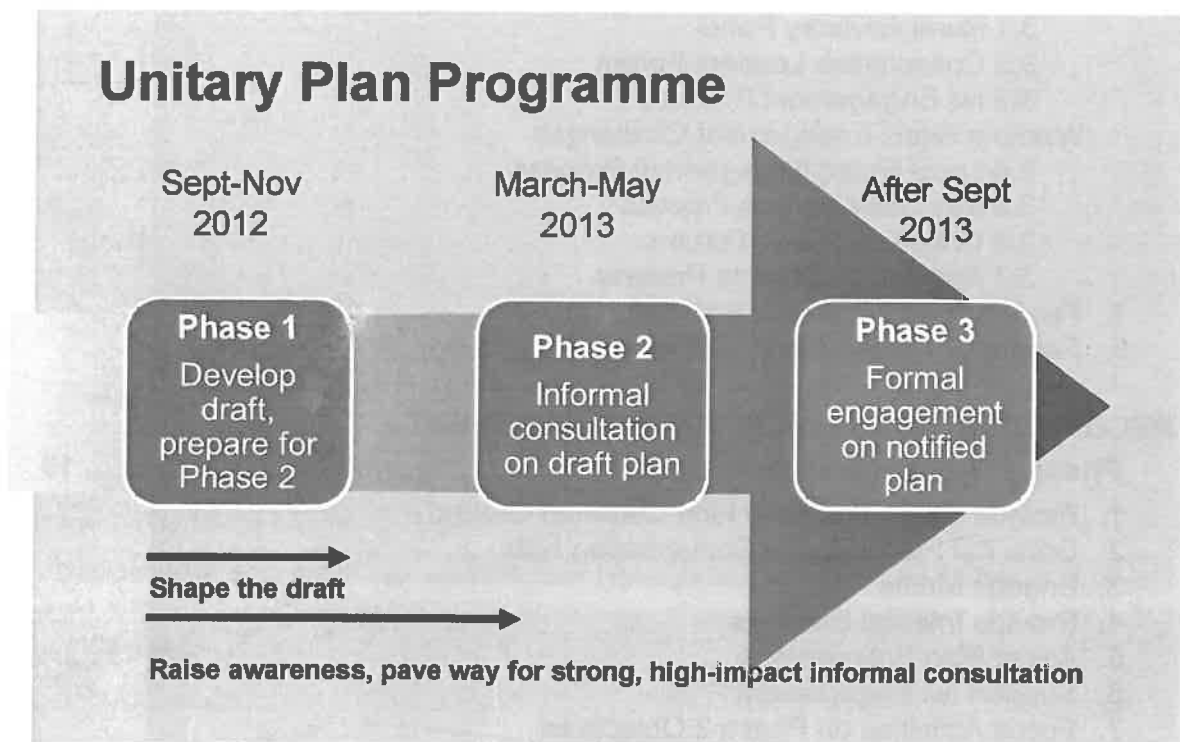


**REVIEW OF ENHANCED ENGAGEMENT TO SUPPORT
THE DRAFT AUCKLAND UNITARY PLAN**

PRELIMINARY REPORT PHASE 1

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SUMMARY

Auckland Council has taken a new approach to development of its first Unitary Plan. Previously plans were prepared by Auckland officers, and forwarded for notification to Auckland Council at which time the draft plan becomes public.

Rather than waiting until the Plan is notified for formal submissions, Council approved an “Enhanced Engagement Process” to involve Local Boards, key stakeholders, and communities during the development of the Draft Unitary Plan.

Objectives of the Enhanced Engagement Process are:

1. Increase Public Understanding of the Plan
2. Improve the Draft Unitary Plan
3. Support Informed Submissions
4. Learn from the Enhanced Engagement Process

Auckland Council and the Ministry for the Environment have commissioned this independent review of the Enhanced Engagement Process to provide advice on lessons for future and wider application. This first report was prepared following Phase 1 and prior to the launch of Phase 2.

ASSESSMENT OF PHASE 1 ENHANCED ENGAGEMENT

Overall, Phase 1 of the Enhanced Engagement Process is a significant advance over previous processes. While some suggestions for improvement follow, they should be taken in the context of a successful launch into broadening engagement in plan making.

1. Successes associated with Phase 1 are in large measure due to political leadership of Auckland Council and Local Boards.
2. Given the short time frame Auckland officers have done an exceptional job reaching out to a broad range of external and internal stakeholders through a variety of interactive activities including new forms of online engagement.
3. The Phase 1 Engagement Process Provides Lessons for Future Programs

Successful Engagement benefits from:

- An adopted Terms of Reference outlining the purpose, scope, membership, roles, and priorities.
- “Custom designed” processes to support stakeholder needs.
- Active Council involvement (“someone is listening”).
- Participants have an opportunity to learn about and discuss the plan.
- Engaging participants with varied perspectives in dialogues on choices and consequences.
- Supportive administrative environment including a Feedback Management Process.

EMERGING LESSONS FOR PHASE 2 AND FUTURE ENGAGEMENT PROCESSES

For genuine engagement the process must include two components:

1. Involve those who might be affected by a decision and those with the potential to influence a decision; and
2. Give due consideration to the advice received through engagement.

The Auckland Enhanced Engagement Process is doing a good job of outreach (Criteria 1). Achieving the second criteria is problematic. A broad engagement process is proposed for Phase 2. The timeframe to receive submissions, review, and incorporate improvements into the Plan is short (June – August). The short timeline suggests the need to:

1. Keep an “Eye on the Ball”.

The key purposes of the March-May Phase 2 program are understood to be:

- 1) Improve the Draft Plan based on stakeholder advice;
- 2) Offer an opportunity for owners facing changes to their property rights to consult; and
- 3) Assist stakeholders to prepare submissions to the plan approval process.

The proposed program is ambitious including activities to engage those directly affected by the Plan (e.g. estimated 40,000 owners whose property rights change) and raise general awareness of the Plan.

If the engagement process successfully builds interest in the Plan there will be requests for additional participation opportunities. Given the task at hand and the proposed timeline it may be necessary for Auckland Council to defer requests for activities designed to raise general awareness in order to focus resources on stakeholders (e.g. households, businesses) most directly impacted by the Plan.

