

# **Community Empowerment (Scotland) Act 2015**

## **Part 2 Community Planning**

### **Near final Guidance and Regulation**

(Publication of finalised guidance will be subject to Parliamentary approval of a related draft regulation on definition of “locality” for locality planning purposes)

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## **Part 1 STRATEGIC OVERVIEW OF COMMUNITY PLANNING**

This Part briefly explains the purpose of community planning and what difference effective community planning can and should make to improving outcomes and reducing inequality. It also describes what effective community planning includes and achieves, built around making a positive difference to the lives of people in our local communities across Scotland. CPPs and partner bodies should use these descriptions as a basis for strengthening and assessing the effectiveness of community planning in their areas.

## **Foreword**

High quality public services which work together and with Scotland's communities are essential to support a fair and prosperous society. Building on this, the Scottish Government has undertaken a major programme of reform and improvement across our public services. Our approach continues to be informed by the findings of the Christie Commission on the Future Delivery of Public Services in 2011, giving us consistent and clear strategic direction built around the four pillars of reform: partnership; prevention; people; and performance.

It is an approach which demonstrates that we are focused on putting people and communities at the centre of public service delivery and policy making. In particular, it is designed to target the causes rather than the consequences of inequalities; and to make sure that our public services are sustainable in the face of significant constraints on public spending imposed by the UK Government in Westminster, and reflect the changing shape of our society.

Community planning is a key driver for public service reform at local level. It brings together local public services and the communities they serve. It provides a focus for joint working, driven by strong shared leadership, directed towards distinctive local circumstances. And this focused joint working provides powerful potential to address often deep-rooted causes of inequalities, and to use preventative approaches to manage future demands on crisis intervention services.

This statutory guidance provides a renewed vision for community planning, which builds on the provisions in the 2015 Act and the shared ambitions of COSLA and the Scottish Government. The guidance supersedes the Statement of Ambition which COSLA and the Scottish Government agreed in 2012; and also policy statements which the National Community Planning Group, Scottish Ministers and COSLA leaders have issued since then.

The expectations in this guidance are intended to be ambitious and to be challenging. They recognise that community planning partnerships (CPPs) are undertaking an improvement journey. It is therefore important that CPPs understand how closely their own performance matches these expectations and have a clear understanding of the nature and extent of improvement support required to make these ambitions real. But this ambition is important if community planning, alongside health and social care integration and community justice is to make the most of its potential as a principal driver of public service reform locally across Scotland.

## **Purpose of community planning and summary of expectations**

Under the 2015 Act, community planning is about how public bodies work together and with the local community to plan for, resource and provide or secure the provision of services which improve local outcomes in a local authority area, with a view to reducing inequalities.

Our vision for effective community planning is built upon a series of principles, which are summarised in the box below and described in further detail in Part 2 of this guidance. These principles reflect the following qualities about what community planning should encompass and achieve.

Effective community planning brings together the collective talents and resources of local public services and communities to drive positive change locally. Community planning partners both statutory and non- statutory provide strong shared leadership for community planning, so that the CPP sets an ambitious vision with and for local communities and ensures that is delivered. The voices of communities themselves, especially those experiencing socio-economic disadvantage, are integral to successful community planning. Their needs and aspirations, and their own capacity to make change happen (with support where needed), are reflected in the local priorities the CPP sets, in how community planning partners shape services and direct resources, and in how the CPP reviews progress made.

Effective community planning focuses on where partners' collective efforts, can add most value for their local communities, with particular emphasis on reducing inequalities. The CPP has a clear and ambitious vision for its local area. This focuses community planning on a small number of local priorities where the CPP will add most value as a partnership – in particular by improving outcomes for its most vulnerable communities and moderating future demand for crisis services. The CPP is clear about the improvements it wishes to make locally on these priorities, and is committed to prevention and early intervention as a way to contribute to these improvements.

Effective community planning makes the most of collective resources to deliver change where it matters most for local communities. The CPP and its partners understand how their collective resources support their ambitions. They deploy the right resources to meet the CPP's improvement targets and offer better prospects for vulnerable people in future. Partners look for opportunities to work together to use collective resources in more effective and efficient ways to improve outcomes. They align their collective resources to better support the CPP's ambitions. The CPP and its partners keep under review whether partners are deploying the right resources to meet their ambitions, take corrective action where necessary and report progress annually to their communities.

