewer people will be interested in participating in a process requiring much time and energy. Increased community engagement also requires more time, funding, training, and resources from the organizers, which may not always be available.

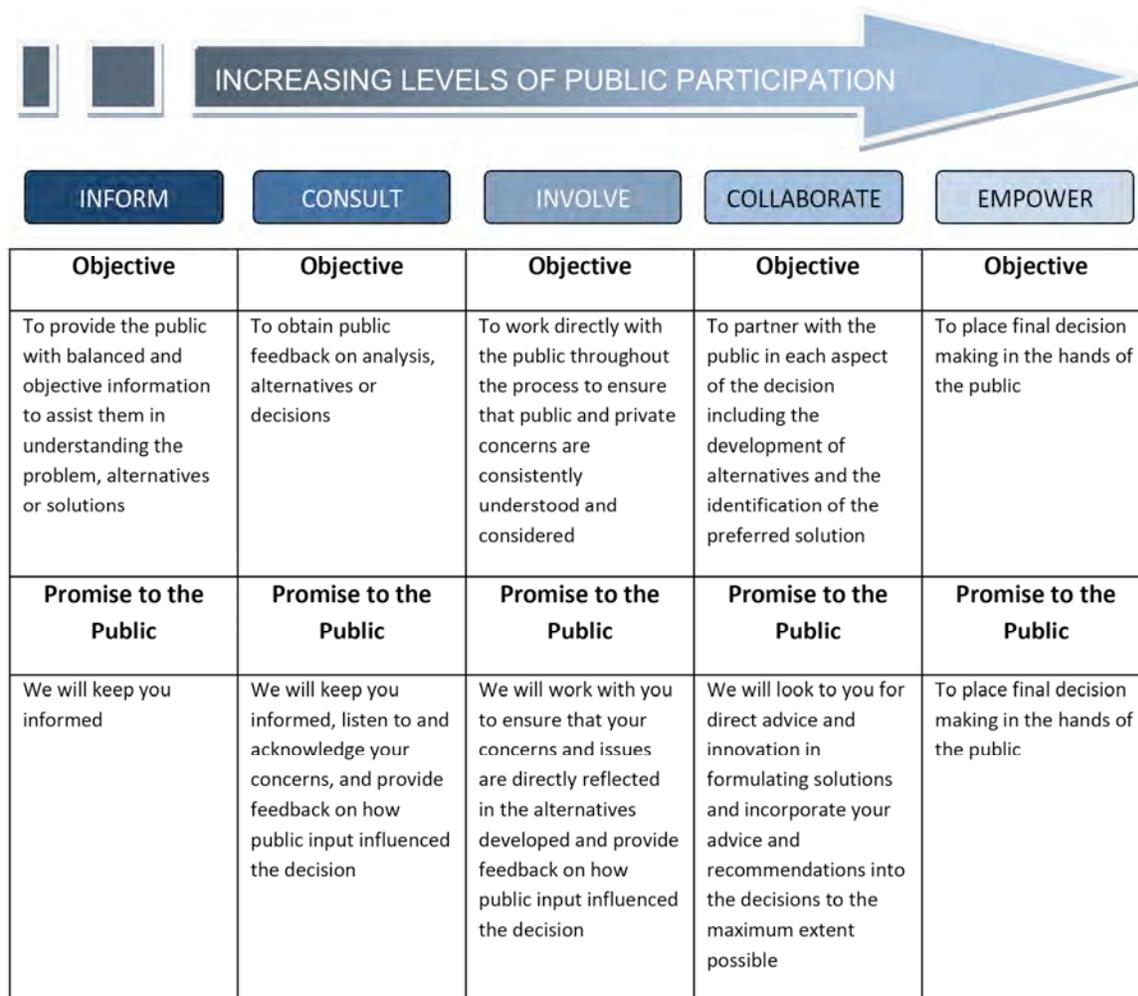
The New South Wales Planning Department in Sydney, Australia, has designed a similar but more detailed continuum (Figure 3, overleaf). This continuum suggests each level of public participation has a specific purpose and sends a specific message, or promise, to community residents. For example, there is value to informational sessions, community-led collaborations, and everything in between; all initiatives serve a distinct and significant purpose.