2. Keep an “Eye on the Prize”

An objective of the enhanced engagement process is to prepare “the best plan in terms of drafting and content possible”. Under the proposed schedule there is limited time between the conclusion of Phase 2 in May and proposed notification of the Draft Plan in September. **If there are a significant number of submissions, and if officers advise they are not able to give them due consideration, then Auckland Council should consider:**

- 1) **Extending notification** to a later date (e.g. following the upcoming Auckland Council election). This would provide time for officers to fully consider and incorporate Phase 2 submissions into the Draft Plan and Auckland Council to advise submitters on the disposition of their advice.

Or

2) If Council chooses to keep the September notification date:

- a) **Alert participants** that there may not be time to review and incorporate comprehensive submissions into the Draft Plan. Encourage participants (with the assistance of Friends of Submitters) to focus on preparing their submissions to the Commission following Plan notification.
- b) **Ensure additional funds** are immediately available, if required, to assist in tabulating and responding to feedback.
- c) **Consider revising the feedback process.** Council has committed to providing individuals feedback on how their input influenced the Plan. It may be necessary to advise submitters that, given time constraints, rather than individual letters Council will provide postings on the Unitary Plan web site to illustrate how public input is being incorporated into the revised Unitary Plan.

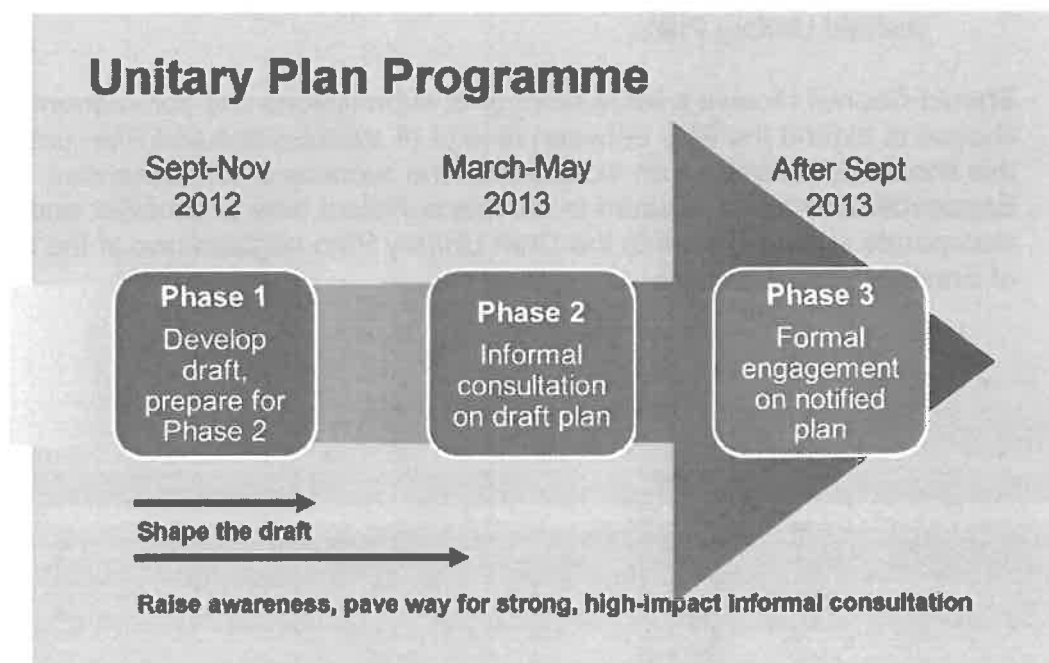
Should Council receive a large number of submissions and consequently choose to extend the time between receipt of submissions and Plan notification this should be viewed as an indication of the success of the Enhanced Engagement Process. Failure to provide sufficient time to consider and incorporate submissions into the Draft Unitary Plan negates one of the benefits of Enhanced Engagement.

BACKGROUND

The Auckland Unitary Plan will be the “rulebook for what you can do on your property and how we collectively manage our natural and physical resources”. There are statutory requirements for consultation in the development of a resource management plan. Clauses 2-4 of the First Schedule of the Resource Management Act 1991 require consultation with tangata whenua and various ministries.

Auckland Council has taken a new approach to development of its first Unitary Plan. Previously plans were prepared by Auckland officers, with required consultation, and forwarded for notification to Auckland Council at which time the plan becomes public.

Rather than waiting until the plan is notified for formal submissions, Council has approved an “Enhanced Engagement Process” to involve Local Boards, key stakeholders, and communities during the development of the draft plan.



Objectives of the Enhanced Engagement Process include:

1. **Prior to Notification – Increase Public Understanding:** Help stakeholders understand how the Unitary Plan has been prepared and advise on the proposed Plan contents. Additionally, provide an opportunity for stakeholders who may not know or have not accepted the directions set by the Auckland Plan to better understand Council’s intentions.
2. **Prior to Notification -- Improve Draft Unitary Plan:** Ensure the City receives as much feedback as possible to enable officers to refine the Draft Unitary Plan

Auckland Council's Enhanced Engagement Process includes two Phases prior to submission of the Draft Unitary Plan for notification:

Phase 1 (September – November 2012) focused on:

- Informing key stakeholders of the Unitary Plan Directions;
- Inviting key stakeholders to advise on contents of the Draft Plan; and
- Building community awareness for engagement on the Draft Plan to be released in mid-March 2013.

Phase 2 (March – May 2013) will focus on:

- Building awareness and understanding of the Draft Plan. This includes demonstrating how to access and read the e-plan and helping people understand the content and changes from current rules;
- Seeking feedback on the Draft Plan; and
- Providing information to assist those who intend, following notification, to provide submissions on the Draft Plan.

Reports prepared by Auckland Officers identify the potential benefits of the enhanced engagement process. These benefits will be used as criteria to review the enhanced engagement process:

- Gives all sectors of the community the opportunity to be genuinely involved in shaping the Unitary Plan.
- Incorporates various engagement techniques to provide opportunities to hear from sectors of the community who would otherwise not be able or want to engage in a statutory process.
- Provides opportunities to talk in informal settings to both the Council and other sectors of the community thereby improving the quality of discussion and outcome.
- Provides a more user friendly feedback and hearing process.
- Encourages better informed submissions to reduce the time and costs during the hearing and post decision process.
- Engages stakeholders in a collaborative process to build “buy-in” to the plan.
- Offers the Ministry for the Environment an opportunity to consider new planning processes.

