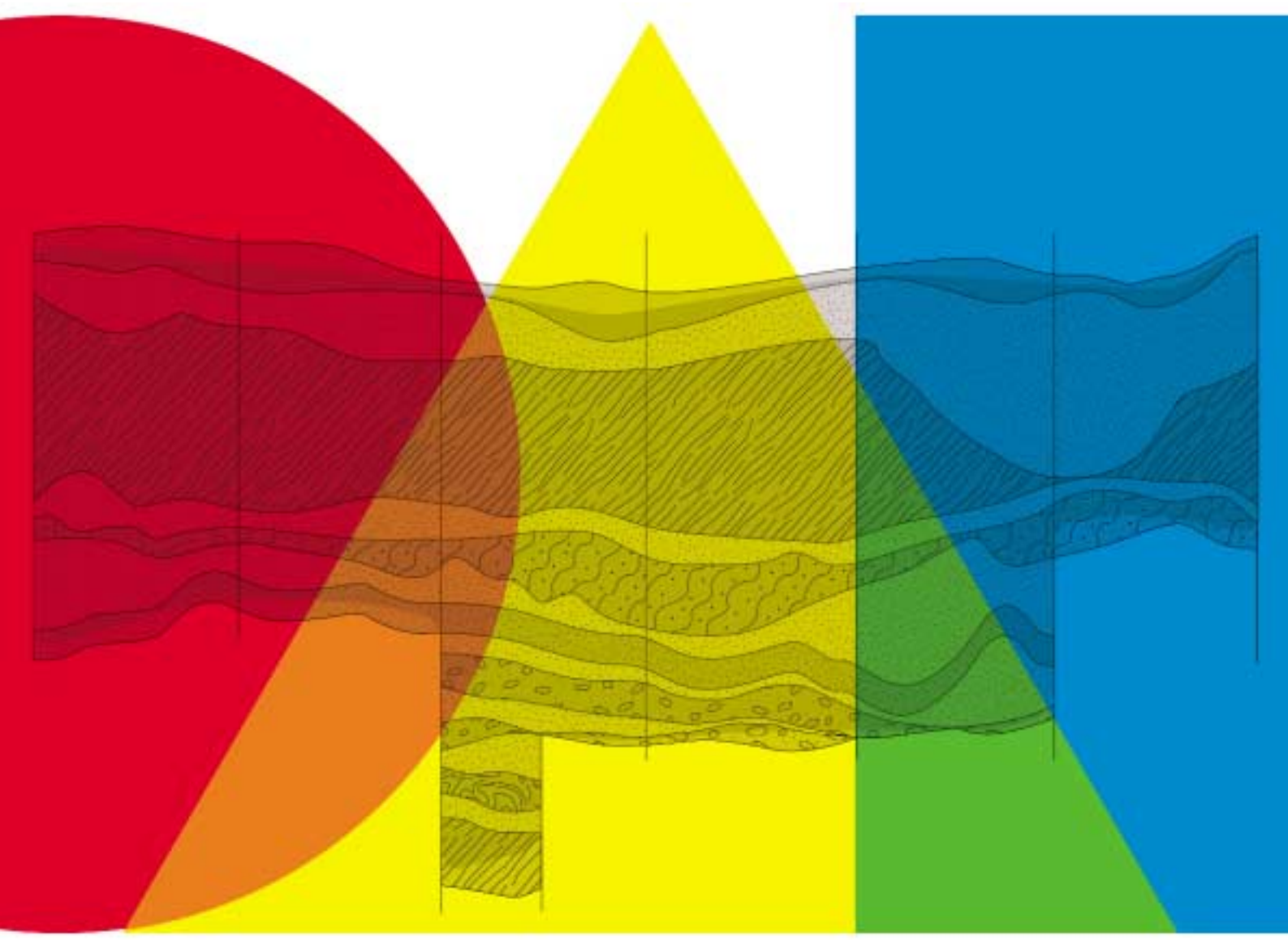


# Good Practice for Stakeholder Engagement in the Aggregates Sector

---



# Project Partners

---

## The Environment Council

**The Environment Council** is a unique organisation dedicated to putting the environment at the heart of people's choices, decisions and aspirations.

The Environment Council believes that achieving sustainability will need greater inclusivity and participation in decisions around the environment. Bringing together different interests to address environmental challenges constructively needs independence and a particular set of skills, skills that The Environment Council has been developing for over a decade.

**020 7836 2626**

**[info@envcouncil.org.uk](mailto:info@envcouncil.org.uk)**

**[www.the-environment-council.org.uk](http://www.the-environment-council.org.uk)**

**[www.the-environment-council.org.uk/aggregates](http://www.the-environment-council.org.uk/aggregates)**

## dialoguebydesign

**Dialogue by Design** is a company specialising in designing and running participatory processes over the internet. Based on many years experience in stakeholder dialogue processes, the organisation has developed a variety of innovative electronic tools that can add value to and enhance consultation and participatory processes.

**020 8683 6602**

**[facilitators@dialoguebydesign.com](mailto:facilitators@dialoguebydesign.com)**

**[www.dialoguebydesign.com](http://www.dialoguebydesign.com)**

# Contents

---

Executive Summary .....	04
Introduction .....	05
<b>PART 1 STAKEHOLDER ENGAGEMENT &amp; AGGREGATES EXTRACTION .....</b>	<b>07</b>
Stage 1 Developing National and Regional Aggregates Policy .....	09
Stage 2 Implementing National and Regional Policy at Local Levels .....	16
Stage 3 Planning Applications for Minerals Extraction .....	24
Stage 4 Operations .....	31
Stage 5 The Restoration and 'After Use' Stages .....	33
<b>PART 2 HOW TO ENGAGE STAKEHOLDERS .....</b>	<b>35</b>
Principles of stakeholder engagement .....	36
Key tasks .....	37
<b>ENGAGEMENT METHODS .....</b>	<b>43</b>
Consultation paper and request for comments .....	43
Deliberative workshops .....	44
The Internet .....	44
Community information gathering .....	44
Private meetings .....	45
Public meetings .....	45
Stakeholder workshops .....	46
Planning for Real .....	46
Exhibitions and site visits .....	47
Liaison groups .....	47
<b>APPENDICES</b>	
Appendix A Minerals Policy Guidance .....	48
Appendix B Planning Policy Guidance .....	49
Appendix C Resources .....	50
Appendix D Common acronyms .....	51
How this document was produced .....	52
Organisations who participated .....	53
Project funders .....	54

# Executive Summary

---

As the legislative planning context continues to evolve, the need for stakeholder and community engagement in the aggregates sector has never been greater.

Whether you are directly involved in, directly affected by or have an interest in the planning, working, restoration and/or after use of aggregates sites, this document applies to you.

Part 1 provides an overview of key definitions and contexts of stakeholder engagement in all the stages of aggregates extraction, from setting national policy to quarry restoration. Minerals Planning Guidance, Planning Policy Guidance and the Planning and Compulsory Purchase Bill and associated Regional Spatial Strategies are all discussed.

For each of the stages of aggregates working, the document provides suggestions for actions that government, industry, Non-Government Organisations (NGOs), the voluntary sector and community stakeholders can take to develop effective engagement. Potential engagement methods are also suggested.

- STAGE 1** Developing National and Regional Aggregates Policy
- STAGE 2** Implementing National and Regional Policy at Local Levels
- STAGE 3** Planning Applications for Minerals Extraction
- STAGE 4** Operations
- STAGE 5** The Restoration and 'After Use' Stages

The core message is that each stakeholder engagement process has to be unique. This makes advancing 'good practice' difficult. But there are still principles that should underlie all engagement processes, stages of planning that all such processes should go through, and a range of methods that can be adapted to meet the needs of each situation.

The principles are inclusiveness; transparency, openness and clarity; and independence and accountability. These should be underpinned by commitment, accessibility and productivity.

With these in place, it becomes possible to plan and engage successfully, working through the stages identified in Part 2:

- Identify purpose and people
- Choosing your method(s)
- Implementing engagement
- Using the results of engagement
- Evaluation and learning.

Some of the major engagement techniques and their uses are also outlined in Part Two.

It is our hope that this publication will help people in all sectors to understand each other better and talk about the issues that separate them.

# Introduction

---

## Who is this document for, what is it about, and what is it suggesting?

We need aggregates. They underpin – literally – virtually everything we build, from schools and hospitals to homes and roads. While some aggregate extraction can and will be replaced by recycling existing materials and developing and extending the use of alternative non-aggregate materials, there will always be the need for some extraction. This requires an understanding of the respective interests and concerns of the industry and the communities that may be affected.

### THIS DOCUMENT IS FOR STAKEHOLDERS

- PEOPLE IN LOCAL COMMUNITIES
- PEOPLE WORKING FOR VOLUNTARY AND NON-GOVERNMENT ORGANISATIONS WHO ARE CONCERNED ABOUT OR MAY BE AFFECTED BY THE PLANNING, WORKING, RESTORATION AND AFTER-USE OF AGGREGATES SITES
- MANAGERS AND SITE OPERATORS IN THE AGGREGATES INDUSTRY
- FARMERS AND LANDOWNERS WHO PROVIDE THE LAND THAT THE AGGREGATES INDUSTRY REQUIRES
- POLITICIANS AND OFFICIALS IN LOCAL, REGIONAL AND NATIONAL GOVERNMENT
- LOCAL STRATEGIC PARTNERSHIPS

The stakeholder workshop that initiated the production of this document gave the writers and editors a very clear brief. It was to focus on stakeholder engagement, the different contexts in which it can happen, and how to do it. The document was also to be as straightforward, easy to read and jargon-free as possible.

While we hope the document reflects these priorities, we are acutely aware that each of the audiences listed above requires different things. Local communities, for example, may require a straightforward guide to the minerals planning process and a sense of when and how they can best contribute to it. People in the aggregates industry or in local government, meanwhile, who work with the planning process every day, may need greater understanding of how to identify stakeholders. Others may prefer the emphasis to be on the mechanics of running a public meeting or responding to a consultation document.

In response to these various needs the document is divided into two parts:

**PART 1** begins by explaining why engagement matters and provides an overview of the legislative planning context. It divides the process of aggregates working into five stages:

**STAGE 1** Developing National and Regional Aggregates Policy

**STAGE 2** Implementing National and Regional Policy at Local Levels

**STAGE 3** Planning Applications for Minerals Extraction

**STAGE 4** Operations

**STAGE 5** Restoration and After-Use Stages

There is scope for people to work with each other during each of these stages, albeit with varying levels of intensity, to ensure that the decisions involved reflect, as far as possible, both the competing and complementary needs of many stakeholders. At the end of each stage a box suggests who needs to do what in terms of engagement, and the most appropriate methods for doing so.

This section also contains important information about the planning process and the changes that will come into effect in 2004. As will become apparent on reading it, the requirement for stakeholder engagement is pervasive. For those unfamiliar with either the current or future system it may at first seem complicated, but we hope it is as clear as it can be.

**PART 2** focuses on practical methods of stakeholder engagement. It begins by setting out the tasks involved in all engagement processes, then describes the most common methods and their various advantages and disadvantages.

Finally, a number of Appendices provide information on various topics from further information about planning to a glossary of common acronyms.

Please note this document also has its own website and is available at:  
[www.the-environment-council.org.uk/aggregates](http://www.the-environment-council.org.uk/aggregates)

# PART 1

# Stakeholder Engagement and Aggregates Extraction

---

## Definitions and contexts of stakeholder engagement

### Definitions

In the last few years the involvement of stakeholders in situations that affect them has become accepted good practice. All forms of engagement are based on the common sense case that talking to people early – quite apart from the intrinsic courtesy of doing so - saves time and money later, as well as improving projects and plans. It may also help to offset the public mistrust of authorities and business that has become so prevalent in recent years.

The first definition is of the term 'stakeholder'. A stakeholder is any person or organisation that has, or perceives they have, a stake in a situation or decision. In the aggregates context stakeholders include site operators, the aggregates industry, its customers and shareholders, individuals in local communities, pressure groups, conservationists, archaeologists, government bodies such as the Environment Agency and the Health and Safety Executive, and government at all levels, especially Minerals Planning Authorities.

Be aware, though, that people do not always mean 'all stakeholders' when they use the term. In particular, government and business tend to use it to mean NGOs and members of local communities.

The word 'engagement', meanwhile, is used to describe processes that seek the views of individuals or groups on policies, plans or projects that may affect them directly or indirectly. It is sometimes used as an umbrella term covering any kind of contact between decision-makers and stakeholders. More often, it is used alongside terms such as 'public participation' and 'stakeholder dialogue' to indicate processes that involve more direct interaction with stakeholders than in public relations, information-giving, or more formal consultation processes.

So, for example, when people affected by an extraction process talk about the need for community engagement, they may be thinking about establishing an ongoing liaison group to explore the issues, negotiate changes or initiate a review of operations, rather than a single presentation by a council official.

These distinctions are now important. If 'engagement' is used to describe, for example, the distribution of a questionnaire and there is no chance to see the results, it will raise expectations and risks disappointing and even alienating people. If people are seeking engagement, interaction and participation, it means they want decisions about the scope and remit of discussion to be shared.

## Contexts

While this document looks at stakeholder engagement throughout the process of minerals planning and aggregate extraction, it is particularly focused on engagement at the local community level. The purpose of community engagement in this context is to enable communities and site operators to live and work as good neighbours, and to solve the occasional problems experienced by all neighbours as swiftly and as amicably as possible.

This means above all that people should be willing to talk, open to persuasion, well informed, and prepared to discuss issues or proposals based on their merits. Much of it is about common sense and common courtesy. For the site operator, tell people what you want to do if it is going to affect them, give them a name and a telephone number, and display it clearly at the site entrance. For the community, talk to the site operator before you ring the local authority, or the press, or the lawyers. Take time to talk, to understand each other, to appreciate the other's point of view, as well as putting forward your own.

If stakeholder engagement at the site level is mostly about timely communication and common courtesy, at the policy and planning level it is about consultation processes that genuinely pay attention to what different stakeholders are saying. There is little to be gained in spending time and money getting stakeholder input if nobody takes it seriously, or if all the decisions have already been made. When this happens it contributes to public cynicism about consultation exercises.

The starting point for successful engagement has to be some willingness to accept that a policy or a proposal may need further work, or that there may be a more appropriate or acceptable way of meeting its aims. Unless stakeholders feel that their input may influence decisions, they will feel the exercise is a sham and challenge the results, and it making it harder to involve them at a later stage, or ultimately to build a neighbourly relationship with them.

Equally, no engagement is possible between people who are not willing to hear the other's point of view or when competing objectives are genuinely not capable of compromise. This can be particularly difficult in land use planning issues. A working aggregates site cannot at the same time be a children's play area; importing necessary aggregates, rather than extracting them locally, may increase lorry traffic for other communities.

Finally, the context of stakeholder and community engagement is being consistently strengthened by the Government. In its consultation on draft Minerals Policy Statement 2 (MPS2 – see Appendix B) there is a very clear statement on community consultation and involvement in all stages of the minerals planning process.