Effective community planning is committed to achieving its ambitions and strives for continuous improvement. The CPP and its partners are committed to delivering on their ambitions for communities in their area. They understand how well they're performing, and act nimbly wherever appropriate to improve performance. There is genuine challenge and scrutiny in community planning, built on mutual trust, a shared and ambitious commitment to continuous improvement, and a culture that promotes and accepts challenge among partners. The CPP is organised to provide a strong platform which supports and encourages vibrant strategic decision-making and action locally. And the CPP is transparent in demonstrating to its communities the progress it is making to improve outcomes.

## **Summary of Expectations - Principles of Effective Community Planning**

### Community participation and co-production

- The CPP and community planning partners work with community bodies to ensure that all bodies which can contribute to community planning are able to do so in an effective way and to the extent that they wish to do so.
- The CPP and community planning partners have a clear understanding of distinctive needs and aspirations of communities of place and interest within its area, as a result of effective participation with community bodies.
- Effective community participation informs decisions about the CPP's priorities, how services are shaped and resources deployed; this includes working with community bodies on co-production where these bodies wish to do so.
- Effective community participation informs how the CPP manages and scrutinises performance and progress, and how it revises its actions to meet its ambitions as a result of its performance management.
- The CPP embraces the principles of effective co-production which is aimed at combining the mutual strengths and capacities of all partners (including community bodies) to achieve positive change.

### Tackling inequalities

- The CPP has a strong understanding of which households and communities, both of place and of interest, in its area experience inequalities of outcome which impact on their quality of life.
- The CPP focuses its collective energy on where its partners' efforts can add most value for its communities, with particular emphasis on reducing inequalities.
- The CPP develops locality and thematic approaches as appropriate to address these, with participation from community bodies representing the interests of persons experiencing inequalities.
- The CPP should build the capacity of communities, particularly those experiencing inequality, to enable those communities, both geographic and of interest, to identify their own needs and opportunities; and support their efforts to participate effectively in community planning, including in the co-production of services.

### Shared leadership

- Partners demonstrate collective ownership, leadership and strategic direction of community planning.
- Partners use their shared leadership role to ensure the CPP sets an ambitious vision with and for local communities; the CPP involves all partners and resources that can contribute towards delivering on that vision; and that partners deliver on it.
- The CPP is clear about how they work with public service reform programmes (including health and social care integration and community justice reforms).

### Governance and accountability

- The CPP understands what effective community planning requires, and the improvement needs for it and its partners.
- The CPP and its partners apply effective challenge and scrutiny in community planning, built on mutual trust, a shared and ambitious commitment to continuous improvement, and a culture that promotes and accepts challenge among partners.
- The CPP organises itself in an effective way, which provides platforms for strong strategic decision-making and action, and effective scrutiny and challenge.
- The CPPs and partners can demonstrate, including to local communities through annual progress reports, how they are working effectively in partnership to improve outcomes as part of how they are held to account.
- Understanding of local communities' needs, circumstances and opportunities
- The CPP has a strong understanding of its local areas, including differing needs, circumstances and opportunities for communities (geographical and communities of interest) within its area.
- This understanding is built on appropriate data and evidence from partners and community perspectives flowing from effective community engagement.

### Focus on key priorities

- The CPP uses its understanding of local needs, circumstances and opportunities to establish a clear and ambitious vision for its area and identify local priorities for improvement.
- The CPP is clear about the improvement it wishes to make locally in terms of better outcomes for specific communities, reducing the gap in outcomes between the most and least deprived groups and improving long term sustainability of public service provision.
- The LOIP places a clear emphasis on identifying local priorities which focus on how the CPP will add most value as a partnership to improve outcomes and tackle inequalities, and the CPP targets activities around these priorities.

### Focus on prevention

- The CPP and partners plan prevention and early intervention approaches as core activities which help people and communities to thrive and contribute to addressing poor outcomes and improving long term sustainability of public service provision..
- The CPP places strong emphasis on preventative measures to achieve ambitious long term improvement goals on the local outcomes it prioritises.
- CPP partners provide resources required to support preventative measures to the scale required to fulfil these ambitions.
- The CPP works with local communities and uses a close understanding of local needs, circumstances and opportunities to design services and focus resources to where it has greatest preventative benefit.