The Enhanced Engagement Program can also be reviewed against a baseline survey, completed in December 2012, which assessed awareness of the Unitary Plan and support for its main themes. The Brunton survey found 21% of respondents were aware of the Unitary Plan. The survey will be repeated after Phase 2 to compare awareness resulting from enhanced engagement.

so that when it is notified for formal submissions it is the best plan, in terms of drafting and content, possible.

3. **Following Notification – Provide Informed Submissions:** Assist stakeholders to prepare informed submissions to the Commission on what they support and recommended changes to the Draft Unitary Plan.
4. **Learning from the Enhanced Engagement Process:** The Minister for the Environment is keen to produce improved plans with enhanced engagement being one approach. Ministry officers are monitoring the process. The Ministry is considering whether Unitary Plans (i.e. combined regional and district plans) should be the way forward for other New Zealand councils. With this in mind, the Ministry is interested in assessing whether there are lessons to be learnt from using an enhanced engagement process (where draft plans are available early for feedback) and whether this process provides both a more robust document and improved quality of submissions. Another possible outcome could be changes to the approval process to reduce appeals to points of law.

Auckland Council and the Ministry for the Environment have commissioned an independent review of the Enhanced Engagement Process to provide advice on lessons for future and wider application. The focus of this review is the enhanced engagement process from July 2012 to June 2013 (Phases 1 and 2). A summary of the Review Terms of Reference is attached as Appendix A.

This first report reviews Enhanced Engagement Activities to December 2012 (Phase 1) and provides preliminary advice for future enhanced engagement processes.

This report has been prepared based on interviews (with a selection of elected officials, officers, and stakeholders), written reports on Phase 1 activities, and proposals for Phase 2. The Draft Unitary Plan was not reviewed. Example contacts and information are attached as Appendix B.

ENHANCED ENGAGEMENT PROCESS

There are a variety of approaches to public engagement depending upon the task and expectations.

Within the context of the IAP2 Spectrum of Public Participation (Appendix C) the level of engagement being undertaken by Auckland Council falls within the “Consultation” category. As such, Auckland Council is committed to an engagement approach that “will keep the public informed, listen to and acknowledge concerns and aspirations, and provide feedback as to how public input influenced decisions”. An assessment of the appropriateness of the “Consultation” category will be included in the final report.

elected officials who attended the Civic and Leaders Forums all increased process credibility.

Actions, such as approval on February 20 2013 delegating the Deputy Mayor and two other members of PWP to approve editorial changes prior to March 15, illustrate Council's role in expediting the process.

On the other hand, minutes of the Auckland Plan Committee, February 20, 2013, suggest some Councillors have reservations about the intensification premise underlying the Unitary Plan. "No growth" politicians were identified by development industry stakeholders as "not supporting the Plan". Their lack of support raised doubts about the genuineness of the enhanced engagement process.

Building trust for plan making and implementation is crucial. While some actions demonstrate "trust building", the reviewer was surprised to hear (and see on web posts) comments imputing less than honorable intent to the enhanced engagement process. This may reflect previous plan preparation processes (minimal changes between Auckland Unleashed and the Auckland Plan were cited as an example). Other concerns cited were recent reductions in notifications (see "likes" attached to web postings calling for more notified consents) and the "arm's length" plan approval process. Some stakeholders described Auckland Council and officers as "well-meaning but not in control". They cited the external plan review process which detaches decision-making from the jurisdiction of locally elected officials.

The Brunton survey (December 2012) found low levels of trust and confidence with Auckland Council. Brunton attributes this to a lack of communication about Council's plans for the Auckland region.

- 2. Given the short time frame Auckland officers have done an exceptional job reaching out to a broad range of external and internal stakeholders through a variety of activities.**

2.1 Variety of Interactive Activities

Not only is Auckland Council a new entity, public engagement in statutory plan making is a new venture. The breadth of outreach is evident in the range of activities and engaged stakeholders:

- Auckland Council, Political Working Party, Advisory Panels
- Local Boards and their communities
- Other government agencies
- Mana Whenua and Mataawaka
- Sector groups such as community leaders, community interest groups, professional institutes, property and development industry
- Interested public
- Auckland officers from a variety of departments.

ASSESSMENT OF PHASE 1 ENHANCED ENGAGEMENT

Summary of Phase 1 – targeted engagement

- 450 stakeholders at Local Board workshops
- 150 stakeholders at regional sector workshops
- Ongoing Mana Whenua engagement
- 60 Aucklanders at Civic Forum, hosted by Te Radar
- 170 participants in online forum
- 70 leaders at the Consultative Forum
- Professionals briefing (planners, architects etc)
- Opinion pieces, news, media briefings, internal news

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An overview of activities undertaken during Phase 1 of the Auckland Unitary Plan Enhanced Engagement Process is available from the Auckland Unitary Plan Web Page and from reports prepared by Auckland officers (e.g. The Auckland Unitary Plan: Phase 1 Engagement Summary Report, January 2013). This assessment is not intended to duplicate available information. Rather the focus is on evaluating the outcomes of Phase 1 engagement.

Overall Phase 1 of the Enhanced Engagement Process is a significant advance over previous processes. While some suggestions for improvement follow, they should be taken in the context of a successful launch into broadening engagement in plan making.

1. Successes associated with Phase 1 are in large measure due to political leadership of Auckland Council and Local Boards.

Leadership by elected officials is evident in the decision to extend the plan making process to provide time for the public to learn about and offer advice on plan content. Mayor Len Brown's leadership on the Auckland Vision, Deputy Mayor Penny Hulse's active involvement in the Unitary Plan process, along with members of the Political Working Party (PWP), Council Committee Chairs, Local Boards, and

“No area should be compromised by ...inappropriate density....Development opportunities must maximize the potential of each site, but never at the expense of high quality living.” Auckland Plan

The Unitary Plan will implement the Auckland Plan. The Unitary Plan, as the rulebook for development and resource management, is intended to provide guidance on development decisions.

Results of the December Brunton Survey illustrate challenges facing the Unitary Plan. The Auckland Plan says “Auckland’s network of centres will ...accommodate an increase in density and diversity of housing...” The survey found that, among those who had heard of the Unitary Plan, the strongest support was for protection themes and the lowest support was for more homes in and around centers.