Even more significant changes will come through legislation going forward now. The Planning and Compulsory Purchase Bill is expected to receive Royal Assent in Spring 2004. This will change the way the planning system works because the government not only wants to increase local communities' involvement, it also wants to make the system more efficient, effective and responsive. There is to be a three-year transition period while the old system is replaced by the new, so this document sets out both the current and the new arrangements.

As guidance from government on how the changes will work is still being developed, there are areas where the reader will need to find out more. One place to look is on the ODPM (Office of the Deputy Prime Minister) website <sup>i</sup>. Alternatively your local **Minerals Planning Authority (MPA)** will be able to advise.

<sup>i</sup> Office of the Deputy Prime Minister  
(ODPM) [www.odpm.gov.uk](http://www.odpm.gov.uk)





# STAGE 1 Developing National and Regional Aggregates Policy

This section of the document sets out some basic background information for those who are new to the subject of aggregates. It also introduces the most important bodies and procedures involved in the national and regional planning process.

While the scope for stakeholder engagement at the community level at this stage is limited, the box at the end of the section sets out what can be done to keep communities informed.

## The need for aggregates

Aggregates are used throughout society: in industry, in agriculture, and particularly by the construction industry for building and repairing homes, commercial buildings, hospitals, roads, railways and other public and private services.

There are two types of primary or virgin aggregate: crushed hard rock and sand and gravel:

- Hard rock is usually extracted from deep quarries by blasting.
- Sand and gravel is dug from river valleys, glacial deposits, from within rock deposits and also from the sea floor.

These materials have particular characteristics and some are more suitable for certain purposes than others. There are also a range of materials produced from aggregate minerals, such as concrete, coated stone and asphalt for road building, blocks for house building, mortars, and roof tiles. New research is providing information on what type and quality of material can be used for particular purposes.

Recycled materials, such as crushed concrete and bricks, mineral waste such as china clay sand and slate quarry waste and some industrial wastes such as steel slags, are also increasingly being used as part of the Government's strategy to protect natural resources and to reduce waste. Sites are needed for some of these recycling activities.

## How much is needed?

The extraction of aggregates is largely demand led but in June 2003 the Government published revised national and regional guidelines for the provision of aggregates in the period 2001 – 2016. These guidelines are used by **Regional Planning Bodies (RPBs)** and MPAs to determine the amount of land provision for aggregates supply at regional and sub-regional (county) levels.

The revised guidelines imply a lower annual rate of extraction than had been allowed for in 1994 when guidelines were last published. The new guideline figures are the Government's response to a consultation that took place between 2000 and 2003. The guidelines were to be tested at regional level during 2003 to determine whether they can be achieved at an acceptable environmental cost and the regional guidelines figures apportioned between MPAs by the RPBs. The guidelines and sub-regional apportionments will form the basis for all aggregate minerals planning in the United Kingdom. They represent indicative figures that both industry and local government can use for forward planning. The guidelines specifically say that the figures are not targets.

England provides well over 90% of its own aggregates needs, and this is likely to continue into the foreseeable future. There are regional variations, however. For example, the South-East has both a high need for aggregates and a lack of hard rock quarries. Consequently hard rock aggregate is imported into the region from the Mendips, Leicestershire and Scotland. Aggregates are a bulk commodity subject to high transport costs, and except for specialist end uses or where geology dictates that long distance sourcing is unavoidable, the vast majority of aggregates are consumed within thirty miles of their extraction point. Therefore, wherever society wishes to renew or improve its infrastructure, there will be a need for locally sourced aggregate materials that are supplemented, where practicable, by material brought from elsewhere, preferably by bulk rail or water transport. The transport of materials creates the need for rail depots and wharves, especially when imported.

## How government creates national policy on aggregates

### Existing Minerals Planning Guidance and Planning Policy Guidance

At present, Government policy for aggregates extraction is also set out in **Minerals Planning Guidance** documents known as **MPGs**. In addition, there is **Planning Policy Guidance (PPGs)** that applies more generally to all types of development including minerals; for example, PPG9 relates to nature conservation <sup>ii</sup>.

<sup>ii</sup> See Appendices A and B for lists of Minerals Planning Guidance and Planning Policy Guidance documents

MPGs and PPGs are a mixture of government policy, procedural guidance and best practice advice. The system is under review and will be replaced by a more focused (and shorter) set of policy guidance. The existing guidance in MPGs and PPGs will apply until it is replaced by new guidance. The guidance sets out the national policy framework so that industry, local and regional government, and members of the public, together with other organisations, know what the government expects to happen. All guidance such as this is subject to public consultation before government finally issues it.

Regional and local government bodies apply national policy through different types of statutory plans. It is also applied to planning applications.

## MINERALS POLICY STATEMENT 2: CONTROLLING AND MITIGATING THE ENVIRONMENTAL EFFECTS OF MINERALS EXTRACTION IN ENGLAND

### Sustainable Development

MPAS SHOULD HAVE REGARD TO THE OBJECTIVES OF SUSTAINABLE DEVELOPMENT FOR MINERALS PLANNING. THESE RECOGNISE THE POTENTIAL CONFLICT BETWEEN THE EXPLOITATION OF RESOURCES AND ENVIRONMENTAL AIMS TO:

- Conserve minerals as far as possible, whilst ensuring an adequate supply to meet the need of society.
- Ensure that the environmental impacts caused by mineral operations and the transport of minerals are kept to an acceptable minimum.
- Minimise production of waste and to encourage efficient use of materials, including appropriate use of high-quality materials, and recycling of wastes.
- Encourage sensitive working practices during minerals extraction and to preserve or enhance the overall quality of the environment once extraction has ceased.
- Protect areas of nationally designated landscape or archaeological value, cultural heritage or nature conservation from mineral development, other than in exceptional circumstances where it has been demonstrated that the proposed development is in the public interest.

OFFICE OF THE DEPUTY PRIME MINISTER FEBRUARY 2003

Much of this policy guidance has been developed in the context of sustainable development. The Rio Earth Summit in 1992 made sustainable development a global concern and since then the British Government has been increasingly integrating sustainable development principles and practices into policy and legislation. There is government guidance on sustainability appraisals <sup>iii</sup> and this will become mandatory when the Planning and Compulsory Purchase Bill comes into force. Government guidance is also a direct response to European legislation that, for example, has led to the introduction of **Environmental Impact Assessment (EIA)**. This requires many minerals extraction proposals to be assessed in terms of their potential environmental effects.

*iii Planning Policy Guidance 12, Development Plans 1999*

The **Strategic Environmental Assessment (SEA) Directive**, which comes into force in July 2004, will require a formal assessment of plans and programmes prepared by public authorities which are likely to have significant effects on the environment. Authorities will have to prepare a report, consult environmental authorities and the public, and take the results into account. The Directive's main new areas of emphasis are on:

- Identifying strategic alternatives
- Collecting baseline environmental information
- More thorough prediction of significant environmental effects
- Greater consultation of the public and environmental authorities
- Addressing and monitoring the significant environmental effects of the plan

The Directive defines "environmental assessment" as a procedure including:

- Preparing a report on the likely significant effects of the draft plan
- Carrying out consultation on the draft plan and the environmental report
- Taking into account the environmental report and the results of consultation in decision-making
- Providing information when the plan is adopted and showing how the results of the SEA have been taken into account

To be effective, the SEA should be fully integrated into the plan-making process. It should be started as soon as ideas for a new or revised plan are first considered, and should make inputs at each stage of the plan's implementation or revision.

Government also has to take into account the provisions of the Human Rights Act that came into force in October 2000. This imposes a positive obligation upon government to protect these rights, and some could potentially affect the way that minerals proposals are considered. The relevant articles are Article 8 (right to respect for private and family life, home and correspondence), Article 1 of Protocol 1 (right to peaceful enjoyment of possessions and protection of property), and possibly Article 2 (the right to life). The relevance of the Human Rights Act to minerals planning and extraction is debatable and unlikely to be settled unless and until it has been tested in the courts.

## How regional policy develops

### Regional Planning Guidance

National guidance on the provision for aggregates extraction has been interpreted at regional level through **Regional Planning Guidance (RPG)** for the nine government regions in England. The purpose of RPG includes the resolution of strategic planning issues at regional level and is intended to indicate the general location of regionally or sub-regionally significant development. The RPG has regard to the work of the **Regional Aggregates Working Party (RAWP)** <sup>iv</sup>.

RAWPs are technical working parties (not policy-making bodies) charged with advising central government and the RPB. It is the RAWPs that principally monitor the supply and demand for both primary and secondary aggregates, the latest position on development

*iv For more about Regional Aggregates Working Parties see [http://www.odpm.gov.uk/stellent/groups/odpm\\_planning/documents/page/odpm\\_plan\\_6065\\_71.hcsp](http://www.odpm.gov.uk/stellent/groups/odpm_planning/documents/page/odpm_plan_6065_71.hcsp)*

plans, planning applications and decisions, the resource base, material requirements and standards and the level and type of construction industry activity within their regions. They include representatives of central and local government, the aggregates industry, specialist advisors, regional planning bodies, MPAs and, where relevant, national parks authorities. RAWPs are not obliged to meet in public or to publish the minutes of their meetings.

Regional Planning Guidance covers a period of 10-15 years and is subject to regular review so it is important to know when the guidance is about to be updated. While it is being prepared the public can comment on what the issues are and on the future of the area.

Under the Town and Country Planning Act 1990, there is always an **Examination in Public (EiP)** when key issues arising from comments are discussed in front of a Panel of government advisers, including the Planning Inspectorate <sup>v</sup>. The Panel produces a report which is used to finalise the RPG. The way in which **Regional Planning Guidance** is prepared is set by Planning Policy Guidance 11: Regional Planning 2000.

<sup>v</sup> The Planning Inspectorate is an independent Government Agency that makes decisions on appeals against refusal of planning permission and 'non-determination', deals with 'called in' applications and conducts inquiries on development plans

In the summer of 2004 the new **Planning and Compulsory Purchase Bill** is expected to take effect; this will mean that by 2008 all RPGs should be replaced by **Regional Spatial Strategies (RSS)**. In practice, the existing RPGs will be revised to bring them in line with the new legislation. The RSSs will provide a broad vision and development strategy for a region for at least 15 years. Amongst other things, they will identify the scale and distribution of new housing and priorities for the environment, transport, infrastructure, economic development, agriculture, **minerals extraction** and waste treatment and disposal. The intention is that the RSSs will be continuously monitored and brought up to date as frequently as necessary.

The new RPBs will lead preparation of RSSs in partnership with regional and community stakeholders. When the RPBs submit the draft RSS to the Secretary of State, who takes the final decision on the document's content, they also have to submit a pre-submission consultation statement explaining how organisations and people have been involved in the strategy, a summary of the issues raised and how these shaped the draft document.

Recent RPGs have involved RPBs reporting to a steering group chaired by the RPB, with representation from other regional institutions, such as the **Regional Development Agency (RDA)**. Representation on the steering group should at least mirror the 70/30 split between local authority and non-local authority representatives on the RPB itself. This best practice should be followed by all RPBs.

### Key stages in the RSS revision process

At the very beginning of a Regional Spatial Strategy revision process the RPB should hold a one-day public conference. This should identify the issues to be covered by the RSS project plan, which sets out what the review is going to do and when. Options that look at different ways of addressing problems and opportunities need to be explored and assessed for their implications for sustainable development.

The RPB should consider, both at this stage and when options and policies are being developed, how to inform and involve groups within the community who have not in the past participated in the process of revising the regional strategy but who may have an interest in its content. Failure to do so runs the risk of increasing existing inequalities between those best equipped to make their voice heard and those traditionally excluded from the process.

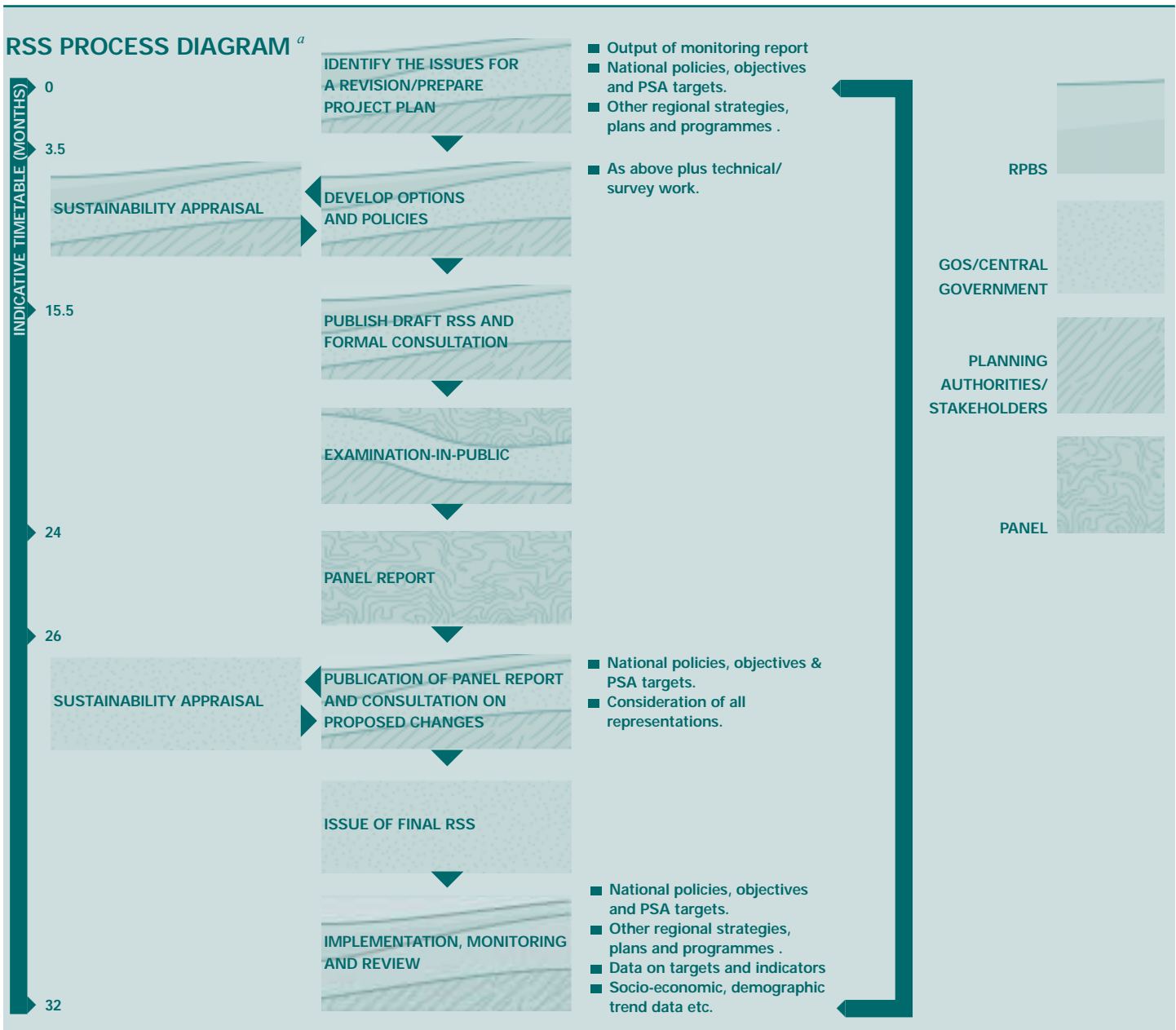
The RPB should identify the best option and develop the RSS through partnership working and community involvement. The draft RSS will then be submitted to the Secretary of State who will decide the length of the formal consultation period based on whether major or minor changes are being considered.