Figure 2. Province of Manitoba Continuum of Community Engagement



Source: Province of Manitoba. 2010. The Model of Community Engagement. http://www.gov.mb.ca/fs/ce/pubs/community_framework_en.pdf. (p. 7).

Figure 3. Increasing Levels of Public Participation



Source: International Association for Public Participation. 2010. Increasing levels of public participation. Found at <http://tamarackcommunity.ca/g3s134.html>

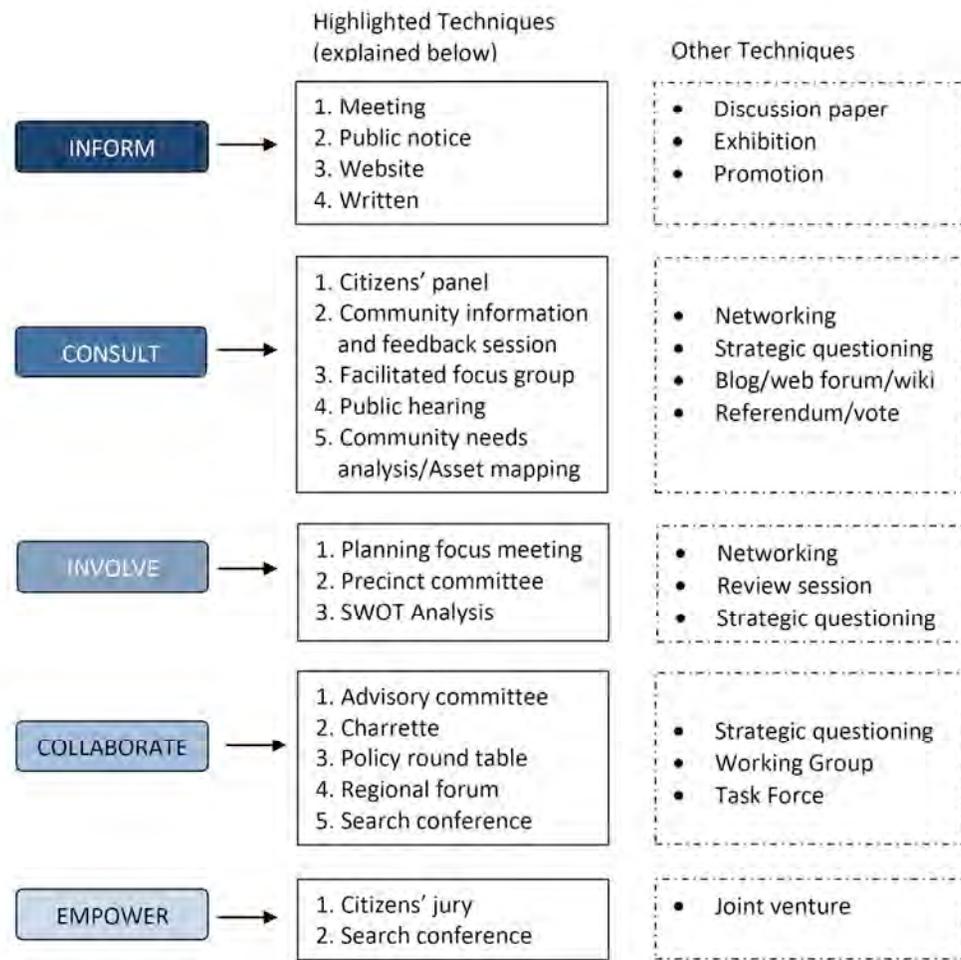
Engagement Techniques

Just as there are different forms of community involvement, there are different techniques one can use to connect with communities. These techniques connect with specific “levels” of involvement.

Technique Explanations

The following are short explanations of some of the phrases in Figure 4. Both the chart and the definitions were found at <http://tamarackcommunity.ca/g3s136.html>. In some cases, extra resources have been included.

Figure 4. Engagement Techniques



Source: adapted from Source: International Association for Public Participation. 2010. Increasing levels of public participation. Found at <http://tamarackcommunity.ca/g3s136.html>

Advisory committee — This committee represents multiple sectors that share expertise on an ongoing basis to help monitor issues or give advice. For example, the City of Winnipeg has an Active Transportation Advisory Committee that provides feedback on active transportation issues.