The Unitary Plan Enhanced Engagement Work Plan 2012-09-10 proposes the process “Look at the issues and have discussion and identify the tradeoffs that may need to occur on key issues and directions that were determined in the Auckland Plan.” This correctly identifies a critical element in plan development and, as such, should underlie all engagement activities.

3.1 Example Successful Engagement Process: Rural Advisory Panel

Auckland Council’s Rural Advisory Panel provides a good illustration of activities which contribute to successful engagement.

- The Panel operates under an adopted Terms of Reference. While broader than the Unitary Plan, it illustrates the components of a ToFR – purpose, scope, membership, roles, priorities – which should accompany all engagement processes.
- The Panel Chair is an Auckland Councillor (Des Morrison). Council involvement brings credibility to the deliberations.
- Members have had an opportunity to learn about and discuss the Draft Unitary Plan.
- Contributions to the Draft Unitary Plan are based on consideration of choices. Committee meetings brought together NGO’s iwi, and agricultural interests to dialogue on rural regulations. The intent was to discuss commonalities, reduce the risk of silo positions, and provide a coordinated response from the rural community to the Draft Unitary Plan.

3.2 Example Multi-Stakeholder Engagement: Consultative Leaders Forums

Two Forums brought stakeholders with differing points of view to the table. This contributes to a robust discussion. Topics such as “Achieving a compact city while protecting the things we value” address the difficult choices which need to be considered before the Auckland Plan can be successfully implemented.

In total representatives of over 400 organizations were engaged in-person and/or online. Stakeholders participated in a variety of outreach approaches including meetings, workshops, and online forums.

A significant feature of Phase 1 was the extent to which engagement activities were interactive. Most activities provided opportunities for stakeholders to learn about and contribute to the Draft Plan. The Auckland approach, providing a range of engagement opportunities, is a welcome contrast to recent North American public processes which offer only “open house” displays. While staff are available to answer questions responses are on a one on one basis with minimal discussion on choices/options and few opportunities for exchanges between stakeholders.

2.2 Web Based Access to Information and Input

Online information and involvement is now an expected component of public engagement. The Phase 1 Unitary Plan web site offered easy access to information. Posting results of the Leaders, Civic, and Online Forums provided a transparent process for participants and the ability for new people to catch up.

One of the challenges of managing a web site is keeping information up to date and posts factual. Auckland officers did a good job of facilitating discussions and providing factual information in response to tweets.

3. The Phase 1 Engagement Process Provides Lessons for Future Programs

What constitutes successful engagement?

Plans reflect the interplay between values people share for their city and facts such as changing population, economy, and environment. The Auckland Plan describes a vision for Auckland and articulates directions to achieve “The World’s Most Livable City”.

Successful plans provide direction to elected officials and staff faced with difficult decisions on land use and resource management. Where land and funds are limited decisions usually result in tradeoffs between valued directions. The Auckland Plan acknowledges this challenge:

“Provide sufficient development capacity ... certainty and speed of ...planning processes to enable the degree of redevelopment needed. This may require making some difficult decisions and tradeoff-offs to achieve long-term outcomes.” Auckland Plan

The Auckland Plan contains potential contradictions and vague directions which, if not clarified, will frustrate Plan implementation. For example:

3.3 Illustration of “Custom Designed” Engagement: Iwi

The iwi process used as a baseline engagement requirements from existing legislation (e.g. the Resource Management Act 1991 and the New Zealand Coastal Policy Statement 2010). The focus of Council engagement was directly with Mana Whenua iwi authorities who have mana within the Auckland Council jurisdiction.

A PricewaterhouseCoopers Te Tiriti o Waitangi Audit 2012, on behalf of the Independent Maori Statutory Board, concluded:

“The Unitary Plan team recognized the importance of Maori consultation when drafting the Unitary Plan. As such, a dedicated staff member has been assigned responsibility for Maori consultation and a significant proportion of the overall Unitary Plan budget has been allocated for Maori consultation. MS&R are also working closely with the Unitary Plan team. A key concern is the very tight timeline and the impact this may have on the effectiveness of consultation with Maori. However, it was clear that the Unitary Plan team recognize the importance of proactive consultation and input from Maori into the process.”

This review of the Enhanced Engagement Process came to a similar conclusion. In the short time available in Phase 1 Auckland officers, assisted by consultants and the Maori Strategy and Relations Department Te Waka Angamua, developed a “custom designed process” to deliver a comprehensive consultation program to inform and engage iwi. The process was supported by a Statement of Works (contract) which specified deliverables and provided for financial support. Two documents (Mana Whenua Consultation Summary Report: February-March 2012 and Mana Whenua Workshop Summary Report: October 2012) illustrate Phase 1 activities.

A series of Unitary Plan Updates (October 2012) provided an introduction to Maori Purpose Zones, Treaty Settlement Alert Layer, Maori Land Overlay, Development on General Land, and protection of Maori Cultural Heritage. These updates provide useful information and would benefit by wider circulation through inclusion on the Unitary Plan Web Site. Similarly presentation materials for iwi workshops (for example on Water Quality, Significant Ecological Areas, and Aquaculture) offer a useful format comparing:

- Problem
- Goal
- Current Approach Legacy Plans
- Proposed Approach Unitary Plan

Criticisms of the Maori Enhanced Engagement Process (e.g. tight timeline and limited funding to assist stakeholders to engage and employ independent technical advice) are typical of the challenges other stakeholders expressed in responding to the Draft Plan.

Other criticisms of the Draft Unitary Plan were that it doesn't adequately address social services (e.g. child poverty and affordable housing). The Contract for iwi engagement notes that "The Unitary Plan deals with regulatory matters that involve the use of land and water...." Delivery of social services is, in the understanding of the reviewer, beyond the mandate of the Unitary Plan. The lack of clarity about the purpose of the Unitary Plan and other forthcoming plans (e.g. Housing Action Strategy Plan) illustrates the need to be clear about the package of plans proposed to implement the Auckland Plan and the role of the Unitary Plan.

Warning Signs of Engagement Challenges

3.4 Local Board Engagement

Many participation initiatives by Local Boards are to be commended. However, there are some concerns. Local engagement, without prior buy-in to the Auckland Plan, can lead to subtle stonewalling of city-wide directions.