EiP will then be held before a Panel appointed by the Secretary of State at which there will be an opportunity for discussion to test the soundness of the draft revised RSS. The Panel will produce a report for the Secretary of State, normally within two months of the end of the EiP.

The Panel report will help the Secretary of State to consider what changes, if any, to make to the draft revision. The Secretary of State should consider all the representations made on the draft revision, not just those considered in the context of the EiP and reported on by the Panel. The Secretary of State's proposed changes to the draft revision will then be published, allowing at least eight weeks for comment. Following the consultation the Secretary of State will approve and issue the revised RSS. Although not required by legislation, a copy of the final RSS will normally be sent to all those who participated at the examination.

A draft consultation paper on Regional Planning (PPS 11) was published by ODPM in October 2003 and explains more about the above process. In time there will be further guidance from ODPM on particular aspects, including a short guide on community involvement.

*<sup>a</sup> Source: Consultation Paper on Draft Planning Policy Statement 11 (PPS 11) – Regional Planning. Office of the Deputy Prime Minister October 2003. It should be noted that this is a draft document and is subject to change prior to final publication*



## STAGE 1 ENGAGEMENT WHEN NATIONAL AND REGIONAL POLICY IS BEING SHAPED



### NATIONAL GOVERNMENT

- Set the national context for aggregate extraction
- Consult with local and regional government to test estimates of future demand against local and regional circumstances and with other parts of government, and with industry, national voluntary and non-government organisations, to ensure that its aggregates policies are compatible with its sustainable development policies
- Assist regional and local government to interpret its policies
- Ensure the interests of all stakeholders are taken into account
- Make it as easy as possible for those outside government to understand policy and contribute to its formulation
- Make all possible information available online



### REGIONAL GOVERNMENT (INCLUDING RAWPs)

- Make known when and how outside organisations can be involved in their work and in the preparation of Regional Spatial Strategies
- Make sure their web sites are clearly signposted
- Be more imaginative about publicising community and stakeholder involvement opportunities – for example by designing eye-catching notices for display in public places as well as placing formal notifications in the press
- Make sure hard copies of documents are accessible locally
- Keep the presentation of issues, options and proposals simple and yet logical with the information necessary to reach a sensible view
- Respond positively to the new legislation and the need to have more effective public consultation and input to the final plan
- Demonstrate that public involvement is welcome and is listened to
- Support local planning authorities in the process of involving local people and organisations in the process.
- Explore new ways of reaching the public over regional issues e.g. seminars or workshops across topics and themes in the review; establish a formal group, chaired by someone outside the RPB that is consulted at key milestones
- Publish a single telephone point of contact for all RSS queries
- Make sure that the EIP is as unthreatening as possible
- Continue to inform and involve the public in the monitoring of the strategy



### LOCAL GOVERNMENT (INCLUDING MPAs)

- MPAs should ensure national and regional policy is appropriate and achievable through active participation in national and regional consultation processes.
- MPAs should undertake and publish surveys that inform the work of the RAWPs.
- MPAs should ensure that RAWPs are fully aware of the environmental, social and economic implications of government figures, and of the results of any local engagement, and take these into account when apportioning aggregates to MPA areas.
- Councils should ensure that they are aware of the ongoing work of RAWPs and provide MPAs with relevant information.
- Generally encourage community engagement through unitary, county, district and parish councils as the vehicles of community representation.



## AGGREGATES INDUSTRY

- Ensure government and stakeholders understand the realities and economics of the aggregates industry
- Contribute to national consultations in clear and concise language
- Facilitate effective monitoring of production and reserves through prompt submission of honest and accurate information on production and site reserves on a confidential basis to the MPAs



## NGOs AND THE VOLUNTARY SECTOR (INCLUDING PARISH COUNCILS)

- Contribute to policy-making through scrutiny of published policies, expression of concerns where appropriate and the submission of ideas to reconcile the nation's need for aggregates with the need to protect and preserve the natural and historic environment, and the interests of its citizens
- Build expertise in extraction issues and be ready to contribute to policy at all levels, and to non-statutory guidance
- Get on consultation lists, find out about events, obtain relevant documents and talk to councillors
- Maintain relationships with all tiers of government concerned with minerals workings and also with the industry. Such relationships not only improve mutual understanding of the issues and provide opportunities to influence thinking at a formative stage, they may also provide advance notice of policy or process shifts
- Encourage officials to describe and discuss proposals so that questions can be asked and issues clarified as early as possible in the policy-making process



## COMMUNITY STAKEHOLDERS

- Keep abreast of developments at local level through the grapevine - personal contacts with individuals in local government and the aggregates industry
- Press for documents and proposals potentially affecting the communities whose interests they represent to be drafted in language that people can understand
- Encourage officials to describe and discuss proposals so that questions can be asked and issues clarified as early as possible in the policy-making process
- Recognise the role of construction in meeting society's and individuals' needs, and the inextricable linkage between these and the production and conservation of aggregates

## STAGE 1 ENGAGEMENT METHODS

- CONSULTATION PAPERS AND REQUEST FOR COMMENTS
- DELIBERATIVE WORKSHOPS
- STRUCTURED WEB-BASED PROCESSES
- PRESS AND PUBLIC RELATIONS WORK TO PUBLICISE ISSUES AND OPPORTUNITIES FOR ENGAGEMENT





# STAGE 2 Implementing National and Regional Policy at Local Levels

This section describes how the planning process works at the local level, including changes shortly coming into effect. The box at the end indicates how communities can contribute to the process.

## Development Plans

Within the framework of government policies, each local planning authority establishes its own **Development Plan** to apply government policy at the local level.

Any development that takes place, including the use of land, has to be in accordance with the Development Plan unless there are good and relevant reasons for a departure from it. The Development Plan is the vehicle used to convey to the public the local authority's objectives and policies for development in the area.

In most non-metropolitan areas in England Development Plans comprise:

- Structure plans, in which counties, unitary authorities and national parks set out key strategic policies as a framework for local planning
- District-wide plans, in which district councils and unitary authorities set out detailed planning policies and site specific proposals for the development and use of land
- Minerals and Waste Local Plans which are sometimes combined into one document

In London, the metropolitan areas and some rural/urban areas, local planning authorities produce a **Unitary Development Plan (UDP)**. Part I of the UDP provides the strategic framework and serves the same purpose as the structure plan. Part II of the UDP deals with detailed planning issues and site-specific proposals and serves the same purpose as the Development Plan. UDPs should also contain mineral policies.

County, unitary and national park authorities are also known as **Minerals Planning Authorities (MPAs)** because they are responsible for the local minerals policies and because they determine minerals planning applications.

## Minerals Policies

Currently aggregate provision is determined through two tiers of the Development Plan: the **Structure Plan** (or Part I UDP) and the **Minerals Local Plan** (or Part II UDP). Structure and UDP Part I plans cover locally strategic minerals policy issues; Minerals Local Plans and UDP Part II plans are much more detailed and include specific sites <sup>vii</sup>. For more about the content of minerals plans see the section on minerals policies.

In most areas covered by a county structure plan and minerals plan there will also be a district wide local plan prepared by the district council. This should be 'in conformity' with the structure plan. The local plan may include policies that have a bearing on the minerals plan policies, for example, landscape areas policies.

## Changes to the planning system

The government wants to see the planning system perform more efficiently and effectively and is introducing new legislation that will replace the current arrangements for development plans. Existing plans will continue to be effective until planning authorities have adopted plans provided under the new arrangements.

<sup>vii</sup> For a description of the current development plan system of consultation see DETR publications: *Structure Plans a Guide to procedures and, Local Plans and Unitary Development Plans a Guide to procedures, 1999*



The **Planning and Compulsory Purchase Bill** is expected to come into force in the summer of 2004 and will result in changes to development plans:

- **Regional Spatial Strategies (RSS)** will replace Regional Planning Guidance and will become part of the Development Plan and so carry greater weight than before
- **Local Development Frameworks** form a portfolio of documents that will replace current structure plans and local plans. They will include **Development Plan Documents (DPDs)** that will be based on the RSS. Minerals and waste development plan documents will be prepared by county and unitary authorities

The effect of this will be a two-tier structure for plan making based on regionally important strategic issues being dealt with at the regional level and local plan making being done by district and unitary councils and mineral and waste planning authorities. County structure plans will be abolished but counties will retain responsibility for waste and minerals plans.

### The new system starting in 2004

The new plan making system involves a number of new phases. The process begins with the **local development scheme**. MPAs will have to submit to the Secretary of State a **minerals and waste development scheme** within six months of the start of the new legislation and keep it up to date thereafter. The local development scheme is a public statement of the planning authority's programme for plan development and approval over a three-year project plan.

It should explain the status of existing documents, programmes for replacing them where necessary and how this is to be done. Consideration has to be given to how the process is going to be resourced and progress monitored at all times.

### Statement of Community Involvement

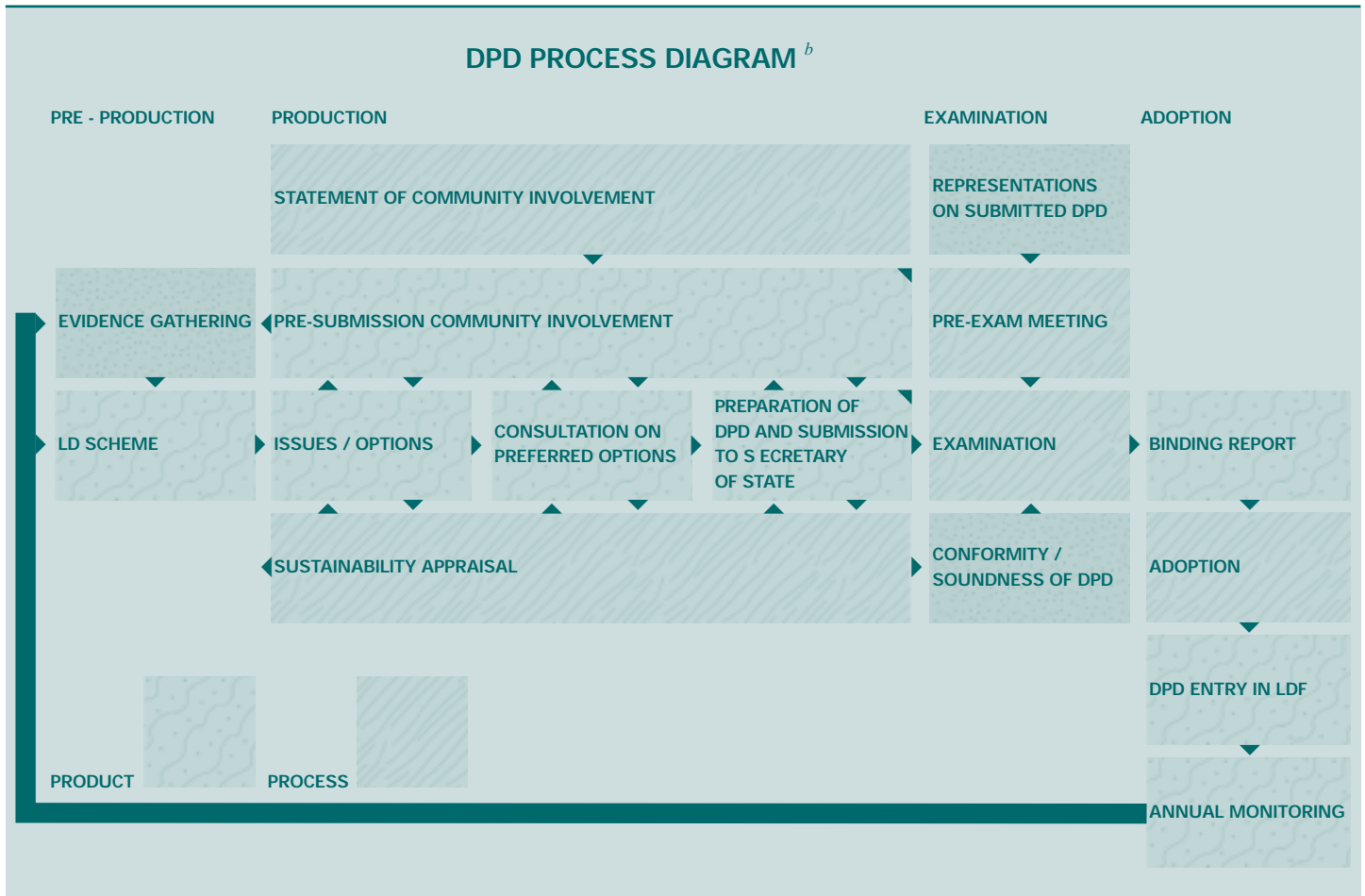
The Government also wants to see greater public involvement in the preparation of planning documents. The purpose is to increase everyone's understanding of the issues so that the resulting plan has public support.

A statement of community involvement should set out the local planning authority's policy for involving the community in the preparation and revision of all the local development documents and in major development control decisions. Local planning authorities should involve the community at an early stage and throughout the process of preparing a local development document. Techniques and standards for engaging the community should be set out in the statement so that the community know in advance how they are to be involved.

The statement of community involvement must be independently assessed by the Planning Inspectorate <sup>vii</sup> to ensure that it is shaped by public input. Once agreed the statement will be used by planning inspectors and the Secretary of State as well as by local people and other stakeholders. The statement should set out who will be consulted, both formally and informally.

*vii Planning inspectors are employed by the Planning Inspectorate which is an independent government agency*

The Government is preparing further guidance on statements of community involvement, and this is likely to be published early in 2004. There is useful guidance on consultation in 'Making Plans' published by ODPM in 2002.



<sup>b</sup> Source: *Creating Local Development Frameworks: Consultation Draft on the Process of Preparing Local Development Frameworks*. Office of the Deputy Prime Minister November 2003. It should be noted that this is a draft document and is subject to change prior to final publication.

<sup>viii</sup> The consultation draft dated October 2003 is available from the Office of the Deputy Prime Minister

## Preparation and approval of Development Plan Documents

There are four key stages in the preparation of a DPD:

- Pre-production
- Production
- Examination
- Adoption

The different stages are briefly described below. For a fuller description of the process look at the new Planning Policy Statement 12 (PPS12) on Local Development Frameworks <sup>viii</sup>.

### Pre-production

This stage gathers the information needed to produce the plan. The purpose is to ensure that policies and proposals are based on a thorough understanding of the needs, opportunities and constraints in the area. This requires local planning authorities to keep an up-to-date information base on all aspects of the social, economic and environmental characteristics of the area.

### Production

This stage begins with the sustainability appraisal and strategic environmental assessment. MPAs should ensure that environmental implications and alternatives required under SEA are considered as early as possible. It is at this point that consultation should begin so that the public can have a say in the identification and consideration of the alternatives and options. This contact with the public is described as the pre-submission consultation point.