Asset mapping — Asset mapping is a capacity-based tool highlighting existing skills, partnerships, properties, resources, institutions, and opportunities in distressed neighbourhoods. More information can be found at <http://www.abcdinstitute.org/>.

Charrette — A charrette is a professionally facilitated design workshop, lasting two or

more days. Community members work together to suggest physical solutions to a complex issue, which is usually connected with a specific geographical site. More information can be found at <http://www.charretteinstitute.org/>.

Citizens' jury — This is a randomly recruited and demographically representative panel of twelve to eighteen people. The jury meets for a certain number of days to examine a significant public issue. Jurors are presented with information from expert “witnesses.” They then deliberate and come to a conclusion, delivering recommendations through a public forum. This could be done in conjunction with educational facilities or other community groups.

Citizens' panel — A citizens' panel is a large group of 500–2,000 citizens surveyed about community issues on a regular basis. This panel can be reached through questionnaires, meetings, or conferences. More information can be found at <http://www.peopleandparticipation.net/display/Methods/Citizens%27+Panels>.

Community needs analysis — This tool is used to determine and measure a community's needs. More information can be found at http://www.rotary.org/RIdocuments/en_pdf/mg_cna_faq.pdf.

Planning focus meeting — This tool involves multiple stakeholders and is used to share information between developers and governments. This type of meeting allows people to voice concerns and also allows for these concerns to be addressed. Community stakeholders could be involved with this process as well.

Precinct/residents' committee — A precinct or residents' committee is a group of citizens who gather together to discuss important issues and present concerns to city council. These have been established as a way to include residents' opinions in decision-making processes.

Regional forum — The regional forum is a formal meeting of people from different sectors within a geographical area who come together to discuss community issues and create solutions. This forum meets regularly to evaluate performance of strategies.

Search conference (also known as “**future search**”) — This is a participatory planning process used to determine a vision or direction for an organization. More information can be found at <http://www.futuresearch.net/method/whatis/index.cfm>.

Strategic questioning — Strategic questioning is a mutually transformative tool that

helps people discover their own strategies and ideas for change; this involves a special type of questioning and a special type of listening. This type of process helps people create their own solutions to different problems (Peavey 2010). More information can be found at http://www.thechangeagency.org/01_cms/details.asp?ID=60.

Note: A more complete list of web and print resources outlining specific techniques and approaches can be found in the “Sources” section of this document.

Conflict in the Community

Both citizen and professional planners typically work in situations of uncertainty, where power imbalance is common, and where there are multiple, ambiguous, and conflicting political goals (Forester 2007, 388). How much planners can do in the face of such conflicts depends not only upon their formal responsibilities but also upon informal initiatives (LeGates and Stout 1996, 389).

One neighbourhood planner mentioned that conflict is related to building trust. It is important to know what people might be upset about and to ensure that planners can respond to people with correct information.

Principles for Collaboration

Collaborating with stakeholders with diverse interests can be difficult. David Straus, a social innovator who has been working and researching collaborative techniques since the 1970s, developed the following principles for collaboration:

Involve the relevant stakeholders. Take the time to determine who the stakeholders are and how to involve them. The power of collaboration comes from inclusion (Straus 2002, 7).

Build consensus phase by phase. Agreement does not just happen; it has to be built slowly. Working face-to-face is a difficult but rewarding process. However, consensus building processes do need a fallback decision-making process, which can allow decisions to be made if consensus cannot be reached (Straus 2002, 8).

Design a process map. When there is too much uncertainty, people may become anxious. To address this uncertainty while still maintaining a flexible process, one can create a process map, which is a visual representation of the entire process (ibid.).

Designate a process facilitator. It is important to separate process leadership from leadership that gathers content. This principle suggests that one person (other than the process leader) be designated as the process facilitator. The facilitator will be able to remain more neutral throughout the process (ibid.).

Harness the power of group memory. Use different creative and visible methods (flip-charts, sticky notes, etc.) to record data during meetings and conversations. This way people will feel heard and will be able to move forward in their conversations (Straus 2002, 9).

Negotiation Practice

Fisher and Ury's classic book on negotiation practice, *Getting to Yes* (1981), gives helpful tips for negotiators that can be applied to larger community contexts. Their method of *principled negotiation* can be summed up in four points.