Positive Engagement Lessons: During Phase 1 workshops were held with each Local Board. The first provided Boards with an opportunity to review draft maps. The second outlined some of the draft provisions. Some Boards engaged in additional workshops to learn about, and provide input on, plan content. This process was supported by the Deputy Mayor/Chairs Reference Group and the inclusion of a representative group of Local Board Chairs on the Political Working Party. Several of those interviewed commended the quality of Local Board engagement in constituencies where Board chairs are on the Political Working Party and hence more knowledgeable about the draft plan and process (e.g. Waitemata Local Board Chair Shale Chambers). Local Board officers suggested "tool kits" of information, such as examples of good design, would assist in illustrating discussion topics during Phase 2.

Engagement Concerns: There is a natural tendency for area engagement to place local aspirations over city-wide directions. Toward the conclusion of Phase 1 Local Boards passed resolutions with respect to the Draft Unitary Plan. Resolutions supporting the general approach of one Unitary Plan and the need for guidelines to improve design and transitions between zones illustrate reasonable expectations of the Unitary Plan.

Some Local Boards stipulated the Unitary Plan should not come into effect until area plans are adopted and infrastructure to support increased population is in place. This raises questions about the content and timing for implementation of the Unitary Plan.

The relationship between plans poses a "chicken and egg" question – which comes first the Unitary Plan or Area Plans? Ideally broad public input on controversial issues, such as the amount of growth by local area, should be agreed through a city-wide process (Auckland Plan). The Unitary Plan then

provides city-wide rules for land use and the management of shared natural and physical resources. The Long Range (Financing) Plan coordinates priorities for funding services. Within this context Area Plans then specify the location and form of development and local service priorities.

In practice the link between plans is problematic. For example, the Draft Hibiscus/Bays Plan proposes lower height provisions than the Draft Unitary Plan.

The Draft Hibiscus/Bays Plan notes that the Area Plan is only a first step. Pages 58 and 59 identify infrastructure requirements and future precinct and structure planning necessary “before any changes are made to the Unitary Plan.”

Even if there is broad agreement on Auckland Plan directions and the role of Local Areas in accepting growth shares, preparing area plans for 21 Local Areas, subsequent precinct plans, and completing infrastructure improvements would delay implementation of the Unitary Plan for many years. Developing a phasing process between the Unitary Plan and Local Area Plans requires immediate attention.

3.5 Key Stakeholder Process:

Experienced participants (e.g. Character Coalition and Property Council) expressed appreciation for the opportunity for early engagement combined with uncertainty about the genuineness of the outreach. In part this may reflect past experience with plan preparation and information gaps.

The Phase 1 process was intended as a “targeted” program to test engagement activities and prepare participants for Phase 2 review of the Draft Plan. Comments suggest participants were unclear as to the intent of “targeted engagement”. The uneven distribution of draft chapters (some stakeholders received draft chapters for review and others not) and for others a quick “peek-a-boo” look at draft maps raised suspicions.

The Property Council felt insufficient information was provided to assess the supply of, and demand for, development sites. The absence of metrics was seen as an indication the Plan is political rather than fact based.

Comments such as “the proof of the pudding is in the eating” and “the devil is in the details” reflect a cautious “wait and see” assessment of the process.

The “proof in the pudding” response was particularly troubling in that the “proof” was described as “We will assess the genuineness of the process based on whether our advice is included in the Plan. If it is not included it is a flawed process”. This response does not take into account the difficult choices faced in plan making. Stakeholder meetings appear to have engaged people with similar perspectives. This may not have led to a robust discussion of the difficult

choices Council faces when combining 12 existing RMA documents into a single Unitary Plan.

Three recommendations for future processes are:

- i. Ensure the process is launched with a Terms of Reference clarifying the purpose of the plan, steps in the engagement process, and the role of stakeholders (e.g. public advises/council decides).
- ii. Early in the process seek advice from key stakeholders on data requirements.
- iii. Incorporate more opportunities for stakeholders with differing perspectives to dialogue. The dialogue should focus on choices and consequences of key directions and priorities when valued directions are in conflict.

3.6 Online and Civic Forums

The Online and Civic Forums were designed to engage those not typically identified as “Key Stakeholders” in the planning process.

The Online Forum lasted two weeks, from October 25 to November 7, 2012. Two-three weeks is a reasonable amount of time. Longer usually results in duplicate posts. Shorter doesn’t provide time for discussions to evolve. The Online Forum attracted 864 posts by 172 participants. Five moderators stimulated the discussion and officers working on the Unitary Plan responded to questions. Providing “ground rules” assisted posters to understand the process.

Judging by the content of the Online Forum it offered an opportunity for participants to learn about the Auckland and Unitary Plans. Unfortunately many posts were more appropriate for pre-Auckland Plan discussions (e.g. debate on whether population growth is desirable). The number of posts addressing decisions already made in the Auckland Plan may have caused confusion about the purpose of the Unitary Plan. In engagement it is important to ensure discussion does not “decouple” from the intended process.

For future online forums staff need to consider how to attract more participants. By today’s standards, and given the ease of online engagement, 172 posters is not a lot of participants. That said, given the short time for public engagement, it is important to focus on those most directly affected by the Unitary Plan. See additional comments under Phase 2.

The Civic Forum was a laudable attempt to engage people who are not usually involved to build their awareness of the Auckland Plan and the purpose of the Unitary Plan. The Forum included an evening introduction to the Auckland and Unitary Plans and a day of discussions on Unitary Plan topics. Participant responses were very positive.

Participants were initially identified through a random sample from the Electoral Register. However, of the 74 participants only 9 came from the Register. As with the Online Forum, many of the participant contributions would have been more appropriate prior to approval of the Auckland Plan.

Several people noted the absence of youth engagement. The extent to which this was a significant shortfall of Phase 1 is unclear. Given a key focus of the Unitary Plan process is to engage people whose property rights may change it may be that, for this particular process, parents are the target audience.

3.7 Auckland Resource Consents Department

The Resource Consents Department's core business is the processing of consents. Currently staff responds to technical and non-technical inquiries within the framework of 14 legacy plans. Once the March Draft Unitary Plan is tabled Consents staff will be asked to compare development options under legacy plans and the proposed Unitary Plan.

To respond to inquiries Consents staff requested immediate training on the content of the Unitary Plan, differences between the Unitary and Legacy Plans, interpretation of Unitary Plan provisions, and using the GIS viewer and e-plan.