In preparing waste and minerals documents, local planning authorities must consider the

wide range of policies and guidance referred to elsewhere in this report. The preferred options must be identified early on so that its possible consequences can be thoroughly assessed. Local planning authorities should publish the preferred options and proposals over a period of six weeks and consider all comments received so that they are taken into account in the development document that will be submitted.

The aim is to build consensus through continuous community involvement so that by the time the plan is ready to be submitted for independent examination by the Planning Inspectorate, further major changes will be unnecessary.

## Examination

When the local planning authority submits its DPD for independent examination it must publish a notice to invite representations, allowing six weeks for this. The representations received, including suggestions for alternative site allocations, must be summarised and published so that representations can also be made on these comments and proposals.

All participants should avoid bringing to the examination new material that has not been considered by the MPA during the production phase of the **Minerals Development Document (MDD)**. The local authority, however, cannot make changes to the submitted document before the examination because it is expected that if all the parties have been involved throughout the document's preparation changes should not be needed. Where, exceptionally, it does propose changes, they should be subject to the same process of publicity and representations.

All representations seeking changes to the document should be set out in a way that will enable the Inspector who takes the examination to reach a binding recommendation. At present an Inspector's recommendation is not binding; so this is a major change in the examination process.

## Adoption

After the examination the inspector will produce a report with binding recommendations. The local planning authority must incorporate the changes required by the inspector and then adopt the DPD. The inspector may recommend that certain matters are given further consideration and these should be brought forward as a review of the plan document.

**Review and monitoring** are key aspects of the Government's 'plan, monitor and manage' approach to the planning system. Local planning authorities must produce an annual monitoring scheme to assess the implementation of the Development Plan, the extent to which policies are being achieved and whether they need to be changed.

## Content of plans and local development documents

The MDD will include:

- The core strategy - a statement of core and specific policies
- Site-specific allocations and policies
- Area action plans where needed for key areas of change or conservation
- Development control policies which are criteria-based and ensure that development within the area fits the core strategy

Proposals maps for minerals and waste development documents could show <sup>ix</sup>:

- Areas of significant mineral resources subject to safeguarding policies and minerals consultation areas
- Safeguarding of areas for mineral working, handling and for recycling
- Areas of search and preferred areas for waste management development and mineral working (including allocations of secondary aggregates)
- Railheads and wharves safeguarded for bulk transportation (including minerals and waste)
- Land allocated for recycling of construction and demolition waste

<sup>ix</sup> There will be a consultation document on Minerals Policy Statement 1 in Spring 2004

*continues over*

- Consultation areas relating to hazards such as flooding, land instability and contaminated land
- Areas safeguarded for groundwater protection
- Areas designated for the protection of aquatic environments
- Areas designated for the conservation of exposed geological features

The proposals maps prepared by district councils in other documents must include safeguarded areas, minerals consultation areas and any minerals and waste allocations included in a county minerals and waste development plan document. Action Area Plans might be needed, for example, for areas within which mineral extraction is intensive.

## Minerals Plan Policies

Policies in regional and local documents must reflect government guidance in both Minerals Planning Guidance and Planning Policy Guidance. These are being replaced by **Minerals Policy Statements (MPS)** and **Planning Policy Statements (PPS)**. There is a list of all the PPGs/MPGs and the topics they address in Appendices A and B. The Planning Officers Society has produced guidance on how those documents affect minerals plans <sup>x</sup>. Some of the key headings in that report are set out below.

<sup>x</sup> *Guidance on Policies for Minerals Planning April 2003. See Planning Officers Society website, www.planningofficers.org.uk*

<sup>xi</sup> *Guidance on Policies for Minerals Planning April 2003. See Planning Officers Society website, www.planningofficers.org.uk. A landbank is a seven years stock of permitted reserves available for working. Its purpose is to ensure that industry has a continuity of supply*

**MEETING THE NEEDS OF SOCIETY** Plans should make appropriate provision for the supply of minerals. MPG6 Guidelines for Aggregate Provision in England (1994), which is in the course of being reviewed, requires the maintenance of a landbank <sup>xi</sup> equal to at least seven years extraction for sand and gravel. A longer period may be appropriate for crushed rock.

**REDUCING THE RELIANCE ON PRIMARY MATERIALS** Both minerals and waste local plans have a role to play in translating waste minimisation into practical proposals. In broad terms this means that:

- **WASTE** local planning authorities should address the production of alternatives to primary aggregates from waste minerals
- **MINERALS** local plans should address the use of waste materials as potential alternatives to minerals

**IDENTIFYING SITES AND AREAS FOR MINERAL EXTRACTION** While the plan should be as specific as possible about identifying sites for working there should be sufficient flexibility if circumstances change.

**SAFEGUARDING MINERAL RESOURCES** Plans play an important role in ensuring that known mineral deposits are available for exploitation when needed.

**PROTECTION OF THE COUNTRYSIDE, HISTORIC ASSETS AND NATURE CONSERVATION** Looking after the environment is at the heart of sustainability. There are nationally and locally important landscapes and sites of importance for bio-diversity and geodiversity that require positive protection. The countryside is also protected simply for its own sake. Sites of historic importance are regularly located on or near to minerals reserve sites and this often leads to archaeological activity that can make a major contribution to understanding our cultural heritage. Some aggregates quarries are of geological and geomorphological value. Plan policies can provide opportunities for financial or practical contributions towards the enhancement of all these assets <sup>xii</sup>.

<sup>xii</sup> *See PPG 9 Nature Conservation, PPG 15 Planning and the Historic Environment and PPG 16 Archaeology and Planning*

**ANCILLARY DEVELOPMENT** Minerals operators have certain limited rights under the General Permitted Development Order 1995 to erect or alter ancillary buildings and plant, subject to certain restrictions (MPG1). A wider range of development is permitted subject to the approval of the MPA.

**CONTROLLING MINERALS WORKINGS** Workings affect the environment and local residents, hence the need for environmental impact assessment in most cases. Workings affect the landscape, bio-diversity and geodiversity and they can also cause dewatering, noise,

blasting vibrations, dust, additional lighting and traffic.

**RESTORATION, AFTER-USE AND AFTERCARE** Minerals operations are a temporary activity. Sites should be restored at the earliest possible opportunity to a suitable after-use intended to maintain or enhance the quality of land, landscape, biodiversity and geodiversity. This may include leaving some rock faces exposed if they are of scientific or educational importance. The final use of the site may determine the way it is worked.

**CUMULATIVE IMPACT** A planning authority has a responsibility to ensure that incremental changes in the area resulting from past, present or reasonably foreseeable developments are acceptable.

**MINERALS WASTE** Mineral extraction often produces waste, some of which can be re-used for other purposes including restoration of the site. There are circumstances where the quantity of waste generated is not sufficient to complete the restoration of a mineral working, resulting in a requirement for material to be imported. The waste management implications then need to be taken into account. Aggregate extraction, by contrast, should not produce any waste; top- soil that is retained on site, for example, is used for visual screening or subsequent reinstatement.

**USE OF CONDITIONS AND AGREEMENTS** Policies in plans should provide the basis for these tools to control or reduce the impacts of mineral working.

**BORROW PITS** These are temporary workings on or near major construction projects. They are used solely to supply aggregates for the project, thereby minimising transport needs and impacts.

Other policies that could be included cover the MPA's approach to the review of minerals planning permissions every 15 years, together with how Section 106 contributions can be used. Provision for Section 106 contributions, also known as planning obligations, needs to be made in the development plan in a policy. They allow for a legal agreement whereby financial or other types of contribution, which result in some kind of additional benefit, can be offered and accepted. The circumstances under which they can be used are set out in a government circular DETR1/97, which is currently being reviewed.

## Sustainability Appraisals

In addition to the guidance in PPGs and MPGs (PPS and MPS) there is government guidance on sustainability appraisal. These run alongside the Strategic Environmental Assessment already referred to and will be mandatory when the Planning and Compulsory Purchase Bill comes into force.

In considering what a truly effective sustainability appraisal of a minerals development plan would be, the Planning Officers Society <sup>xii</sup> considers that it should:

- Form an integral component of all stages of plan preparation
- Embrace environmental, social and economic objectives
- Reflect global, national, regional and local concerns
- Take a long-term view of how minerals extraction in an area covered by the plan is expected to develop in a sustainable manner
- Assess the risk of triggering significant long term environmental effects that cannot easily be defined accurately on the basis of current baseline knowledge
- Take account of whether the landscape, biodiversity and cultural heritage value of an area can – or cannot – be protected or replaced over the long term
- Provide a mechanism for ensuring that strategic sustainability objectives are translated into sustainable planning projects on the ground
- Set out a reasoned justification of all judgements made, and actions and recommendations put forward
- Provide an audit trail of how the plan has been revised to take into account the findings of the appraisal

Sustainability appraisal and SEA are processes that run throughout plan preparation and monitoring of plans and programmes is needed so that remedial action can be taken.

<sup>xii</sup> *Guidance on Policies for Minerals*  
Planning Officers Society,  
April 2003

## STAGE 2 ENGAGEMENT WHEN NATIONAL AND REGIONAL POLICY IS IMPLEMENTED AT LOCAL LEVEL



### NATIONAL GOVERNMENT

- Provide clear guidance to MPAs on statements of community involvement and how this can be best achieved
- Take account of all the environmental effects that may be triggered
- Support consistent and rational decision-making through the Planning Inspectorate and the Secretary of State's own decisions



### REGIONAL GOVERNMENT

- Make sure that regional policies are responsive to local issues and kept up-to-date by effective monitoring and review processes.
- Make sure regional policies are responsive to all key environmental issues.



### LOCAL GOVERNMENT (INCLUDING MPAs)

- Positively adopt the implementation of the new legislation in respect of statements of community involvement
- Find new ways to involve the public and particular interest groups more effectively in the making of plans, both in terms of opportunity and techniques, including IT
- Make clear that the public appreciate that contributing to the planning process is the main way of influencing what will happen in their area
- Provide the public with the information necessary for them to make useful representations
- Make clear the extent to which the public's views can affect the outcome of what is being considered
- Ensure that the advice of all their specialist officers and consultants is fully reflected in their public consultation documents



### AGGREGATES INDUSTRY

- Support the implementation of the new legislation and statements of community involvement
- Provide the public at a local level with a greater understanding of the issues facing the industry, including society's wish for a better quality of life, the needs of shareholders and the effects of international competition
- Be prepared to explore other options and sites if the environmental consequences of working easier sites become unacceptable to local communities
- Seek constantly to minimise the externalities of its operations
- Find ways of sharing information without unduly compromising commercial confidentiality
- Remain open-minded and listen to views of other stakeholders and interest groups



## NGOs AND THE VOLUNTARY SECTOR

- Recognise the national need for aggregates
- Support the monitoring and review process by being prepared to become involved in a constructive way
- Keep itself informed on policy developments and changing circumstances
- Become involved in the development of statements of community involvement in a way that recognises the practical constraints that MPAs operate within and supports the collective vision of greater citizen participation
- Provide quality advice and data that contributes to the quality of planning decision-making
- Remain open-minded and listen to the views of other stakeholders and interest groups.
- Consult its members and those it speaks for, to ensure its positions have their support



## COMMUNITY STAKEHOLDERS

- Look out for and seek information on statements of community involvement and how community members can be involved
- Help MPAs work with local communities in a constructive way
- Be willing to organise themselves into groups so that they can contribute collectively when helpful, for example, at the examination stage
- Ensure that all members of the community are heard, especially those who may normally remain silent, and particularly when they may hold a different point of view
- Gather local information that would assist the decision-making process
- Encourage maximum possible disclosure to aid community involvement and achieve best consensus
- Make sure that representations are related to planning matters and are factual

## STAGE 2 ENGAGEMENT METHODS

- CONSULTATION PAPERS AND REQUEST FOR COMMENTS
- DELIBERATIVE WORKSHOPS
- STRUCTURED WEB-BASED PROCESSES
- PUBLIC MEETINGS
- DISPLAYS AND EXHIBITIONS IN LOCAL AREAS AND AT LOCAL EVENTS
- OPEN DAYS
- SUMMARY LEAFLETS
- PUBLICITY FOR CONSULTATION PROCESSES





# STAGE 3 Planning Applications for Minerals Extraction

This section focuses on the planning process as it relates to minerals extraction. The box at the end is divided into two parts, covering the scope for engagement before specific applications for aggregates works are submitted, and then the scope when permission is being sought.

The stakeholder workshop that set the brief for this document wanted to emphasise, in particular, the need for open engagement and dialogue at the pre-application stage.

## Pre-application discussions

Minerals Planning Guidance Note 2 emphasises the value of early discussion around applications so that operators and MPAs fully understand each other. It suggests, for example, that the MPA provides:

- Details of its policies
- Whether the operator's proposal is in accordance with the local development plan
- Any likely changes of policy in the near future which would affect such development e.g. amendments to the plan, consultation documents, or changes to national policy
- What extra information will be required before the application can be decided, including whether an EIA is likely to be required
- The organisations the applicant can approach for advice
- The organisations the planning authority will seek comments from concerning an application for such development

It also suggests that when a development is likely to have a large impact, operators should publicise their proposals and meet representatives of the community to explain their plans and listen to local concerns. At this time thought can usefully be given to the possible final use of the site.

This national guidance is currently being updated and a consultation paper on **Minerals Policy Statement 2 (MPS2)** was issued in February 2003.

The Planning Officers Society subscribes strongly to the concept of offering all necessary assistance to applicants to help them in pre-application discussions. In the publication 'A Good Practice Note for County Matter Planning Authorities – A Drive for Quality' <sup>xiii</sup>, the Society says that pre-application consultation/discussions with local residents, liaison committees and parish councils should be undertaken by the applicant <sup>xiv</sup>.

This position reflects the Planning Users Concordat, published by the Local Government Association in July 2000, which advocates joint developer/local planning authority pre-application public consultations for large scale and/or controversial proposals to help avoid misunderstandings and to allow modifications to proposals.

While pre-application discussions can speed up the decision making process once an application is submitted, there will be occasions when there are many substantial issues for negotiation and scheme improvements to resolve. In such situations, the authority should advise the prospective applicant accordingly of those issues, and discuss with them a timescale for concluding negotiations or providing additional information to enable the application to be determined. The applicant may then decide whether or not they still wish to submit the application and pay the associated fee.

## Applying for planning permission

Planning permission is required before minerals extraction can take place and this requires the approval of a MPA, which is either a county council or a unitary authority.

<sup>xiii</sup> Minerals applications are 'County Matters'

<sup>xiv</sup> See suggested Planning Officers Society protocol for pre-application discussions in Appendix 4 of Planning Officers Society Guide



A minerals planning application may be made on a special form that is designed to provide the basic information needed by the MPA. It is not possible to make an 'outline' planning application for minerals. There are several kinds of minerals planning applications:

- An application to make a new minerals working or to extend an existing working
- Applications for approval of specific further details and the discharge of conditions  
*These are details that do not affect the principle of determining a planning application (for example, landscaping) and can be left until closer to the time when they will be needed. The approval of such matters is commonly required by a condition attached to the planning consent; there will usually be a time by when approval has to be obtained*
- Applications to make changes (amendments) to the planning permission
- Full application of plant, or plant that is not permitted by the General Permitted Development Order
- A review of the conditions attached to an old mining permission when they have been in operation for 15 years <sup>xv</sup>.