1. **Separate the people from the problem.** People often have radically different perceptions of the same situation and sometimes have difficulty communicating their fears and ideas. This can lead to polarization and negative feelings towards each other. This principle suggests that instead of seeing the other party as a "problem," participants can slowly learn to see themselves as working side by side, attacking the problem and not each others' points of view (11).
2. **Focus on interests, not positions.** In negotiations, or in conflicts in general, people may adopt specific positions that, even if honoured, may not necessarily address their underlying interests. In addition, interests are actually shared between parties with polarized positions. If participants' interests remain in focus, it may become easier to negotiate from this shared common ground (12). This concept is discussed in more detail in the following section.
3. **Generate a variety of possibilities before deciding what to do.** Creativity may be compromised if people remain positional or are concerned about finding the "one" right solution. If time is set aside for creative brainstorming based on the first two points above, ways to address specific interests may be found (12).
4. **Insist the result be based on specific criteria.** Sometimes a negotiating person may take a tough and fixed stance on a specific issue. In these cases, it may be helpful to insist that the agreement must be based on some fair standard outside of personal opinions. This "standard" could be custom, law, an expert's opinion, or the majority decision of a larger group (12).

Positions and Interests

One helpful way to look at conflict is to consider the positions people take on specific issues and try to discover their underlying interests. Someone's *position* can be defined as "a specific

outcome or action perceived as meeting immediate needs,” whereas their *interests* are the underlying motivations — needs, fears and concerns, social and cultural beliefs and values — that parties hope to advance (Chatty, Baas, and Fleig 2003).

Most often, people share the same needs and interests, such as safety and security, access to resources, and an increased quality of life. Their positions reflect diverse or divergent approaches on how to meet these needs, and this is often where conflicts occur.

The diagram in Figure 5 (overleaf) works when one is speaking or negotiating with someone face-to-face. When working with multiple stakeholders, however (as in all community planning scenarios), the situation may be more complex. The visual in Figure 6 (overleaf) represents some of the complexities encountered when more than two parties are involved. The overarching goal is still to sort through the many positions and interests and acknowledge the group’s shared interests.

Planner Strategies

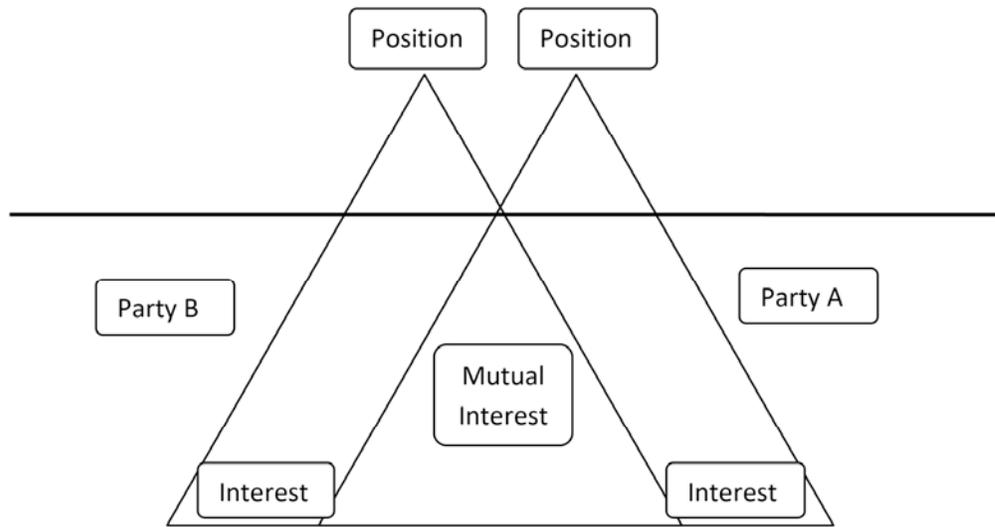
The following tips have been adapted from Forester’s “Six ways to mediate local land-use conflicts” from *Planning in the Face of Conflict*.

Provide facts and remind people of the rules. Be able to provide the most information possible for participants so they can make an informed decision. Technical knowledge is important, but knowledge about the planning processes, as well as the opinions of the many different stakeholders, also helps.