4. Auckland's Feedback Management Process provides a Model for Other Engagement Processes

One of the big challenges to any engagement process is collecting, processing, and responding to submissions. Auckland's Feedback Management Process (FMP) appears to have performed well during Phase 1. Feedback captured the output of over 40 Local Board events, 19 Maori events, Civic Forum, Leaders Forum, Sector workshops, Online Forum, and a variety of stakeholder activities.

The FMP performance reflects a system built and improved through previous uses (e.g. formal statutory submissions) combined with a well-articulated business case for managing Unitary Plan feedback (October 18 2012 Business Case Unitary Plan Process). An FMP Oversight Group/Steering Committee, including IS and Unitary Plan members, provides coordination between plan drafting requirements and submissions.

5. Auckland Officers are commended for their efforts to review all Phase 1 feedback and incorporate improvements into the Draft Plan.

A critical challenge to any public process is to ensure submissions receive due diligence for inclusion in the plan. A number of stakeholders were skeptical about the review process and whether submissions would be given serious consideration.

Discussions with officers preparing the Plan suggest Phase 1 submissions received serious review. Major issues were discussed by the Policy Advisory Group and

taken to the Political Working Party for direction. Many examples were given where submissions resulted in amendments to the Plan. For example, the Mana Whenua Workshop Summary Report: October 2012 includes sections “You asked us” followed by “This is how we have responded”. A request to recognize outcomes of Treaty settlements in the Unitary Plan was accommodated by adding a “Treaty Settlement Alert Layer”

Officers found the most difficult challenge was processing often conflicting recommendations. A number of examples were given where submissions resulted in amendments to the Draft Plan only to be “trumped” by subsequent information. Since the submitter is not part of the review process the absence of their submission in the Plan may be taken as “proof” of a “token” engagement process.

Phase 1 Summary

Overall, Phase 1 of the Enhanced Engagement Process is a significant advance over previous processes. While some suggestions for improvement are noted, they should be taken in the context of a successful launch into broadening engagement in plan making. Phase 1 included a variety of new engagement activities. Phase 1 successes were in large measure the result of significant contributions by political leaders, Auckland officers, and many stakeholders who “stepped out” of their familiar comfort zone to participate in a new process.

Staff reports proposing the Phase 1 process provided a thoughtful and comprehensive business case. Officials did a good job of identifying potential engagement challenges and responding. Lessons from Phase 1 contributed to the Phase 2 program.

RECOMMENDATIONS FOR FUTURE ENHANCED ENGAGEMENT

Several preliminary recommendations for future engagement processes follow. Those relevant to Phase 2 were discussed with staff during meetings with the reviewer.

1. Provide Opportunities for Stakeholders With Varied Perspectives to Find Common Ground.

The biggest challenge to improving and implementing the Unitary Plan is the absence of agreement on growth management objectives. While the public supports protection themes there is not broad support for more homes in and around centers (Brunton 2012).

To build a Livable Auckland there is a need to find common ground. Engagement activities which bring together key stakeholders with divergent views is the best way to address choices and consequences.

2. Grow the Plan's Digital Conversation Hub

An online e-plan is a practical approach to providing equal access to information. Training sessions are available for those unfamiliar with web use. Nevertheless summary print versions of the Draft Unitary Plan may be appreciated by those less familiar with the web.

Recommendations for web page improvements, including those noted elsewhere in the report are consolidated for reference:

- 1) Provide more information on the relationship between the Auckland Plan and the Unitary Plan. Add information outlining the package of plans necessary to implement the Auckland Plan and the role of the Unitary Plan. This may assist in clarifying expectations for the Unitary Plan.
- 2) Provide a "parking lot" for recommendations more appropriately directed to other processes. This acknowledges receipt of submissions and refers them for future consideration.
- 3) Include information on the Unitary Plan approval process.
- 4) Provide ground rules to assist posters including advice that officers will manage the site to remove mischief and abuse.
- 5) Feedback forms should remind respondents of the task at hand. The objective is to focus participants and minimize raised expectations.
- 6) Include "feedback" terms of reference to explain how submissions will be processed, the challenges of addressing contrary proposals, and how contributors will receive feedback. Given limited time a portal should be created for officers to describe, in general terms, illustrative submissions and consequent changes to the Draft Plan.
- 7) Future online activities would benefit from broader perspectives. For Online Forums encourage key stakeholders (who may also be participating in other

ways) to also engage on the web. Economic and development perspectives were under represented in the Phase 1 Online Forum.

- 8) During engagement new issues may emerge which can derail the process. Expeditious posting on the Unitary Plan web page will assist readers to understand how the Plan (or other programs) proposes to address new issues.
- 9) Employ a “people speak” wordsmith to edit communications from the City.

Use of electronic media is an emerging tool for public engagement. Auckland is on the leading edge of experimenting with this medium. Ongoing improvements to the web site combined with documentation of the process will provide valuable lessons for future processes in Auckland and elsewhere.

3. Engage the Print and TV/Radio Media

Officers noted attempts to engage the local media in Phase 1 were not overly successful. Nevertheless, meetings with editorial boards, news, and features staff should accompany all engagement processes.

4. Provide Internal Briefings

To date the Unitary Plan team has generally done a good job in advising officers in other departments about the purpose of the Unitary Plan. Once the Draft Plan is public other departments (e.g. Resource Consents) will require ongoing briefing on content and contacts. This is an important task since members of the public access Auckland officials across the organization. “I don’t know” responses to Unitary Plan inquiries can contribute to a negative perception of the Plan.

5. Assist Plan Submissions

One objective of the Enhanced Process is to assist stakeholders to prepare informed submissions following Plan notification. Experience elsewhere suggests those with negative comments are more likely to make submissions. The Phase 2 process needs to ensure the “Friends of Submitters” service allocates sufficient time to assist both those who support and those who are against the Draft Plan.

A preponderance of negative submissions – often for quite different reasons (e.g. citizens wishing to preserve their community character and owners/developers seeking to minimize constraints on development) can result in rejection of an otherwise balanced Plan with unintended consequences.

6. Support Iwi Engagement

The comprehensive process undertaken in Phase 1 (Governance Hui, 19 Technical Huis, 10 topic based workshops, and 15 feedbacks) provides a model for Phase 2. The process for Phase 2 follows iwi authority guidance and is expected to include

special purpose meetings, workshops on the March 2013 Discussion Draft, and a governance level hui (May 2013).