All applications have to be considered in the context of the Development Plan (structure plan, minerals local plan, local plan and unitary plan or new Development Documents). Planning Policy Guidance 1 (Revised, General Policy and Principles, para. 40) makes this very clear: "Where an adopted or approved Development Plan contains relevant policies, s54A <sup>xvi</sup> requires that an application for planning permission or an appeal shall be determined in accordance with the plan unless material considerations indicate otherwise".

This requires an application for planning permission to be decided on what the plan says unless there are good planning reasons why a different decision should be taken. If a proposal is not in accordance with the Development Plan then usually that is the main reason why planning permission should be refused.

Hence, when mineral working is being considered, the starting point is always the development plan, and all proposals should be checked for their accordance with the plan. It is therefore important that everyone interested in a proposed mineral working is familiar with the policies in the Development Plan.

Some policies will address the issue of the after-use of the site. Mineral working is a temporary, if sometimes long-term use of land. When the mineral has been fully worked it is important that the land is capable of being restored to beneficial uses. The restoration of the site is always an essential aspect of any development and is usually determined at an early stage. The end use will vary from site to site but may include agriculture, woodland, both wildlife and geological conservation, public access or, less commonly, built development. Planning permission for built development will be generally dealt with by the District Council under its development control responsibilities.

### **'Material considerations'**

Important as the development plan is, it is not the only consideration when minerals extraction proposals are put forward. The MPA also needs to consider other factors, known as 'material considerations', which include:

- National policy or guidance
- Advice provided by statutory and other consultees

Material considerations could also include:

- Responses from statutory consultees such as the Highways Agency, Environment Agency, English Nature and English Heritage
- Supplementary Planning Guidance
- Recent national/ regional guidance
- Representations from members of the public
- Specific environmental impacts
- Demand for the aggregate

<sup>xv</sup> The Environment Act 1995 provided that sites with planning permission for the development consisting of the winning and working of minerals or involving the deposit of mineral waste must be reviewed every 15 years and, where considered necessary, new conditions imposed to ensure that they remain up to date

<sup>xvi</sup> The Town and Country Planning Act 1990

<sup>xvii</sup> See 'Good Practice Guide on Planning Conditions for Mineral Extraction and Waste Management Facilities' available from the Planning Officers Society.

It is not possible to make a precise checklist of what constitutes a material consideration because nearly every situation is different <sup>xvii</sup>. Occasionally the material considerations are so significant that they outweigh the importance of the development plan. MPAs sometimes have to make difficult decisions around this.

In fact, there are many matters that are not covered by planning. Powers exercised under other legislation include safety issues (Health and Safety Inspectorate), public health matters and noise nuisance (Environmental Health legislation) and the responsibilities of the Environment Agency, including water quality, water resources and pollution control. These are a few of the wide range of powers held in the interests of the public and operated independently of the planning system.

### Opportunities for public involvement in the planning decision

All planning applications have to be advertised by the MPA in a local newspaper and/or the display of a site notice <sup>xviii</sup>. However, an MPA has the scope to notify the general public more widely by:

- Direct notification by letter to a selected geographical area
- Multiple site notices
- Displaying plans in local community facilities
- Use of public meetings

District and parish councils must be consulted because they are 'statutory consultees', as are the local highways authority and many other public agencies.

A planning application may not be determined before the end of a 21-day period following advertisement and notification to allow time for comments on it. In practice, comments can usually be submitted later than this because of the usually complicated nature of mineral proposals. The public can write to the MPA and lobby councillors; the latter have to act in accordance with agreed procedures so that the integrity of their actions is not brought in to question <sup>xix</sup>.

<sup>xix</sup> There is a national Code of Conduct for Local Members i.e. councillors. The order setting out the code is the Relevant Authorities (General Principles) Order 2001. <http://www.hmsso.gov.uk>. There is also a code of conduct order for employees

Planning authorities are required to determine the majority of valid planning applications within eight or thirteen weeks of receiving them. Authorities should tell consultees this when their views are being sought, and should impress upon them the need to respond promptly.

### Environmental Impact Assessments

One of the first tasks of an MPA when it is approached by a minerals operator about a new planning application is to establish if an **Environmental Statement (ES)** is needed. Operators may also seek a formal view known as a 'screening opinion'.

An ES is always required where proposed quarries exceed 25 ha <sup>xx</sup>. An ES may also be required if there is likely to be a significant environmental impact and where, for example, the working might affect a **Site of Special Scientific Interest (SSSI)**. Part of the EIA/ES process is to establish how any adverse impacts might be 'mitigated', reduced or removed.

Before submitting an EIA it is good practice for the applicant to agree with the MPA, and preferably with other stakeholders too, the scope of the EIA so that it covers all the relevant issues and people have confidence in the process. An application submitted with an EIA that has not been so scoped is unlikely to be approved within the 16-week timeframe recommended for the determination of such applications, but in reality the approval process in minerals applications usually takes much longer anyway.

### How a Minerals Planning Authority approaches an application

In considering an application the MPA takes into account the development plan, material considerations such as the EIA, and also whether attaching certain conditions to a planning permission would make it acceptable when otherwise it would be refused.

<sup>xx</sup> Town and Country Planning (Environmental Impact Assessment) (England and Wales) Regulations

Conditions can only be applied when they are:

- Necessary
- Relevant to planning
- Relevant to the development to be permitted
- Enforceable
- Precise
- Reasonable in all other respects

There are a number of standard conditions that can be used and some of these are to be found in **Circular 11/95 on The Use of Conditions in Planning Permissions** <sup>xxi</sup>.

*xxi DoE 1995*

Not all aspects of a proposal which an MPA wishes to allow can be covered by conditions attached to a planning permission and planning legislation provides for 'planning obligations' which are also called Section 106 agreements after the relevant section of the Town and Country Planning Act. They provide a means to enable the proposed development to proceed and to meet the needs of the local community associated with the new development by securing developer contributions towards the provision of infrastructure and services. Through planning obligations, developers contribute towards sustainable communities and help ensure the success of new developments. What can be covered under a Section 106 agreement is set out in government guidance; this requires fair, open and reasonable negotiation of planning obligations <sup>xxii</sup>.

*xxii Currently the guidance is in DOE Circular 1/97 Planning Obligations*

### How a Minerals Planning Authority decision is made <sup>xxiii</sup>

Council officers must recommend to councillors whether an application should be approved, approved with conditions, or refused. The report must address the relevant development plan policies and include all 'material considerations' or the decision could be challenged in the courts. The report to the council committee that has the authority to take the decision has to be made available to the public five working days before the committee meets.

*xxiii See the Planning Officers Society Good Practice Guidance Note for County Planning Matters in Development Control – A Drive for Quality (2002) which covers minerals applications. This is available on their web-site. [www.planningofficers.org.uk](http://www.planningofficers.org.uk)*

Increasingly members of the public are allowed to speak before the decision is taken but their time is usually limited to three or five minutes, and one person may be asked to speak on behalf of a group sharing the same concerns.

Any councillor who has an interest in a proposal must declare that interest. Before the committee meets, councillors must keep an open mind about the proposal and not commit themselves to a particular decision until they have the report and have heard the views of the officers, other councillors and the public. On occasions councillors will visit a site before reaching a decision; they will be accompanied by their planning officers. Councillors can only take a decision against the recommendation of their officers on planning grounds.

Some planning applications are delegated to planning officers and these often do not go to committee. It is therefore important to find out whether an application is a delegated decision and under what-if-any circumstances it would be referred to committee. Complex and controversial applications are invariably referred to council committee for consideration.

In the event that planning permission is refused the applicant can appeal <sup>xxiv</sup>. Appeals against minerals planning applications are usually heard at an inquiry or hearing, and the decision is then taken by a planning inspector employed by the Planning Inspectorate. Anyone who objected to the application will have the opportunity to make further comments and to attend the inquiry. There is no third party right of appeal for a community or individual when an application has been given permission by the MPA with all material considerations taken into account. However, an application can be made to the High Court for Judicial Review if there has been an error in law in the decision or the process.

*xxiv Appeals have to be made within three months of the decision.*

## STAGE 3 ENGAGEMENT 1 BEFORE SPECIFIC PLANNING APPLICATIONS FOR AGGREGATE WORKS ARE SUBMITTED

MUCH OF THE CONSULTATION AND ENGAGEMENT WORK CURRENTLY UNDERTAKEN WHEN PLANNING APPLICATIONS ARE SUBMITTED COULD BE BETTER DONE AT THIS PRE-APPLICATION STAGE.



### LOCAL GOVERNMENT (INCLUDING MPAs)

- Support engagement to generate trust and reduce rumour and encourage stakeholders to respond to pre-application consultations
- Identify local stakeholder groups and communities
- Advise local communities and interest groups as soon as the possibility of operations in a particular locality is mooted
- Ask the industry to set out its proposals sooner and more thoroughly
- Start the work they would normally be doing formally after submission of an application
- Provide information in various ways, including the Internet



### AGGREGATES INDUSTRY

- Act to generate trust and reduce rumour
- Identify local stakeholder groups and communities
- Begin to engage with local communities and interest groups as soon as the possibility of operations in a particular locality is mooted
- Foster good and collaborative relationships with the communities in which it wishes to work or continue working



### NGOs AND THE VOLUNTARY SECTOR

- Discuss possible aggregates workings with the local MPA
- Develop confidence-building relationships with the minerals industry that lead to advance warning of extraction schemes
- Make the industry aware of concerns in particular areas well ahead of any possible workings (for example, enable the archaeological society to complete a dig or the conservation body to study the likely impact on habitat)



### COMMUNITY STAKEHOLDERS

- Monitor likely future planning applications and ask the local MPA to provide information about possible applications and the timetable for responses
- Stay in touch with key individuals and organisations
- Ensure the organisation's name is registered as a regular consultee
- Attend consultation meetings or local exhibitions
- Where planning permission is likely to be granted, establish relationships with operators and participate in liaison groups
- Alert the company and the planning authority to differences or contradictions in their consultation processes
- Think about using the Internet

## STAGE 3 PRE-APPLICATION ENGAGEMENT METHODS

- PUBLIC AND PRIVATE MEETINGS
- STAKEHOLDER WORKSHOPS
- EXHIBITIONS AND OPEN DAYS

## 2 WHEN PLANNING PERMISSION IS BEING SOUGHT



### NATIONAL GOVERNMENT

- Provide clear guidelines on national policy
- Encourage constructive engagement



### LOCAL GOVERNMENT (INCLUDING MPAs)

- Ensure lines of communication, such as regular accessible liaison arrangements and single points of contact
- Explain the planning application process in plain English
- Provide information as freely as possible through, for example, e-mail and the Internet
- Support liaison committees where appropriate and set out opportunities for engagement in planning protocols/charters
- Make a decision that balances local and national needs on planning matters with the interests and concerns of those likely to be affected
- Request and encourage input from all stakeholders, including offering guidance on making effective presentations to those attending committee meetings (i.e. tell them more than just how long they have)



### AGGREGATES INDUSTRY

- Ensure that all parties understand what is planned and what the likely impacts will be
- Encourage public meetings and exhibitions to explain what is proposed
- Create local liaison groups, in which parish councils should be involved, to ensure the distribution of accurate information
- Listen and network to develop partnerships, where appropriate, to advise and assist with after-use land management
- Where a local liaison group is impractical it may be possible to engage a Parish or District Councillor, or even to use advertising in local papers to build a solid information base
- Consider open days, door-to-door distribution of information, and other ways of explaining plans

*continues over*



#### NGOs AND THE VOLUNTARY SECTOR

- Attend key meetings and become well-informed in order to be able to assess and argue the merits and demerits of an application
- Form a clear and balanced overview of applications, indicating both positives and negatives
- Identify information gaps and help the community to formulate appropriate questions and interpret the answers
- Explore long-term opportunities, post-operations, for local amenities or for conservation
- Stay in touch with local communities and, particularly in the case of national NGOs, take a balanced view of social, economic and environmental needs



#### COMMUNITY STAKEHOLDERS

- Use every opportunity to make local issues clear to officers, councillors, and other officials.
- Build a relationship with the mineral operator to discuss issues openly.
- Make alliances and share information with other interested parties.
- Make representations on time and in clear and concise language.
- Search for and fill information gaps.
- As most communities are faced with extensions to existing operations, rather than entirely new applications, use pre-existing relationships between the community and the operator to explore options or articulate concerns.
- Where there are no such relationships, or if the application is wholly new, agree and organise representatives, build alliances with other local groups, seek and distribute information through parish newsletters, notice boards or bulletin boards.
- Consider the proposal in terms of its long term positive and negative impacts on the community as a whole before deciding whether to support, ask for changes, or try to get the application refused.
- Seek advice from planning experts, campaign groups or communities elsewhere which have had similar experience before deciding which course of action is most likely to produce the desired result.
- Review the history of the site and what has changed since it was last discussed, and make sure there is complete knowledge of any previous applications and what happened to them.
- Use organised site visits to take photographs and video pictures to illustrate the situation.

### STAGE 3 APPLICATION ENGAGEMENT METHODS

- EXHIBITIONS AND SITE VISITS
- JOINT COMMUNITY NEWSLETTERS
- ENGAGEMENT THROUGH THE FORMAL PLANNING PROCESS.



# STAGE 4 Operations

---

This section describes some of the issues that arise during the operations stage of aggregates workings, while the box at the end emphasises the importance of ongoing liaison between site operators and other stakeholders.

## **If planning permission is granted**

Although mineral workings are usually accepted to be temporary uses of land, many sites are long-lived. For example, hard rock quarries are often worked over decades. Sometimes the length of a permission is restricted to ensure that restoration takes place within a reasonable time.

Planning conditions are generally attached to permissions and can include a wide range of measures controlling environmental impacts, such as heavy goods traffic, dust and noise, in order to minimise the effect on local communities and the natural and historic environment.

Planning conditions need to be monitored and enforced and, although an MPA has enforcement powers to make an operator comply with conditions, they cannot provide constant surveillance. Local communities, however, are often aware of what is happening on a daily basis and are in a position to report problems to the operator and to the MPA. On occasion, however, an MPA, having secured appropriate evidence, may need to take action to enforce compliance with a condition. Sometimes it will be the Environment Agency or local Environmental Health officers that need to take the enforcement action. It is always, however, preferable that the resolution of such issues should be reached through dialogue and voluntary action rather than enforcement.

Draft MPS 2 suggests that operators should appoint a liaison officer and support a liaison committee where appropriate. Many MPAs are already encouraging liaison groups to monitor how work is proceeding and establish whether improvements or changes are needed. Such arrangements vary in their formality, from simple introductions and agreements to share information, to more regular and structured meetings.