Pre-mediate and pre-negotiate. This involves projecting peoples’ concerns and keeping them in mind during pre-planning stages, which can help diffuse conflict before it arises. These “projections,” however, should come directly from conversations with community members. Because community members cannot always be present at one meeting, it is necessary to keep their opinions and desires in mind so their desires are carried forward to future conversations.

Help people meet together. This may have a “humanizing” effect for those who are suspicious of certain people or of the process itself. Arranging, facilitating, and perhaps even participating in meetings between unlikely groups (i.e., elected officials and community groups) may have a positive effect on participants. These meetings can be either formal or casual, and can be arranged in addition to planning events that have already been scheduled.

Figure 5. Positions and Interests — Discovering What’s “Beneath the Surface”



Adapted from <http://www.fao.org/docrep/006/AD424E/ad424e08.jpg>

Engage with “shuttle diplomacy”; challenge all sides. It may be beneficial to act as a “go-between” for parties with competing positions. There are rarely any neutral parties, but additional insights from trusted sources may help people see situations from new perspectives.

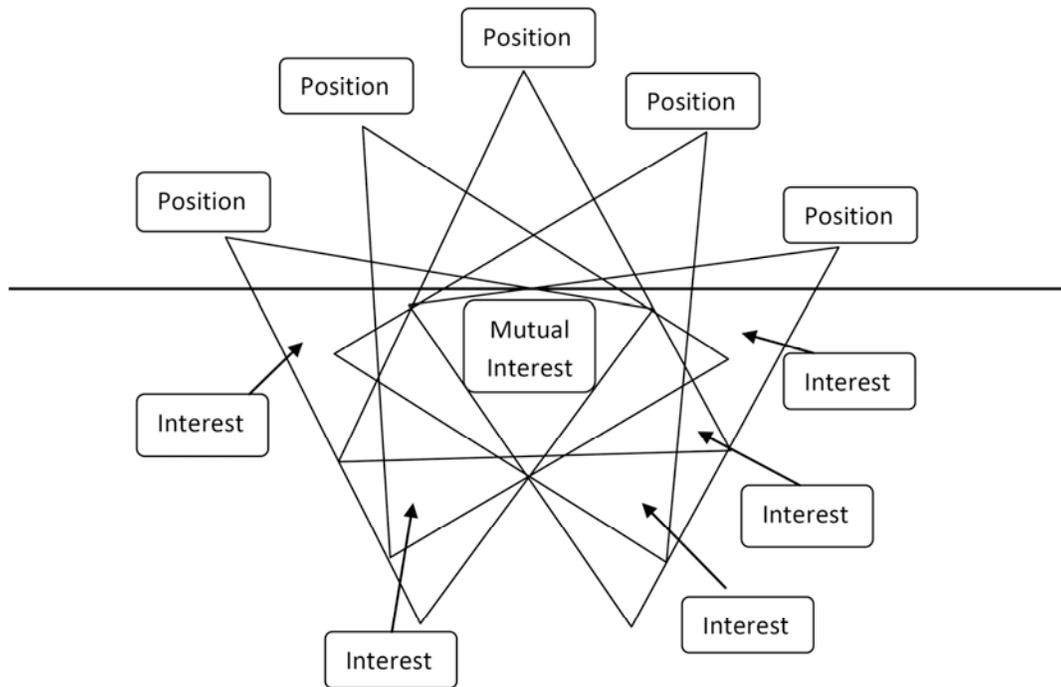
Be active and interested while mediating. In some cases, community planners can thrive as non-neutral parties. Those making the plans are not separated from the process; they want it to be credible and successful. If they are able to convey multiple opinions to different parties and also respectfully share their own opinions, they may be able to help move the process along.

Split the job; have one mediator and one negotiator. In particularly charged conversations, it may help to bring in a more neutral person to fill the role of mediator. This way s/he is less likely to be accused of taking sides.

Troubleshooting

The following section outlines some of the challenges community plan-makers (consultants and NRC leaders) have faced. It also outlines how they, and others, have approached or addressed these challenges. Although every neighbourhood is unique, there are

Figure 6. Multi-Party Positions and Interests



Adapted by Karin Kliwer from <http://www.fao.org/docrep/006/AD424E/ad424e08.jpg>

similarities between the contexts in which NRCs operate. All operate in socially and economically distressed areas. Due to any number of factors, residents may face poverty, housing, safety, employment, social exclusion, food security, and other health issues. These (and other) challenges are multifaceted and systemic and often make it more difficult for community members to participate in plan-making processes. Hopefully, these challenges are why we plan in the first place!