### Resourcing improvement

- The CPP and its partners understand how their collective resources are supporting shared local priorities, and whether together these are sufficient and the right resources to enable the CPP to meet its improvement targets.
- Partners demonstrate strong shared leadership by working with other bodies to use collective resources in more effective and efficient ways to improve outcomes and reduce inequalities.
- Partners deploy sufficient resource to meet agreed ambitions for the CPP's local priorities.
- Partners align their collective resources in ways which support its local priorities effectively and efficiently.
- The CPP and its partners keep under review whether partners' deployment of resources remains appropriate for meeting its ambitions, and take corrective action where necessary.

### Effective performance management

- The CPP has a deep-rooted commitment to continuous improvement.
- The CPP has effective processes and skills to understand and scrutinise performance.
- The CPP acts wherever appropriate to improve performance in light of this understanding and scrutiny.

### **What difference does the 2015 Act make to community planning?**

In summary, the Act makes significant changes to community planning legislation, previously contained in Part 2 of the Local Government in Scotland Act 2003. Community planning now has a clear statutory purpose focused on improving outcomes. It is explicitly about how public bodies work together and with the local community to plan for, resource and provide services which improve local outcomes in the local authority area, all with a view to reducing inequalities. These reforms recognise that:

- it is unlikely that any public sector body can most effectively meet its own business requirements by working in isolation.
- public bodies need to work closely in partnership with each other and their local communities in order to make the biggest difference in the outcomes for which they are responsible.
- how public sector bodies and communities do this should reflect often distinctive local conditions.

The 2015 Act requires CPPs to:

- prepare and publish a local outcomes improvement plan (LOIP) which sets out the local outcomes which the CPP will prioritise for improvement
- identify smaller areas within the local authority area which experience the poorest outcomes, and prepare and publish locality plans to improve outcomes on agreed priorities for these communities (the outcomes prioritised for improvement in a locality plan may differ from those in the local outcomes improvement plan)
- review and report publicly on progress towards their LOIP and locality plans, and keep the continued suitability of these plans under review.

The 2015 Act expands the number of public sector bodies that are subject to community planning duties. Statutory partners under the 2003 Act are the local authority; the Health Board; Scottish Enterprise / Highlands and Islands Enterprise; Police Scotland; the Scottish Fire and Rescue Service, and the Regional Transport Partnership. Schedule 1 to the 2015 Act expands this list to include:

- Historic Environment Scotland
- the health and social care Integration Joint Board for the area
- a National Park authority
- the board of management of a regional college
- a regional strategic body under the Further and Higher Education (Scotland) Act 2005
- Scottish Environment Protection Agency
- Scottish Natural Heritage
- Scottish Sports Council (i.e. Sportscotland)
- Skills Development Scotland
- VisitScotland.

The 2015 Act places specific duties on community planning partners, all linked to improving outcomes. These include:

- co-operating with other partners in carrying out community planning
- taking account of LOIPs in carrying out its functions;
- contributing such funds, staff and other resources as the CPP considers appropriate to improve local outcomes in the LOIP and secure participation of community bodies throughout community planning.

Under the 2015 Act, running the CPP and making sure it works effectively is a shared enterprise. It applies duties to support shared leadership and collective governance on specified community planning partners, i.e. the local authority, NHS, Police Scotland, Scottish Fire and Rescue Service and Scottish Enterprise or Highlands and Islands Enterprise. These duties include:

- facilitating community planning
- taking all reasonable steps to ensure the CPP conducts its functions effectively and efficiently.

The participation of and with communities lies at the heart of community planning, and apply in the development, design and delivery of plans as well as in the review, revision and reporting. The 2015 Act and this guidance make it clear that consultation is no longer enough and that CPPs and community planning partners must act to secure the participation of communities throughout.

So CPPs must take all reasonable steps to secure the involvement in community planning of any community body which it considers is likely to be able to contribute to it, to the extent that the community body wishes. They must in particular have regard to community bodies which represent those communities experiencing socio-economic disadvantage. And statutory community planning partners must contribute such funds, staff and other resources as the CPP considers appropriate to secure participation of community bodies in community planning.

Whilst the provisions in the 2015 Act sets out statutory duties on CPPs and community planning partners, effective community planning requires more than simply complying with these duties. CPPs and community planning partners need to apply the principles of effective community planning summarised in this guidance, as without them then community planning is unlikely to make the difference to people and communities that it can and should.