Liaison groups can be very effective and there are already many examples of them in action. They are usually composed of councillors and officers from the local authorities (MPA, district and parish), residents and company representatives, and often chaired by the local county (or Unitary Authority) councillor or minerals officer. They meet every six months, or as required, and discuss current operational matters, working plans, proposed changes to operations on site and pending proposals. Meetings may be minuted or not according to local preference; the power of liaison groups lies in honest dialogue, mutual understanding, the sense of accountability, and the flexibility to tackle local issues promptly and outside any formal regulatory framework. They will also be able to make a contribution towards the fifteen-year review of the conditions attached to a permission. It is important for MPAs to maintain and foster dialogue but to remain neutral outside the scope of planning matters.

Liaison groups can also contribute by helping local residents to understand what is happening on site and sometimes by supporting open days and school visits. They can also encourage both company and community to think positively and creatively about the opportunities offered by an aggregates working. Exhibitions, signed walkways with explanation boards from which to view operations and background information on the history and geology of the site can all provide educational opportunities.

If planning permission is granted active archaeological excavations in particular, contributing to local understanding of the area's cultural heritage, have the potential to generate an enormous amount of public interest. The results can be disseminated through open days, travelling exhibitions, local museum displays and popular publications. Given the amounts of money operators pay to meet archaeological obligations, it would make sense to make more of the positive opportunities afforded by this work.

## STAGE 4 ENGAGEMENT DURING OPERATIONS



### LOCAL GOVERNMENT (INCLUDING MPAs)

- Encourage liaison groups and support community engagement
- Monitor compliance with planning permission and record breaches or variations from approved arrangements
- Make information freely available
- Appoint a point of contact for the operation and circulate to local community and neighbouring residents
- Publish annual site monitoring reports and/or report monitoring findings to liaison groups
- Establish and maintain a complaints procedure
- Ensure elected members are kept properly informed



### AGGREGATES INDUSTRY

- Environmental monitoring and reporting using ISO 9001:2001, ISO 14001:1996 and EMAS as appropriate, including self-audit of compliance with planning conditions
- Recognise the public relations value of displaying good environmental and archaeological management
- Explore with liaison groups the adoption of voluntary Traffic Plans to minimize traffic impacts
- Monitor complaints and notify the appropriate authorities of significant events
- Maintain liaison groups and engage with local communities
- Consider employee volunteering schemes to encourage involvement with local community
- Ensure the quarry manager's contact details are widely available
- Distribute information about operations, and particularly safety information, through newsletters, open days and employees
- Liaise with Regionally Important Geological and Geomorphological Sites (RIGS) groups and county Wildlife Trusts
- Provide information packs to local schools



### NGOs AND THE VOLUNTARY SECTOR

- Keep an eye on operations and keep the local community and MPA informed of developments
- Begin to talk about possible partnerships and projects for the post-operations stage
- Review the site operator's record of compliance with previous planning conditions
- Make every effort to attend liaison group meetings and site tours, especially where site restoration is the focus



### COMMUNITY STAKEHOLDERS

- Support liaison groups and report back to the community
- Monitor performance of liaison groups and other forms of community engagement and make sure concerns and complaints reach the right people
- Liaise with other groups in similar situations to take advantage of lessons learned and whatever good practice may emerge
- Keep in touch with the operator and MPA as necessary

## STAGE 4 ENGAGEMENT METHODS

- LIAISON GROUPS
- SITE OPEN DAYS AND TOURS





# STAGE 5 The Restoration and 'After-Use' Stages

---

This is the stage at which the role of local communities can arguably be most significant as, in liaison with other stakeholders, they build on the opportunities presented by the relinquishing of a site.

## Ongoing management

Usually it is the final form rather than the use of a site that is determined when planning permission is granted and there may be some scope to make changes during the operational stage. Most quarries are progressively restored throughout their life, often with restored areas being returned to beneficial uses while the quarry is still operating. Restoration plans are determined on a site-by-site basis in consultation with the landowner, the MPA, and sometimes the District Council if, for example, a building with a car park is needed for the final use or if the use is to be changed from say agriculture to recreation. After-use options can include a wide range of agricultural, recreational or nature conservation uses <sup>xxv</sup>. Geodiversity Action Plans, for example, call for the saving of exposed rock, sand and gravel, especially where sites have geological features of scientific, educational, historic or aesthetic importance <sup>xxvi</sup>.

Engagement at this stage can provide a variety of social, economic and environmental opportunities, some of which would not be possible while extraction continues. Sites may also be used for getting added value (coating plants, block production) from products. In some cases this may last past the date of extraction. Some sites are also used to process recycled construction and demolition waste.

Landfill was once seen as a good use of such sites but the government wants to see the amount of waste going to landfill sites substantially reduced so this use of land in the future is much less likely. Unless waste disposal is specifically referred to in the mineral working planning permission, it will require separate planning permission. There are different kinds of fill, for example inert fill or commercial or municipal waste.

If the restoration creates a public use, such as a park or nature reserve perhaps with water, it will need ongoing management in the medium term, which is likely to have been secured at the planning approval stage. Provision for the funding of this could have been made when planning permission was granted through a Section 106 agreement. In most cases it will be important to continue the local community liaison, as the experience gained during the operational stage can be very helpful for the future management of the site. It is often, in fact, the stage at which involvement and collaboration with a local community becomes most fruitful.

<sup>xxv</sup> *Bio-diversity Action Plans for a county, unitary authority or national park set targets for the creation of new habitats that may once have existed in the area but been lost. Also see 'Biodiversity and Minerals: Extracting the benefits for wildlife' (English Nature, QPA and SAMSA).*

<sup>xxvi</sup> *See 'Geodiversity and the Minerals Industry: Conserving our geological heritage' (English Nature, QPA and SAMSA).*

## STAGE 5 ENGAGEMENT WHEN OPERATIONS ARE COMPLETE

The scope for partnership delivery of after-use should be identified at the pre-application stage so that the requirements of likely partners are taken into account in quarry design and working practice. The details of partnership, such as land tenure, responsibilities and expected outputs, need to be addressed during working and before site restoration. Partners may be able to be engaged as specialist advisors during restoration and as after-use managers. Partnerships may be identified through liaison groups and/or the involvement of NGOs in the planning process.



### LOCAL GOVERNMENT (INCLUDING MPAs)

The primary role of government at the post-operation stage, assuming that the final use of the site has been decided, is to monitor the implementation of whatever has been agreed. Some people believe the use of agreements and 'restoration bonds' will assist this. In some cases government may also be called upon to identify or provide resources to support after-use.



### AGGREGATES INDUSTRY

Operators should continue to liaise and collaborate with local government, MPAs and local communities for as long as they have responsibilities for the site. The industry's experience of after-use can be invaluable: see for example the Quarry Products Association Restoration Awards brochure, which details many sites. (Visit [www.qpa.org.uk](http://www.qpa.org.uk)).



### NGOs AND THE VOLUNTARY SECTOR

There are good opportunities for local NGOs to take a leading role where restoration leads to a specific amenity, such as a nature reserve or an archaeology centre. Local educational establishments can become involved in the management of restored sites by helping to devise trails, leaflets and display boards and increase public awareness. These should include information about the geology of the place – the reason for its existence as an aggregates site.



### COMMUNITY STAKEHOLDERS

After-use options can include valuable recreational, educational, economic and environmental conservation opportunities that can enhance the quality of life for local communities. For these to be fully realised the community should be actively involved in exploring the options for after-use from the moment the original application is agreed to ensure that subsequent operations do not preclude those options. Thereafter collaboration and partnership lay the foundations for the future of the site.

## STAGE 5 ENGAGEMENT METHODS

- LIAISON GROUPS
- STAKEHOLDER DIALOGUE PROCESSES
- 'PLANNING FOR REAL'

# PART 2

## How to Engage Stakeholders

---

The second part of this document concentrates on the “how” of stakeholder engagement. It is divided into two sections. The first looks at the generic principles and key tasks involved in engagement; the second lists the various methods of engagement and the stages of the minerals operations process at which they may be relevant.

One point to make here is that while the subject matter may vary, the methods and processes of stakeholder engagement are fairly generic. The main features of engagement around aggregates extraction are the importance of site visits and the fact that mineral workings tend to last for many years, with a corresponding need for ongoing liaison with the local community.

# Principles of stakeholder engagement

---

Whatever the method of engagement used, the following principles help to ensure it is effective:

- **INCLUSIVENESS** Encourage the participation of all stakeholders who have an interest in or who would be affected by a decision, and make particular efforts to involve the marginalised and the 'silent majority'. Try to discover whether silence indicates apathy, indifference or consent.
- **TRANSPARENCY, OPENNESS AND CLARITY** Give stakeholders the information they need in a form they can afford and understand, tell them where information is lacking or things are uncertain, and indicate clearly what they can or cannot influence by contributing.
- **INDEPENDENCE** Using a neutral convener and independent facilitators, especially in highly polarised situations, helps to gain the confidence of stakeholders. It is difficult, and sometimes impossible, for a sponsoring organisation, whether local authority or private company, to facilitate an independent process, and the attempt to do so may in itself arouse suspicions.
- **COMMITMENT** Show respect for stakeholders by giving engagement the priority and resources it deserves.
- **ACCESSIBILITY** Provide different ways for people to be involved - the United Kingdom is a diverse and multicultural society and it is essential that people from all parts of the community are able to participate.
- **ACCOUNTABILITY** As soon as possible after the end of the engagement period, respond to participants with an account of how and why their contributions have - or have not - influenced the outcome, and ensure they are kept informed of final decisions and implementation plans.
- **PRODUCTIVITY** The ultimate purpose of all engagement is to improve things for all concerned to the maximum extent possible. Do not, however, be naive about this: however good an engagement process is, there are usually, on the ground, some winners and some losers.

Finally, how engagement processes are resourced is also important. Good engagement processes need both time and money. Running out of either is not only frustrating for all, it can actively undermine everything previously achieved; and remember that when and if a project starts, resources should be used to support ongoing liaison and communication among stakeholders.

# Key tasks

---

This section approaches stakeholder engagement from the point of view of somebody charged with conducting it. The 'you' in the following pages may be an officer in a local authority or a site manager in an aggregates company; it is probably less likely to be someone working for a voluntary or community organisation but it could be. The aim is to give this person a 'hands on' guide to making engagement work. The following chart takes you through the tasks that should help you decide the most appropriate form of engagement for your project.

Imagine that it is the 'pre-application' stage of a project – the stage at which a comprehensive engagement process will probably be most rewarding and is most crucially needed. (Timing is always important: too early and there may be too little information to work on; too late and it is harder to change things.)

An aggregates company is known to want to develop a new site or extend an existing site, and it is clear that all concerned – the company, the MPA, the council, and the local community all recognise the need to talk to each other about what is proposed.

## SUMMARY OF TASKS

**TASK 1 IDENTIFY WHAT THE PURPOSE OF ENGAGEMENT WILL BE AND THE STAKEHOLDERS WHO SHOULD BE INVOLVED**

**TASK 2 CHOOSE YOUR METHOD(S) OF ENGAGEMENT: YOU MAY WANT TO USE DIFFERENT TECHNIQUES TO REACH PARTICULAR PEOPLE, OR AT DIFFERENT TIMES IN THE DEVELOPMENT OF A PROJECT**

**TASK 3 IMPLEMENT THE ENGAGEMENT: SOME PRINCIPLES TO FACILITATE ENGAGEMENT PROCESSES**

**TASK 4 USE THE RESULTS**

**TASK 5 EVALUATION AND LEARNING: DISTIL ANY KEY LESSONS FOR FUTURE ENGAGEMENT AND, IF APPROPRIATE, REVISE TECHNIQUES USED TO REACH PARTICULAR PEOPLE**

## TASK 1 Identify purpose and people

### Purpose

Think about what you are really trying to achieve. Is it to:

- Lay the foundations for a long-term relationship with the local community?
- A better understanding in the community of why the site is necessary?
- Obtain help and advice from the community on how to be a good neighbour?
- Provide a better understanding of how the site will be worked?
- Gauge the extent of community concerns/opposition, and the feasibility of the project, having regard to planning policy and the costs of resolving issues?
- Prevent later problems?
- Comply with a statutory requirement?
- Ensure greater acceptance of the ultimate solution?
- Achieve several or all of these?

A clear sense of purpose will help you decide on the appropriate methods and who to engage. Do not be over-ambitious. Focus on what you most need to achieve and what will be most useful for the major local stakeholders, and remember that engagement is often constrained by the time and resources available to those sponsoring the process, and by the willingness of stakeholders to participate.

## People

For the purposes of these guidelines it is useful to categorise stakeholders into four main groups, remembering always that some people wear more than one hat, and that not all of them will be interested in every issue.

**STATUTORY CONSULTEES** This is the easiest group to define, because generally speaking they are pre-defined by regulation. Statutory consultees are bodies with which developers are 'required' to consult on planning applications, such as government agencies, local authorities, Minerals Planning Authorities and parish councils.

Some engagement processes (for example, informal local liaison groups) may not require the involvement of statutory consultees, but for more structured processes, such as deliberative workshops, it is good practice to involve them with all the other stakeholder groups. In some instances they may need to be treated differently from other stakeholders; for example they may be regulators (such as the Environment Agency) and may be unable to express views on possible solutions or ideas at an early stage.

**STRATEGIC STAKEHOLDERS** This group can be defined as people who represent organisations with particular interests, whose support of or opposition to a development would be significant, or who have particular information or expertise to offer. Examples include the Royal Society for the Protection of Birds (RSPB), the Quarry Products Association (QPA), Campaign for the Protection of Rural England (CPRE), the British Aggregates Association (BAA), county or local archaeological and historical societies, the Council for British Archaeology, Wildlife Trusts, Regionally Important Geological and Geomorphological Groups (RIGS) and Friends of the Earth (FoE).

Some of these organisations have local or regional groups who could be regarded either as strategic stakeholders or community stakeholders, depending on the expertise and interests of local members.

**COMMUNITY STAKEHOLDERS** This group includes individuals or organisations who are interested because they live in the community the development will affect; for example, interested individuals, local businesses, representatives of residents associations, clubs, faith groups etc. These community stakeholders can be the most difficult to engage with. They make up the 'silent majority' of people who may have no interest in minerals proposals until they are affected by them but then often become the most vocal. Every effort should be made to engage with this group even if this means repeated efforts or experimenting with different methods of engagement.

**ELECTED REPRESENTATIVES** Elected members (MPs and councillors) participate in community engagement processes in different ways. Some are constrained by being on Planning Committees; others would prefer to be involved in ongoing liaison groups rather than one-off meetings. Often elected members can become involved by chairing liaison committees and acting as catalysts to local engagement and partnerships.

## Finding the stakeholders

Developers and local authorities are usually well aware of their statutory consultees and, likewise, it is obvious that the business concerned, the site operator, the employees and shareholders are all stakeholders.

Community and voluntary sector stakeholders, however, are often harder to identify. The following questions can help to find the right people:

- Who will be affected, positively or negatively, by the site?
- Who supports or opposes the changes the site will bring?
- Who holds official positions in the area likely to be affected by the site?
- Who is influential in the local community?
- Who runs local organisations with economic, environmental or social interests?
- Who has been involved with similar issues in the past?