Although the following challenges may be applicable to the many contexts in which NRCs operate, one must remember that plan-making processes are dynamic and there is never one simple path for a complex challenge. Following are tips and approaches gleaned from the personal experiences of planners.

Overconsultation

Community members are (understandably) weary of being asked again and again about what they want to see in their neighbourhood and seeing changes to their personal lives and community come slowly, if at all.

Responses — To prevent overconsultation, one need not begin a process with a community forum. This engagement tool can be exhausting for both planners and participants and is most useful when information from different groups has already been collected. Instead, talk to organizations and individuals separately, visiting them when they have time.

Once the steering committee has a good idea of what community members are saying, it may be time to hold a forum. Events like this can help the steering committee begin to assess levels of support from community members about different policy directions. If updating a plan, it may be helpful to begin the forum with a summary of what has changed over the past few years as a result of the neighbourhood plan and the work done in the community. People generally have short-term and selective memories; they may need a reminder of the good things that have happened.

Perceived Funding Competition between Service Agencies

Because many NRCs have their own range of programming, it may be difficult to discern whether they are making a *neighbourhood* plan or an *organizational* plan. If other agencies are expected to take part in the neighbourhood planning process, these organizations need to benefit in some way and not feel that the plan will not duplicate their work and as a result, compete for their funding.

Responses — In the short term, personal visits and open, honest communication about the benefits of partnership and the NRC's role is important. Instead of creating a meeting time and place and inviting different organizational representatives to attend, arrange for personal meetings in their offices or ask to be put on the agenda for their meetings. Speaking face-to-face will help clarify the NRC's role in the community, and organizational representatives may be willing to participate in the steering committee for the rest of the process. At these initial meetings, talk about the following:

- Why you are involved with this process
- How a neighbourhood plan can stretch beyond being just a “funding agreement”: a comprehensive community plan can help inform municipal and provincial policies, which will benefit all neighbourhood stakeholders.
- The importance of their input and partnership. The content of a neighbourhood plan belongs to the community and not to one organization; no one entity can act alone to implement the plan. Stakeholders should know the difference between an organizational plan and a neighbourhood plan.
- Ask for advice about the process.

Always remember to promptly send a summary of this meeting back to the group! This will let others know their voices and opinions have been heard.

Longer-term responses may require revisiting the NRC's mandate and focus. NRCs may need to ask whether they should develop their own projects and receive funding (potentially competing with existing or future organizations), or if they should help resource other organizations in their work through funding, technical assistance, co-ordination, and through growing or "incubating" new projects until they are ready to exist independently.

The "Tyranny of the Urgent"

One planner used this phrase to describe the day-to-day events and duties that emerge when someone is engaged in community work. These are important because while they matter to the community or community members, they affect one's ability to sit down and think about long-range planning and visioning.

Responses — Even though one may try to schedule a retreat, or block off time in a day planner for long-range planning and visioning, this is easier said than done. However, it is good to remember that the "urgent" and the "important" can coexist — it need not be one or the other. One community planner drew attention to the easy projects, or "low hanging fruit" that can be completed while planning and plan writing is underway. These projects can inspire community members and help them know they are being listened to.

Community workers engaged with urgent day-to-day tasks can also take advantage of the support networks around them. This resource, for example, was created through relationships formed between an NRC and the Canadian CED Network, meaning that although groups will benefit from this resource, they did not have to spend too much time or resources to create it.

Managing Expectations

When people provide their input, they expect something in return. In many cases, this is translated into an expectation that the NRC has the power, energy, and resources to respond to their specific request. This is, of course, not always the case.

Responses — Expectations must be managed for both the steering committee and the general public. Together with steering committee members, create and follow a chart that includes a timetable, agendas, expectations, and limiting factors (such as funding opportunities, political environment, economic trends, etc.).