Given the number of sections of the Draft Unitary Plan which specifically address Maori interests and the desire (expressed in Phase 1) to comment more broadly on the Plan the short time frame poses a problem. It is important to note that concerns about tight timelines and limited funding to assist stakeholders to engage and employ independent technical advice are not unique to the iwi process. Other stakeholders expressed similar challenges in responding to the Draft Plan.

7. When Facing Time Constraints Focus Engagement Activities on Process Objectives

The purpose of Phase 2 is described as offering opportunities for:

- 1) Stakeholders to propose amendments to the draft Unitary Plan;
- 2) Property owners facing changes to their property rights to consult; and
- 3) Stakeholders to prepare submissions to the Plan approval process.

The proposed Phase 2 program is ambitious including activities to engage both people directly affected by the Plan (e.g. estimated 40,000 owners whose property rights change) and raise general awareness of the Plan (for example among youth).

If the engagement process successfully builds interest in the Plan there will be requests for additional participation opportunities. Given the task at hand it may be necessary for Auckland Council to defer requests for additional activities directed to raising general awareness in order to focus resources on stakeholders (e.g. homeowners, businesses) potentially most directly impacted by the Plan.

8. Address the Challenge of Incorporating Feedback into the Draft Plan

Given this is Auckland's first enhanced engagement process it is difficult to estimate how much feedback will be received. Estimates of the number of submissions range from 13,000 to 55,000.

An objective of the enhanced engagement process is to prepare "the best plan in terms of drafting and content possible". A large number of submissions, while meeting objectives of the enhanced engagement process, makes it unlikely that in the limited time between the conclusion of submissions (May 31) and the scheduled submission for notification in September, responses can be tabulated, assessed for incorporation in the Draft Plan, and replies sent to submitters.

If there are a significant number of submissions, and if officers advise they are not able to give them due consideration, then Auckland Council should consider:

- 1) **Extending notification to a later date (e.g. following the upcoming Auckland Council election). This would provide time for officers to fully**

consider and incorporate Phase 2 submissions into the Draft Plan and Auckland Council to advise submitters on the disposition of their advice.

Or

2) If Council chooses to keep the September notification date:

- a) Alert participants that there may not be time to review and incorporate comprehensive submissions into the Draft Plan. Encourage participants (with the assistance of Friends of Submitters) to focus on preparing their submissions to the Commission following Plan notification.**
- b) Ensure additional funds are immediately available, if required, to assist in tabulating and responding to feedback.**
- c) Consider revising the feedback process. Council has committed to providing individuals feedback on how their input influenced the Plan. It may be necessary to advise submitters that, given time constraints, rather than individual letters Council will provide postings on the Unitary Plan web site to illustrate examples of how public input is being incorporated into the revised Unitary Plan.**

Should Council receive a large number of submissions and consequently choose to extend the time between receipt of submissions and Plan notification this should be viewed as an indication of the success of the Enhanced Engagement Process. Failure to provide sufficient time to consider and incorporate submissions into the Draft Unitary Plan negates one of the benefits of Enhanced Engagement.

PRELIMINARY EVALUATION CONCLUSIONS

This is an evaluation of a work in progress.

In the introduction several evaluation criteria were identified. The following are preliminary conclusions.

- **Gives all sectors of the community the opportunity to be genuinely involved in shaping the Unitary Plan.** The process is providing opportunities for genuine engagement. Auckland Councillors and officers are taking seriously the desire to hear from a broad range of stakeholders and incorporate advice into the Draft Plan. The extent to which submissions result in amendments to the Draft Unitary Plan will be assessed following Phase 2.

- **Incorporates various engagement techniques to provide opportunities to hear from sectors of the community who would not otherwise engage in a statutory process.** For a first step into enhanced engagement the process is offering an excellent range of opportunities for both “established” and “new” voices to be heard.
- **Provides opportunities to talk in informal settings to both the Council and other sectors of the community thereby improving the quality of discussion and outcome.** The program provides a variety of opportunities for informal (defined as outside a formal submission/hearing process) discussions. The process would benefit by including more opportunities for people with differing perspectives to engage in finding resolutions to “sticking points”.
- **Provides a more user friendly feedback and hearing process.** To be assessed following Phase 2.
- **Encourages better informed submissions to reduce the time and costs during the hearing and post decision process.** To be assessed following the hearing process.
- **Engages stakeholders in a collaborative process to build “buy-in” to the plan.** To be assessed following Phase 2.
- **Offers the Ministry for the Environment an opportunity to consider new planning processes.** This is a criterion for future evaluation by the Ministry.

This preliminary evaluation of the Auckland Council Enhanced Engagement Process will be reconsidered following conclusion of the Phase 2 Engagement Process.

APPENDIX A SUMMARY TERMS OF REFERENCE

Auckland Council has decided to approach the development of its Unitary Plan differently to past planning approaches. The main difference is the engagement with Local Boards, key stakeholders and communities during the development of a draft Unitary Plan rather than waiting until the Plan is notified for formal submissions.

The purpose of this terms of reference is to provide an independent review of the enhanced community engagement program undertaken by Auckland Council to support the successful development and delivery of a draft Unitary Plan.

Specifically the review will encompass and report the following:

In scope:

1. Review of the communications and engagement activities already undertaken leading up to and including Phase 1 which ends in December 2012.
2. Provide advice where appropriate to enhance the communications and engagement approaches that are planned for Phase 2.
3. Identify gaps and improvements that could be considered by the Unitary Plan team that will help ensure key stakeholders are informed, involved and able to input into the process in a meaningful way.
4. Review the process for Auckland Council in responding to people who provide feedback on content of the draft plan (This process will occur May – June 2013)
5. Identify how the process could provide lessons for future and wider application.

Review Approach

- It is envisaged that the approach will involve both interviews and a review of existing data and documentation that has been collected up to this end of the process review. This may include but not be limited to the following:
- Review of key documentation pertinent to the community engagement approach including quantitative data collected against any agreed Key Performance Indicators.
- Meetings with elected representatives of Auckland Council and officers responsible for designing and delivering the community engagement approach and/or the draft Unitary Plan.
- Meetings with officers from the Ministry of Environment who are liaising with Auckland Council officers on this project – to ascertain their views (as a participant) and needs relating to wider application of the process.