The easiest way to ensure as complete a list as possible is to start with the obvious ones and then ask them who else should be involved. Gradually the list will grow until the same names are being repeated and no new ones added. Even so, as the plans progress, more stakeholders may come forward, so the list should remain open.

One dilemma that often arises is whether to deal with 'official representatives' of particular bodies or 'splinter groups' who disagree with the official line. The best advice is to involve all stakeholders wherever possible on the grounds that, overall, difficult issues are usually tackled most effectively within a designed and structured process.

**STAKEHOLDERS WITH SPECIAL NEEDS** Some stakeholders may need assistance in order to participate on an equal footing. For example, consider whether material should be translated into another language, or, if you are thinking of holding meetings, find out whether possible venues have good access for the disabled.

For community stakeholders it may also be important to consider the timing of meetings, for example to avoid excluding those with children and to ensure that small business owners can attend without taking time off work.

## Motivations and constraints

When you have identified what you want to achieve and the stakeholders who need to be involved it is then useful to ask yourself:

- What will motivate these people to participate?
- How can individuals not affiliated with any group be kept involved?

Finally, think about what will constrain what you can do:

- How much time can people put into this?
- How much money and energy are people really willing to commit?
- How much administrative and other staff support do the organisers have?
- Who has the necessary skills to design, plan and deliver an engagement process?

Engagement processes can be time-consuming and expensive, and if local authorities or site operators are to devote resources to engagement processes they must be able to see real value coming from them. If well designed and properly run, however, they can save much time, energy and frustration, and they can bring benefits to a community beyond the requirements for overseeing an aggregates working. Involving local communities in the long-term future of a site can be particularly rewarding.

## TASK 2 Choose your method(s)

You are clear about the purpose of engagement. You know whom you wish to engage. You understand how it will fit with the planning context, and you have noted the practical considerations that may constrain your choices. You are now in a position to decide what method or methods of engagement to use.

Assess the different tools and techniques available to you in Section 3 below. Decide which of them will best enable you to involve the stakeholders you want to reach, address the issues and achieve the objectives you have set within the time, budget and other constraints you have identified.

Sometimes the choice of method is obvious. Most of the time you will probably begin by ruling out the engagement methods that are obviously not appropriate. For example, if your prime objective is to build better relations with a small group of stakeholders, you will not want to use a questionnaire. Equally, if you want to involve hundreds of people you will not want to use focus groups.

There are a wide range of tools and techniques for stakeholder engagement. These are not mutually exclusive and can be used in parallel on the same engagement exercise if that is what the circumstances require.

## TASK 3 Implementing engagement

Whichever your chosen engagement method, the following three elements need to work if the process overall is going to work:

### Timing

Allow enough time. This applies to everything from allowing enough time to gain the involvement of busy councillors or local business people, to ensuring the meeting schedules of neighbouring authorities fit in with your plans.

Don't call a public meeting at three days' notice, or send out a questionnaire requesting replies by the day before it was sent. This tends to make people think you are not interested in the answers.

Also build in time for analysing the results of your engagement process. If you receive several hundred detailed responses to a questionnaire, you need time to read them and collate the conclusions.

### Marketing and publicity

Ensure that key stakeholders are aware of the engagement process and encourage them to participate. Equally, give them a realistic idea of what it could achieve and do not raise expectations that cannot be fulfilled.

If you want a successful public meeting, advertise it well in advance (avoiding dates near national holiday periods when people are likely to be away) and send participants details of where it will be held, its purpose, and what you want them to contribute. Public meetings have a bad reputation, largely because they raise unrealistic expectations. The location of meetings and exhibitions is also important: make them as close to the site and the local community as possible – ideally in places familiar to the people who need to be attracted to them.

Use plain language and avoid jargon in all documents. Planning matters, in particular, are often described in language that seems designed to exclude the public. If you want to engage people, use language that lay people can understand. Ensure that there is always one person as a named point of contact on any document or letter who can explain what the engagement is about.



## Managing the process

Engagement fails when it raises expectations that it cannot deliver, when it excludes people who should be included, and when it appears to be biased in favour of a pre-determined outcome.

Engagement processes need careful managing if they are to be credible. The key is good communication: asking people what needs to happen, setting the boundaries of what is possible and what is not, making clear where opportunities for public contribution are greatest, checking that the process is delivering, being prepared to change tack if it is not, being ready to listen even when it is the last thing you want to do.

If a situation is complex or conflict is likely, give serious thought to asking an independent body to convene and manage the process. In particular, always consider using an independent facilitator to run meetings so that you don't have the same people both discussing the issues and deciding which issues should be discussed. This is a recipe for the loss of credibility.

## TASK 4 Using the results of engagement

Ideally engagement is a shared process with a shared outcome. Unlike a normal consultation process, usually somewhat adversarial in spirit, it is not a case of *them* responding to *us* and *us* deciding what to do with *their* responses.

Wherever possible – and of course it isn't always – it is a case of people with different interests getting together to prevent or resolve problems and coming up with solutions that everyone can live with.

The best results are, likewise, the results that people implement together: the operator and the school that collaborate to alert local children and their parents to the hazards of a quarry; the discussions that result in mutually acceptable controls over noise or dust; the agreement over where lorries should turn to reduce the annoyance caused by bleeping reversing warnings.

If your engagement process is more akin to a formal consultation process, and you request responses in writing, plan how you will respond to them before they arrive. Ideally, write and thank every person who responds, send them any conclusions and tell them when they can expect to hear the results of the process.

It is always a good idea to show people the entire extent of opinion received so that they appreciate the full range of views. Sometimes this will mean you produce a detailed 'response document' dealing with specific comments made by stakeholders, and explaining how they were accommodated, or if not why not. If it is your job to decide which responses to take on board, and which to reject, ensure you keep detailed records of what you accept, what you reject and why.

If you do not have the resources to do this, perhaps you should use a different method. Nothing irritates stakeholders and devalues the whole idea of community engagement more than the feeling that those doing it are indifferent to the results.

## TASK 5 Evaluation and learning

You will want to evaluate the engagement process and outcomes, both to check that you have met your original objectives, and to distil any key lessons for future engagement that you may undertake. Evaluation at the end of a process can also give stakeholders an opportunity to say how they felt about it.

Evaluation does not have to be onerous. A basic approach could be to revisit the original objectives and ask yourself to what extent they were fulfilled, and if not, why not? Should you have done something differently so that you did meet them, or were the objectives not appropriate in the first place? Build in evaluation at each stage: ask people how they heard of the meeting or exhibition, whether they found it useful, and what suggestions they might have for future events or communications. A newsletter can also be a useful way to continue the evaluation process.

It is always important to think about who participated and whether they were the right people. What sort of participation did you get? Participation is only one part of assessing the success of an engagement process, but you will want to be sure that you reached the numbers of people you feel validated the exercise, and that you reached the key stakeholders.

Then you will want to think about the methods you used. What worked well and what worked less well? What was it like from the participants' point of view? Were there any specific comments from stakeholders that you need to bear in mind in designing future engagement processes?

Finally, have a look at the costs, in time and effort as well as money. Did you spend too little or too much for the results you got? What would you do differently next time?

# Engagement methods

---

While the main focus of this document is on methods for engaging local communities, for the sake of thoroughness methods more formal than those normally used in community contexts are also included. Consultation papers, for example, are widely used in national policy-making, somewhat less by local authorities, and very rarely to seek feedback on specific sites.

## Consultation paper and request for comments

One of the most common methods of public engagement is the distribution of a written consultation paper and the request for responses. It is included here because it is widely used by central and local government and often described as a method of engagement, although in practice it often does not reflect the principles of engagement as defined earlier.

Consultation documents may vary according to the audience, from technical reports to brief summaries for the public. Presentation also varies from the plain to the glossy. If well written and carefully targeted they can help inform and encourage detailed feedback; they can also help raise interest and stimulate involvement in other forms of engagement.

Generally a document is sent to 'interested parties' who are asked to comment by a certain date: it is good practice to allow 12 weeks for written engagement processes. It may also be made available via a website, local library or other means for others to comment. Where a website is used an e-mail address is usually provided for written submissions. In some cases written consultation documents have a series of questions to help people frame their responses. In due course a digest or summary of the responses received should be published.

Consultation papers are straightforward and well understood and can be good for getting detailed input on policies and proposals from professionally and technically qualified stakeholders. They can also encourage participation in public exhibitions or at public meetings.

But written consultation processes have severe limitations. If large numbers of responses are received, it is often difficult and resource intensive to analyse and use the comments. It is difficult to provide clear feedback on comments to individual stakeholders, and it is not a good method for getting input from community stakeholders or from less paper-focused or otherwise marginalised groups.

Consultation papers generally allow people to state their considered view or position but do not on their own foster increased understanding among stakeholders or encourage ownership of problems or solutions – which is why they are only 'engaging' in a limited sense.

## Deliberative workshops

A deliberative workshop involves a relatively small group of people (normally 10–40 from a cross section of the public), who are given access to detailed information and asked to discuss an issue in depth. At the end of the process they are asked to develop a vision, or a set of views or recommendations.

These are good processes for understanding likely public views on issues once people are more informed. They are most often used to consider subjects of national significance, such as genetic modification or climate change. In the context of aggregates, they might be useful for helping to shape national policy or discovering more about people's priorities in terms of land use. The down side is that such processes are resource intensive, they only work well with a small number of participants, and are not necessarily 'stakeholder' engagement processes in that they may only be stakeholders in the way that anyone is a stakeholder in an issue of national significance.

## The Internet

There are a number of techniques for engagement via the Internet:

- Stakeholders can gain access to draft or consultation documents (given appropriate publicity)
- People can participate in on-line conferences, e-mail exchanges and electronic forums
- Electronic surveys and questionnaires can be used in place of conventional polling methods
- An initiator can use specially designed software to enable stakeholders to participate in structured processes offering a number of iterations with feedback loops
- Electronic newsletters can provide information and updates on processes

The Internet enables the potential involvement of very large numbers of stakeholders for relatively little cost and can allow all stakeholders to see the comments of all other stakeholders. Comments can be analysed systematically and in an automated or semi-automated way. Electronic processes are also excellent for people who do not like going to meetings or might not respond to a conventional written consultation process.

Internet access, however, although steadily increasing, may still exclude some stakeholders. Even with Internet access, many people simply prefer traditional communication methods. It is also not good for building personal relationships among stakeholders, and misunderstandings may be harder to correct.

## Community information gathering

Opinion surveys, interviews, and questionnaires, using post, telephone and personal visits, 'focus groups' and Internet-based processes are all direct and effective ways to gather information about stakeholders' views. They can be extremely useful in reaching non-affiliated stakeholders (i.e. those most difficult to reach through community based groups, who may also be labelled as 'the silent majority') and they can take advantage of existing channels of communication, such as parish newsletters. They may even stimulate some of those individuals to become more actively engaged.

Community information gathering can collect a wide range of views using fairly limited resources of time and money; it can provide an accurate feel for a situation; and it can get feedback from the most difficult to reach stakeholders. It is useful for an MPA needing to gauge public opinion in a specific area. The limitation, as with consultation papers, is that people can express views and positions but there is no opportunity for them to challenge each other or take ownership of problems and solutions.

## Private meetings

These involve the engaging body (possibly with an independent researcher or independent facilitator) meeting individual stakeholders or groups of stakeholders privately to discuss the issues. Such meetings enable stakeholders' issues and concerns to be addressed directly, and accurate information can be given in direct response to specific questions. They also enable direct communication and personal links to be established.

However, private meetings can raise suspicions about private deals and agreements behind the backs of others so should be used sparingly if at all. They are also of limited use if it is important for different stakeholder groups to communicate with each other.

Private meetings, if they are to be used at all, are often best used at the start of a process, where it is important to establish all the issues, possible concerns and barriers and build relationships with groups or individuals.

## Public meetings

Public meetings often get a bad press and when badly conceived or badly run – as too many are – they can do more harm than good. But public meetings can demonstrate a willingness to talk to a wide audience and face public criticism.

The best public meetings are those where there has been some prior investment in good design and preparation, ideally in consultation with some of those likely to attend. They need to be advertised, a crèche and refreshments offered, and invitations sent to key stakeholder groups to ensure a good attendance. Add speakers with different views, an independent facilitator if the meeting is likely to be at all hostile, and someone to record proceedings accurately and visibly, and the result can be a stimulating and creative event.

Be aware, however, that large public meetings can inhibit many stakeholders, encourage pre-determined statements of position and therefore polarise further differences among stakeholders, discouraging interaction and the exploration of ideas and solutions to problems.

Public meetings are often best used to launch other forms of engagement. If there is already controversy around the subject it may be useful to invite speakers from different sides of the argument, or set up the event as a 'Question time' with people with different views and expertise on the panel. Towards the end, there can be discussion about how to take matters forward, some sort of interim steering group can be formed with representatives of the main stakeholders, and that group can then recommend what should happen next.

## Stakeholder workshops

Workshops of one form or another are the staple diet of processes described variously as 'public participation' or 'stakeholder dialogue' or 'stakeholder engagement'. Probably the most significant characteristic of such workshops is that the initiators and the stakeholders decide together what needs to be discussed and how to do it.

Workshops can be one-off events lasting one or two days, or they can be part of a sequence stretching over many months or years and complemented by other engagement methods. They can achieve results, such as relationship-building and real involvement, that other processes cannot.

Workshop-based processes can, however, be slow, complicated and costly compared with other forms of engagement, depending on how many are held. Ideally they require independent professional design and facilitation; some control of the process must be surrendered to the stakeholders; and they can be exclusive, favouring the involvement of relatively limited numbers of 'professional' stakeholders.

## Planning for Real

Planning for Real is a process trademarked by the Neighbourhood Initiatives Foundation ([www.nifonline.org.uk](http://www.nifonline.org.uk)). It is a whole process of community participation that starts by making contacts throughout a community and ends with an action plan for taking forward the decisions made during the process.

The distinctive aspect of the process is the use of large-scale maps and three-dimensional models to help people start with an overview of their community. Then through discussion and the use of various techniques to help them visualise and experience possible options for how their community and its surroundings might change, participants gradually develop more detailed plans.

Planning for Real is a powerful process that puts the initiative for change and regeneration in the hands of those who have to live with the results. It could be a useful process to help local stakeholders to think through the long-term options for restoration and after-use of an aggregates site.

## Exhibitions and site visits

Many organisations find exhibitions very useful as a means of explaining projects and gathering the reactions of those who view them. They are particularly useful where a project may involve visual impact; for example, an exhibition can give people a good idea of what a mineral extraction operation might look like from different directions.

A picture is worth a thousand words: exhibitions enable people to see what you want them to understand, and can be set up in public places such as shopping centres. Likewise a site visit is invaluable to increase understanding of what is involved – though obviously it must be carefully planned and attention paid to health and safety issues.

Both exhibitions and site visits are good for conveying information and involving people who would be inhibited by or unable to attend a public meeting. It is important to ensure knowledgeable staff are on hand to answer questions, and it is useful to provide feedback forms to collect comments from visitors.