Carry this list of expectations and limiting factors to public meetings and share it with participants. This will emphasize the idea that although the goal of the plan is to build consensus and address differing viewpoints, plan-makers cannot promise that everyone's words will be represented in the plan. Input will be recorded during the consultation processes, but there must always be a balance between individual and neighbourhood interests. In addition, at meetings, it may be helpful to explain that even though participants may have differing opinions, they are participating to work together towards mutually acceptable ends. Participants should expect to be problem solvers and not necessarily expect to get their way.

In general, however, if people can see integrity in the process, and if they sense a strong consensus, they will be able to live with the results. Know, however, that there may be an outlier or two. Under extreme circumstances, someone may need to leave the process.

The Vocal Minority

People with the loudest voices are often the ones who get heard. When making community plans, it may be easier to comply with the "loud voices" as opposed to the "majority voices." At the same time, it is important to acknowledge the interests of these vocal individuals, as they may have power to influence or bully others, or disrupt planning processes. There is a marked difference between "spokespeople" and "squeaky wheels."

Responses — One planner emphasized that regardless of their behaviour, people need to feel *heard* and *respected*, saying "there is never a perfect solution, but there's a *human* solution." It is important to hear everyone's priorities and ideas, to address underlying interests, and then to create a process to represent peoples' opinions about these ideas. This means that not everyone's voice will be carried into the plans, but people will at least have chances to speak.

Another planner found it helpful to ask knowledgeable volunteers to sit or stand next to dissenters to answer questions and listen to them privately. Often, these people didn't need to be heard in the large group; just one person was enough to help them feel heard and to help them express frustration.

Public polling can also help understand general community feelings about specific issues.

Setting Priorities — Picking One Voice over Another?

This challenge is similar to the previous one, but at meetings, people may say and prefer things that are, or appear to be, contradictory. Neighbourhood planners know the impor-

tance of including all voices in a plan, but when a plan is written, some suggestions and directions may be included, while others are left out. If they do not see their ideas reflected in the plan, this may make people angry or upset.

Responses — As ideas are recorded, a growing consensus may emerge that is different from one or two people’s opinions. All input gathered, however, should be recorded, made available to participants, and included with the plan when reporting back to the community.

To help set priorities, one planner mentioned how analysis should happen right after the consultation with the planning team. Everyone will have different interpretations of events and it is important to discuss what people were seeing and hearing.

Although many times it may be possible to sense consensus around a general topic, this may not always be possible. The planner mentioned above noted that if you can’t prioritize input gathered at a consultation, this is a message in itself. It may be a message about the process or a message about the community’s preferences, or even a message about the type of people attending the consultation. Regardless, this message should be considered and addressed.

Managing Polarities

One planner identified a vacuum in engaging businesses. There seems to be a polarization of businesses and social services. To make a neighbourhood plan, it is important to engage all sectors; if one group remains unengaged, future initiatives may be less successful.

Responses — Get people around the table and just work at it! When considering board composition, do your homework and look for collaborative leaders (business and otherwise) who have connections to these different sectors. Remember that people are more likely to buy into an initiative because of their involvement.

Building trust between participants, and between participants and NRCs, involves major communication efforts. It is important to remember that building trust takes time. Some NRCs have existed in their communities for a long period of time and therefore have had a better chance to build trust and establish a positive role in the community. Trust can also be built as people get to know staff, green team members, etc.

Invisible Communities

It is common to hear jokes about how the community planning world is run by those who “show up.” Even though community work is filled with devoted visionaries and advocates

doing exciting and transformative work, this anticlimactic statement has a truthful side. There are some people who, for any number of legitimate reasons, do not or will not attend a meeting or consultation.

Responses — Try to make it as easy as possible for people to attend. Provide childcare (or better yet, have a consultation for the kids), honoraria, and snacks. Make sure people can “get something” out of the event; in addition to a consultation, it can be a social event or a learning event. Piggy-back on an existing community event, like a Spring Clean Up or a street festival, to showcase the planning process and informally ask people for their input. Encourage and welcome them to complete a survey or attend any upcoming follow-up sessions.

This response, however, must go deeper. You must seek input from other people or representative groups. Although this is time consuming, it is invaluable for the plan-making process. Strong relationships are built over time. Sometimes, as hard as one tries, it is still impossible to get people to attend a meeting or event. This is an opportunity to think of innovative ways to reach people. For example, one planner hoping to consult people living in hotels downtown was able to connect with public health nurses who regularly visited these residents. The nurses agreed to take information and surveys to their clients. Creative partnerships like this are invaluable to planning processes.