APPENDIX B EXAMPLE INTERVIEWS and REFERENCES

INTERVIEWS

- **Elected Officials:**
 - Deputy Mayor Penny Hulse
 - Shale Chambers, Waitemata Local Board Chair

- **Auckland Officials:**
 - Roger Blakeley, Chief Planning Officer
 - Penny Pirrit, Manager Regional & Local Planning, Policy & Planning Division
 - John Duguid, Manager Unitary Team
 - Unitary Plan Lead Team
 - Feedback Management Team
 - Communications and Engagement Team
 - Warren Maclennan: Rural Advisory Panel
 - Treaty of Waitangi Workstream
 - Local Board Team
 - Consents Department

- **Ministry for the Environment Officials:**
 - Lesley Baddon and others

- **Stakeholders:**
 - Connal Townsend, CEO Property Council
 - Character Coalition members

APPENDIX B

EXAMPLE STAKEHOLDER INTERVIEW QUESTIONS/DISCUSSION TOPICS

Elected Officials

1. What are your expectations from the Enhanced Engagement Process?
2. Looking back at Phase 1, to what extent were your expectations met? Specifically what contributed to success and where can improvements be made?
3. What do you see as the role of elected Councillors and Local Board members, officials, and stakeholders in the engagement process?
4. What are you looking for from Phase 2? How will you measure stakeholder engagement "success"?
5. Does the timing of the next civic election potentially impact the process? If yes, what suggestions to minimize the impact of the election?

Auckland Officials

1. What are you looking for from the Enhanced Engagement Process? How will you measure stakeholder engagement "success"?
2. What do you see as the role of elected Councillors and Local Board members, officials, and stakeholders in the engagement process?
3. How useful has Phase 1 input been? Specifically provide examples where stakeholder input has resulted in changes to the draft Plan.
4. Has Phase 1 input helped identify key issues ("sticking points") which will benefit from stakeholder input in Phase 2?

Ministry for the Environment Officials

1. What are your expectations from the Enhanced Engagement Process? Looking back at Phase 1, to what extent were your expectations met? Specifically what has contributed to success and where can improvements be made?
2. What do you see as the role of elected Councillors and Local Board members, officials, and stakeholders in the engagement process?
3. What are you looking for from Phase 2? How will you measure stakeholder engagement "success"?

Stakeholders

1. Typically public processes are targeted to those who will be affected by a decision and those with potential to influence the decision outcome. Please describe your interest in the process.
2. What do you see as the role of elected Councillors and Local Board members, officials, and stakeholders in the engagement process?
3. What was your involvement in Phase 1? What were your expectations of Phase 1? What would you describe as the successful (positive) and less successful (areas for improvement) in the Phase 1 process?
4. What are your expectations for Phase 2? How will you measure "success" for the stakeholder engagement process?

APPENDIX B

EXAMPLE REFERENCES

1. Auckland Unitary Plan Web Page Phase 1 Documentation:

-  [Unitary Plan online discussion forum - Key themes and results](#) (PDF 441KB)
-  [Unitary Plan Civic Forum report - October 2012](#) (PDF 1.9MB)
-  [Unitary Plan Consultative Leaders Forum report - 29 October 2012](#) (PDF 506KB)
-  [Unitary Plan Consultative Leaders Forum report - 16 November 2012](#) (PDF 1.2MB)
-  [Introduction to the Unitary Plan for Māori Residents and Ratepayers \(Henderson\) - 25 October 2012](#) (PDF 126KB)
-  [Introduction to the Unitary Plan for Māori Residents and Ratepayers \(Manukau\) - 24 October 2012](#) (PDF 111KB)
-  [Introduction to the Unitary Plan for Māori Residents and Ratepayers \(Takapuna\) - 15 October 2012](#) (PDF 124KB)

- 2. Auckland Plan Committee Various Minutes (from Auckland Council web site)**
- 3. Auckland Unitary Plan: Phase 1 Engagement Summary Report, January 2013, Auckland Council**
- 4. Unitary Plan Enhanced Engagement Work Plan Including Local Boards August 2012 – September 2013. Draft**
- 5. Unitary Plan Feedback Management Process: various memos October 2012**
- 6. Auckland Council Rural Advisory Panel Terms of Reference and minutes**
- 7. Mana Whenua Consultation Summary Report: February-March 2012**
- 8. Mana Whenua Workshop Summary Report: October 2012**
- 9. Draft Area Plan Hibiscus and Bays November 2012**

IAP2 Spectrum of Public Participation



Increasing Level of Public Impact

	Inform	Consult	Involve	Collaborate	Empower
Public participation goal	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision-making in the hands of the public.
Promise to the public	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
Example techniques	<ul style="list-style-type: none"> ■ Fact sheets ■ Web sites ■ Open houses 	<ul style="list-style-type: none"> ■ Public comment ■ Focus groups ■ Surveys ■ Public meetings 	<ul style="list-style-type: none"> ■ Workshops ■ Deliberative polling 	<ul style="list-style-type: none"> ■ Citizen advisory committees ■ Consensus-building ■ Participatory decision-making 	<ul style="list-style-type: none"> ■ Citizen juries ■ Ballots ■ Delegated decision

APPENDIX C

IAP2 CORE VALUES OF PUBLIC PARTICIPATION

As an international leader in public participation, IAP2 has developed the “IAP2 Core Values for Public Participation” for use in the development and implementation of public participation processes. These core values were developed over a two year period with broad international input to identify those aspects of public participation which cross national, cultural, and religious boundaries. The purpose of these core values is to help make better decisions which reflect the interests and concerns of potentially affected people and entities.

Core Values for the Practice of Public Participation

- 1 Public participation is based on the belief that those who are affected by a decision have a right to be involved in the decision-making process.
- 2 Public participation includes the promise that the public’s contributions will influence the decision.
- 3 Public participation promotes sustainable decisions by recognizing and communicating the needs and interests of all participants, including decision makers.
- 4 Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision.
- 5 Public participation seeks input from participants in designing how they participate.
- 6 Public participation provides participants with the information they need to participate in a meaningful way.
- 7 Public participation communicates to participants how their input affected the decision.

For more information, visit the IAP2 Web site at www.iap2.org.

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