Exhibitions and site visits in isolation do not constitute an engagement process but they are a useful tool to seek feedback once specific ideas are on the table and to canvass public opinion, and they are especially valuable when used in conjunction with other forms of engagement. They can also be used to collect the names and addresses of stakeholders for future liaison and engagement purposes.

Finally, the idea of exhibitions and site visits can be extended to include schools programmes, archaeological presentations and heritage trails – all of which can help to present the results of aggregates extraction-related archaeological work to local communities and visitors, and can help to play a part in post-quarrying restoration. Displays can include explanations of the industrial archaeology of extraction and the quarrying processes used to create the landscapes visible today.

## Liaison groups

Minerals projects last for many years, often becoming part of the local scenery and – especially if the pre-application and application stages were well managed, the community's views properly considered and any agreed mitigation measures implemented – the operators accepted as good neighbours by those around them.

The process of becoming and remaining a good neighbour is much facilitated by regular liaison meetings between the site operator, the regulator and the local community. Liaison group meetings may begin at any stage of the extraction process, with their purpose changing as the development progresses, and they may range from the completely informal to the relatively formal.

Such meetings provide opportunities for community representatives to raise issues of concern, to bring matters to the operator's attention, or to monitor particular issues or changes as they occur. They also enable the operator to explain operations and to seek opportunities to contribute to local organisations or to ensure local homes and schools are kept informed of safety measures etc.

There is one aspect of liaison group meetings that should always be remembered. Over a period of time members of such a group can be perceived by those outside it to have developed unduly close relationships with the site operator.

The dangers of this can be prevented by the group writing and distributing full accounts of every meeting, ensuring its members retain close links with the community whose interests they are representing, and holding an annual meeting or open day on site.



# APPENDIX A

## Minerals Policy Guidance

---

These can be found at [www.odpm.gov.uk](http://www.odpm.gov.uk) under the heading of 'Planning' and the sub-heading of 'Planning Policy'

**Note** This is not the complete list; those dealing with non-aggregate minerals are not listed.

- MPG1** General Considerations and the Development Plan System
- MPG2** Applications, Permissions and Conditions
- MPG4** Revocation, Discontinuation, Prohibition and Suspension Orders Town and Country planning (Compensation for Restriction of Mineral Working and Mineral Waste Depositing) Regulations 1997
- MPG5** Stability in Surface Mineral Workings and Tips
- MPG6** Guidelines for Aggregates Provision in England
- MPG7** Reclamation of Mineral Workings
- MPG8** Planning and Compensation Act 1991: Interim Development Order Permission (IDOs) – Statutory Provisions and Procedures
- MPG9** Planning and Compensation Act 1991: Interim Development Order Permission (IDOs) – Conditions
- MPG11** Control of Noise at Surface Mineral Workings
- MPG14** Environment Act 1995: Review of Mineral Planning Permissions
- MPS2** Controlling and Mitigating the Environmental Effects of Minerals Extraction in England (Draft)

# APPENDIX B

# Planning Policy Guidance

---

These can be found at [www.odpm.gov.uk](http://www.odpm.gov.uk) under the heading of 'Planning' and the sub-heading of 'Planning Policy'

- PPG1** General Policy and Principles
- PPG2** Green Belts
- PPG3** Housing
- PPG4** Industrial and Commercial Development and Small Firms
- PPG5** Simplified Planning Zones
- PPG6** Town Centres and Retail Developments
- PPG7** The Countryside: Environmental Quality and Economic and Social development
- PPG8** Telecommunications
- PPG9** Nature Conservation
- PPG10** Planning and Waste Management
- PPG11** Regional Planning
- PPG12** Development Plans
- PPG13** Transport
- PPG14** Development on Unstable Land
- PPG15** Planning and the Historic Environment
- PPG16** Archaeology and Planning
- PPG17** Planning for Open Space, Sport and Recreation
- PPG18** Enforcing Planning Control
- PPG19** Outdoor Advertisement Control
- PPG20** Coastal Planning
- PPG21** Tourism
- PPG22** Renewable Energy
- PPG23** Planning and Pollution Control
- PPG24** Planning and Noise
- PPG25** Development and Flood Risk

# APPENDIX C Resources

## Further reading

### **Biodiversity and Minerals: Extracting the benefits for wildlife**

published by English Nature, QPA and SAMSA

### **Campaigners' Guide to Minerals**

published in 1996 by the Council for the Protection of Rural England

### **Evaluating Participatory, Deliberative and Co-operative Ways of Working**

published by Interact – available to download at [www.interactweb.org](http://www.interactweb.org)

### **Geodiversity and the Minerals Industry: Conserving our geological heritage**

published by English Nature, QPA and SAMSA

### **Good Nature Conservation Practice in the Minerals Industry**

(Research report no.160), published in 1995 by English Nature

### **A Good Practice Guide for County Planning Authorities on Monitoring and Enforcing Planning Permissions**

published by the Strategic Planning Authorities Benchmarking Network (SPABN) - available to download from [www.spabn.gov.uk/docs/monenf.pdf](http://www.spabn.gov.uk/docs/monenf.pdf)

### **Good Practice Guide on Planning Conditions for Mineral Extraction and Waste Management Facilities**

published by the Planning Officers Society, available at [www.planningofficers.org.uk](http://www.planningofficers.org.uk)

### **A Good Practice Note for County Matter Planning Applications: A Drive for Quality**

published by the Planning Officers Society, available at [www.planningofficers.org.uk](http://www.planningofficers.org.uk)

### **Guidance on Policies for Minerals Planning**

published by the Planning Officers Society and ODPM, available at [www.planningofficers.org.uk](http://www.planningofficers.org.uk)

### **Mineral Site Restoration and Enhancement – A Good Practice Guide**

published by Surrey County Council

### **Planning and Environmental Protection: A Good Practice Guide**

published in 2001 by the Royal Town Planning Institute and available at [www.rtpi.org.uk](http://www.rtpi.org.uk)

### **Planning with Communities – a good practice guide**

published in 2002 by the Royal Town Planning Institute and available at [www.rtpi.org.uk](http://www.rtpi.org.uk)

### **Quarrying and the Local Community**

published by the Quarry Products Association

### **The RIGS Handbook on the conservation and interpretation of Regionally Important Geological and Geomorphological Sites (RIGS)**

available to download from the UKRIGS website at [www.ukrigs.org.uk](http://www.ukrigs.org.uk)

### **The Strategic Environmental Assessment Directive: Guidance for Planning Authorities** (European Directive 2001/42/EC)

## Useful websites

### **Stakeholder engagement and aggregates**

The Environment Council [www.the-environment-council.org.uk/aggregates](http://www.the-environment-council.org.uk/aggregates)

### **Planning**

Office of the Deputy Prime Minister [www.odpm.gov.uk](http://www.odpm.gov.uk)

Planning Officers Society [www.planningofficers.org.uk](http://www.planningofficers.org.uk)

Quarry Products Association [www.qpa.org](http://www.qpa.org)

### **Stakeholder engagement**

The Environment Council [www.the-environment-council.org.uk](http://www.the-environment-council.org.uk)

InterAct [www.interactweb.org.uk](http://www.interactweb.org.uk)

Dialogue by Design [www.dialoguebydesign.com](http://www.dialoguebydesign.com)

Neighbourhood Initiatives Foundation [www.nifonline.org.uk](http://www.nifonline.org.uk)

Institute of Cultural Affairs [www.ica-uk.org.uk](http://www.ica-uk.org.uk)

InterAct Networks [www.interactnetworks.co.uk](http://www.interactnetworks.co.uk)

### **Examples of archaeological site reports**

Cotswold Archaeological Trust [www.cotswoldarch.org.uk](http://www.cotswoldarch.org.uk)

Oxford Archaeology [www.oxfordarch.co.uk/pages/links.htm](http://www.oxfordarch.co.uk/pages/links.htm)

The Boxgrove, West Sussex excavation <http://ucl.ac.uk/boxgrove>

# APPENDIX D Common acronyms

---

<b>AONB</b>	Area of Outstanding Natural Beauty	<b>ODPM</b>	Office of the Deputy Prime Minister
<b>BAP</b>	Biodiversity Action Plan	<b>POS</b>	Planning Officers Society
<b>DPD</b>	Development Plan Document	<b>PPG</b>	Planning Policy Guidance
<b>EIA</b>	Environmental Impact Assessment	<b>PPS</b>	Planning Policy Statements
<b>EIP</b>	Examination in Public	<b>RAWP</b>	Regional Aggregates Working Party
<b>ES</b>	Environmental Statement	<b>RDA</b>	Regional Development Agency
<b>HRA</b>	Human Rights Act	<b>RIGS</b>	Regionally Important Geological and Geomorphological Site
<b>LDD</b>	Local Development Document	<b>RPB</b>	Regional Planning Boards
<b>LDF</b>	Local Development Framework	<b>RPG</b>	Regional Planning Guidance
<b>LGAP</b>	Local Geodiversity Action Plan	<b>RSS</b>	Regional Spatial Strategies
<b>MDD</b>	Minerals Development Document	<b>SCI</b>	Statement of Community Involvement
<b>MLP</b>	Minerals Local Plan	<b>SEA</b>	Strategic Environmental Assessment
<b>MPA</b>	Minerals Planning Authority	<b>SSSI</b>	Site of Special Scientific Interest
<b>MPG</b>	Minerals Planning Guidance	<b>T&amp;CPA</b>	Town and Country Planning Act 1990
<b>MPS</b>	Minerals Policy Statement	<b>UDP</b>	Unitary Development Plan
<b>MPS2</b>	Minerals Policy Statement 2		
<b>NGO</b>	Non-Government Organisation		

# How this Document was Produced

---

This project began with a workshop on 7 July 2003, which was attended by approximately fifty stakeholders from the aggregates industry, government departments and agencies, local authorities, NGOs and community groups and representatives. The workshop participants explored the issues around engagement in the context of aggregates extraction and discussed the possible scope, structure, format and content of the proposed guidance.

A first draft of the guidance was then prepared by The Environment Council and Dialogue by Design, assisted by a minerals planning consultant to advise on legal and technical aspects, and particularly the new guidance issued by the Office of the Deputy Prime Minister in October 2003. This preliminary draft was reviewed by a core group of cross-sectoral stakeholders and changes were made prior to an internet review process.

This review process gave a much wider group of stakeholders the opportunity to make comments online. These were collated and incorporated into a second draft of the guidance and the process was repeated twice for participants to see how their comments had been included and to make further suggestions.

While this document cannot guarantee good practice in every stakeholder engagement process, it does provide suggestions as to how to reach it. In making recommendations and suggestions which refer specifically to the different stages and groups involved in aggregates it enables all stakeholders to play a more active and appropriate role in the planning, extraction and restoration process.

# Organisations who Participated

---

The following organisations participated in the development of this document:

- ACTION WITH COMMUNITIES IN RURAL ENGLAND
  - AGGREGATE INDUSTRIES UK LTD
  - ASHBY WOULD'S FORUM
  - BRITISH AGGREGATES ASSOCIATION
  - BUILDING RESEARCH ESTABLISHMENT
  - CENTRAL RIVERS INITIATIVE
  - COUNCIL OF BRITISH ARCHAEOLOGY
  - COUNCIL OF NATIONAL PARKS
  - COUNCIL FOR THE PROTECTION OF RURAL ENGLAND
  - COUNTRY LANDOWNERS ASSOCIATION
  - ENVIRONMENT AGENCY
  - ENVIRONMENT COUNCIL
  - FOSTER YEOMAN LTD
  - FRIENDS OF THE EARTH – SOMERSET
  - GILL PAWSON PLANNING
  - GREEN BALANCE
  - HANSON AGGREGATES UK LTD
  - HANSON PLC
  - J CLUBB LTD
  - LOCAL WILDLIFE TRUST- WARWICKSHIRE
  - MENDIP ENVIRONMENT FORUM
  - MINERAL INDUSTRY RESEARCH ORGANISATION
  - NORTHUMBERLAND AND NEWCASTLE SOCIETY
  - OFFICE OF THE DEPUTY PRIME MINISTER
  - PIITSFORD QUARRY LIAISON GROUP
  - PLANNING OFFICERS SOCIETY
  - QUARRY PRODUCTS ASSOCIATION
  - RAMBLERS ASSOCIATION
  - READY MIX CONCRETE GROUP PLC
  - ROYAL INSTITUTE OF CHARTERED SURVEYORS – MINERALS AND WASTE FACILITY
  - ROYAL SOCIETY FOR THE PROTECTION OF BIRDS
  - ROYAL TOWN PLANNING INSTITUTE
  - SHILTON ACTION GROUP
  - SOMERSET QUARRY LIAISON COMMITTEE 1
  - SWALE AND URE WASHLANDS PROJECT
  - UKRIGS
  - WASTE AND RESOURCES ACTION PROGRAMME
  - WILDLIFE AND COUNTRYSIDE LINK
- ## COUNTY COUNCILS
- BUCKINGHAMSHIRE
  - CAMBRIDGESHIRE
  - ESSEX
  - GLOUCESTERSHIRE
  - HAMPSHIRE
  - HERTFORDSHIRE
  - KENT
  - LEICESTERSHIRE
  - NORTHUMBERLAND
  - MILTON KEYNES
  - OXFORDSHIRE
  - SOMERSET
  - STAFFORDSHIRE
  - SUFFOLK
  - DEPARTMENT FOR THE ENVIRONMENT FOOD AND RURAL AFFAIRS
  - ENGLISH HERITAGE
  - ENGLISH NATURE
  - ENSTONE PLC

The inclusion of any organisation or company in this publication does not in any way imply its endorsement of the document. Organisations listed as participants either attended the initial stakeholder workshop or provided comments on the document.

The contents of the document are not necessarily the opinion of The Environment Council or its employees.

# Project Funders

---

The development of these Guidelines is being managed by The Environment Council and funded by the **Aggregate Levy Sustainability Fund (ALSF)**, using grants allocated through the Office of the Deputy Prime Minister and coordinated by the Mineral Industry Research Organisation.

The Sustainable Land-Won and Marine Dredged Aggregate Minerals Programme was established by The Office of the Deputy Prime Minister as a mechanism to provide funding for aggregate minerals research that is consistent with the objectives of the ALSF and is broadly in line with the aims of the construction aggregates component of the ODPM's Planning Research Programme. The programme is managed by the Mineral Industry Research Organisation (MIRO) on behalf of the ODPM.

The Mineral Industry Research Organisation (MIRO) is the pre-eminent international provider of collaborative research project management to the minerals and related industries. MIRO works in partnership with industry, government, research and service providers to identify, influence, fund, transfer, deliver and communicate information and relevant, innovative research and technology development to address the needs of stakeholders in the sector. MIRO's role contributes towards improved communication, safety and environmental performance at all stages of the materials life cycle, meeting the challenges of sustainable development and increasing the positive image of the minerals sector.

This publication, and references within it to any methodology, process, service, manufacturer, or company do not constitute its endorsement or recommendation by the Office of the Deputy Prime Minister or the Minerals Industry Research Organisation.



# Notes

---