### **What is the scope of the guidance?**

Scottish Ministers have published this guidance under section 15 of the 2015 Act. CPPs and community planning partners listed in Schedule 1 to the Act and the relevant local authority must have regard to this guidance in undertaking community planning. Other organisations and individuals involved in community planning are also encouraged to take account of this guidance.

## **PART 2: MORE DETAILED SUPPORTING GUIDANCE**

This Part provides practitioners and other interested parties participating in community planning with more detailed supporting guidance about the principles of effective community planning. It includes explanations about why each principle is important, issues CPPs and partner bodies should consider in applying them and examples of how they may do so. This part also provides specific guidance for CPPs and partner bodies for preparing and publishing Local Outcome Improvement Plans and locality plans; together with a series of weblinks to other supporting materials.

## A: PRINCIPLES OF EFFECTIVE COMMUNITY PLANNING

### Community participation

#### Summary of Expectations

- The CPP and community planning partners work with community bodies to ensure that all bodies which can contribute to community planning are able to do so in an effective way and to the extent that they wish to do so.
- The CPP and community planning partners have a clear understanding of distinctive needs and aspirations of communities of place and interest within its area, as a result of effective participation with community bodies.
- Effective community participation informs decisions about the CPP's priorities, how services are shaped and resources deployed; this includes working with community bodies on co-production where these bodies wish to do so.
- Effective community participation informs how the CPP manages and scrutinises performance and progress, and how it revises its actions to meet its ambitions as a result of its performance management.
- The CPP embraces the principles of effective co-production which is aimed at combining the mutual strengths and capacities of all partners (including community bodies) to achieve positive change.

#### Introduction

1. The CPP and its community planning partners should demonstrate a clear commitment to securing effective participation with community bodies throughout community planning, by engaging actively with communities of place and interest. Effective community participation is essential to assist the CPP to secure improved outcomes and reduced inequalities. It can also stimulate improved self-esteem, raised aspirations within these communities, and capacity to try to do more.
2. This commitment to securing effective participation from community bodies should be led, planned and managed effectively at a partnership level, with strong shared leadership from all partners including community bodies. Approaches should be informed by the National Standards for Community Engagement and supported by such tools and frameworks as are appropriate. Leaders should promote a culture throughout their respective organisations which is committed to the ideal of communities as equal partners, and support innovative ways to involve and empower communities.

### Identifying Community Bodies

3. The 2015 Act requires CPPs and community planning partners both to engage with those community bodies which are likely to be able to contribute to community planning, and to participate with these bodies in community planning to the extent that those bodies wish to do so (section 4(3) and (6)).
4. Section 4(9) defines “community bodies” for this purpose. These are bodies, whether or not formally constituted, established for purposes which consist of or include that of promoting or improving interests of any communities however resident or otherwise present in the area of the CPP.
5. Formally constituted bodies can include, for example, community councils, tenant or resident associations, and local business associations. These bodies can support the interests of **communities of place** and **communities of interest** (e.g. young people leaving care; vulnerable adults; the local business community; those with protected characteristics such as disabled people; or people from black and minority ethnic communities.)
6. The CPP should also engage with third sector organisations, where doing so can support effective participation from community groups that can contribute to community planning. Third Sector Interfaces should support effective community planning, by building links between third sector bodies and the CPP.
7. A substantial number of community bodies are also regarded as third sector organisations<sup>1</sup>. While the CPP may determine that it cannot engage with every community body in the way and to the extent that each body might wish, it should be open and transparent in making clear to bodies why it has reached the decisions it has in order to support how it fulfils its broader duty to secure effective community planning.

### Applying this Principle

8. Community participation should closely inform all aspects of community planning, including understanding of needs, circumstances and opportunities; setting priorities; responding to those priorities and reviewing progress. The CPP and its partners should shape their engagement activity with a view to securing active, constructive and ongoing participation from community bodies. This engagement will inform, for instance, when and how this activity is undertaken, and what local information and other support the CPP and partners provide to facilitate effective participation. Effective links may be made for example, with statutory consultation requirements on the development plan.

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<sup>1</sup> The third sector includes volunteers, charities, social enterprises, mutual, voluntary groups, community groups, sports associations and others. They are neither public or private sector and are focused on achieving social goals.