Working with Divisions

On your planning team, and in your neighbourhood, you will always have varying opinions and worldviews. This may be frustrating, but it is also an opportunity to build community in meaningful ways.

Responses — At the beginning of the process, ensure there is time for participants to build trust and to discuss differing worldviews. The trust and relationships built will be beneficial to the group, and this is well worth the invested time.

Take the time to establish and sign off on specific principles, such as a preference for win-win solutions. It may be necessary to occasionally revisit these principles. In addition, it is important to establish how decisions will be made. Many planners recommend the consensus-building process, which ensures that people’s voices are heard (and celebrates the concept of *dissensus*) by asking each others’ levels of consent. These levels can be: enthusiastic, pass, pass with reservations, need more information, block.

Remember, conflict may be the most normal thing one encounters in neighbourhood planning processes!

Plan Breadth “versus” Depth

One community planner noted that NRCs tend to use “populist” planning techniques, seeking to involve a large number of participants. As more people get involved in planning processes, however, there is potential to miss the deep part of thinking and planning. Working both comprehensively and integratively is difficult.

Responses — Planning processes require both small and large groups. As the “continuums of engagement” (Figures 2 and 3, pages 33 and 34) suggest, higher participant numbers often correspond to lower levels of engagement.

However, these continuums also suggest that it is valuable to engage with multiple stages. For example, larger groups can provide feedback on the general directions and goals of the plan. A smaller planning team is then responsible for connecting what people have said to specific actions.

Impatience for Change

Change happens slowly and, simply put, this is frustrating and difficult. It is particularly difficult when many previous plans have been made and many consultations have been held.

Responses — Newer NRCs may try to start where the more established ones have already reached, but a lot of background work is required before you get to a point where people are more trusting and less skeptical. Levels of conflict are related to one’s level of trust, as well as knowledge, focus, and clarity about the plan and the process. Despite their many successes, NRCs that have been around for many years are also frustrated by slow changes. Remember to celebrate and record every step forward (making sure to communicate this to participants), no matter how small you perceive it to be; things “add up” over time.

Section Summary

The previous pages combined community planning resources with Manitoba-specific challenges and techniques emerging from community planners — consultants and NRC representatives. They also highlighted different levels of citizen participation and engagement, along with a few techniques for community engagement and conflict resolution.

CONCLUSIONS

COMMUNITY DEVELOPMENT APPROACHES require citizens to work with each other and with policy makers, funders, and other groups to shape their future and improve their quality of life. Effective leadership and facilitation is critical throughout community planning processes.

This resource guide has drawn information from existing planning resources as well as from the direct knowledge, challenges, and experiences of consultants and community workers and planners in Manitoba. It has grown out of clearly articulated needs for increased resources, analyses, and approaches in the creation of neighbourhood plans.

The “Introduction” outlined neighbourhood and funding contexts specifically related to Neighbourhood Renewal Corporations in Manitoba. It also highlighted biases and assumptions found within this resource. “About Plans and Planning” provided a planning context for this resource, outlining different planning theories and the different types of statutory and non-statutory plans. The section titled “Neighbourhood Planning” provided information about neighbourhood plan structures and processes. Finally, “Engaging Communities” focused on community engagement and conflict resolution techniques and approaches, as well as some practitioner responses to some community planning challenges.

APPENDIX

Additional Resources for Community Planning Techniques

Web Resources

- Asset Based Community Development (ABCD) Institute (www.abcdinstitute.org/).
- The Change Agency (www.thechangeagency.org).
- Community Information Database (Statistical information) (www.cid-bdc.ca).
- National Charrette Institute (www.charretteinstitute.org/). Charrette handbook also available in print.
- People and Participation (www.peopleandparticipation.net).
- Urban Design Compendium (www.urbandesigncompendium.co.uk/). Also available in print.
- Social Analysis Systems (SAS2) (www.sas2.net/). Guide of techniques also available in print.
- Tamarack Institute for Community Engagement (www.tamarackcommunity.ca/).

Print Resources

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