9. Securing participation from communities requires commitment from the CPP and partners to strengthen the capacity of community bodies, wherever this is needed to build effective community involvement in decision-making, policy development and service provision. Community capacity building is especially important to secure the participation of those sections of the community which are otherwise less engaged than other sections in community planning. This includes in particular community bodies which represent the interests of persons who experience inequalities of outcome which result from socio-economic or other disadvantage. Community planning partners should seek to maximise the impact of community learning and development by focusing activity on the most disadvantaged communities.
10. Section 14(3)(b) gives a statutory basis to this requirement, by requiring community planning partners to contribute such funds, staff and other resources as the CPP considers appropriate to secure that participation. The CPP should ensure that there is a particular focus on supporting the participation of those people who face additional barriers to involvement. The CPP and its partners – including Third Sector bodies and, importantly, community bodies themselves – should view capacity building as a shared responsibility.
11. Through their engagement and capacity building activity, the CPP and partners should develop and maintain a strong understanding of local needs, circumstances and opportunities. These needs and aspirations are likely to be complex and constantly evolving, and so the CPP and its community planning partners will need to maintain ongoing engagement with community bodies. In turn community bodies and the communities they represent should feel that their voices have been heard and change has taken place as a result of their involvement.
12. Techniques such as charrettes, an innovative multi-disciplinary approach to development in the built environment or use of the Place Standard which supports the delivery of high quality places in Scotland and to maximise the potential of the physical and social environment in supporting health, wellbeing and a high quality of life, can support effective community engagement which is central to the delivery of successful, sustainable places.
13. Partners should collaboratively align their community participation activity. The aim is to: pool community engagement expertise and resources; reduce engagement fatigue amongst communities; provide a more efficient use of community as well as public partner resource; and maximise the impact of community participation in community planning.

14. The CPP should ensure that its structure and organisation ensure a strategic, full and clear role for community bodies in its organisation and in its decision-making across all levels. From this and how the CPP more broadly secures participation from community bodies in community planning, community needs and aspirations should strongly inform the CPP's understanding of local needs and circumstances, as well as its clear vision for local communities and the priorities it sets for improvement in its LOIP. These decisions may not fully satisfy the wishes of every community body, so the CPP should be transparent and provide reasoning for their choice of actions.
15. The perspective of communities is also important for decisions on how to deliver and resource actions to achieve ambitions in the LOIP. This is especially true when tackling multi-faceted and deep-rooted challenges which result in cumulative impact and poorer outcomes for some sections of the community, in these circumstances it is particularly important that interventions are shaped around the needs, circumstances and aspirations of targeted groups.
16. CPPs should work with communities to consider and, where appropriate, develop opportunities to co-produce services with communities where those communities wish and have the capacity to do so. In simple terms, this means working with rather than doing to people and communities, to achieve better outcomes. This can harness communities' ambitions to fulfil their own potential, building on their knowledge, experience, talents and aptitude; and from this, support positive outcomes. It can be an effective way of pursuing prevention.
17. Section 4(6)(c) requires CPPs to take such steps as are reasonable to enable communities bodies who wish to participate in community planning to do so. In line with section 14(3)(b), community planning partners should provide such resources as the CPP considers appropriate to secure the participation of community bodies in community planning. This should include support where needed to support community bodies to engage in co-production (reflecting the duty in section 4(6)(c)).
18. One example of how CPPs can gain a community perspective is by using Participatory Budgeting as a tool for enhanced community engagement and as a development of participatory democracy. Participatory Budgeting gives local people a direct say in how and where public funds can be used to address locally identified requirements by providing the opportunity to identify preferences and allocate spend within defined parameters.

19. A commitment to community participation is also important to how the CPP monitors performance and progress against its ambitions, how it ensures sufficient challenge and scrutiny of this progress, and how it revises its actions to meet these ambitions in response. Intelligence about the views and experiences of local communities should form part of a portfolio of evidence which underpins the CPP's approach to effective performance management. This, for instance, should enable the CPP to review and evaluate how well local people feel they are involved in local decision making and how well local services are meeting their needs and aspirations. It should also assist the CPP to identify progress towards ambitions in specific communities of place or of interest that might be masked in data that covers the whole CPP area.
20. This intelligence about the views and experiences of local communities may be built in a variety of ways. However it should include opportunities for community bodies to participate fully within the CPP's formal monitoring channels.
21. CPPs should establish on-going monitoring and evaluation processes (including the annual progress report to their communities) as a means to communicate, explain and encourage further community participation in community planning. CPPs should describe the extent to which they have been effective in enabling community bodies to contribute to community planning in this progress report (section 8(2) of the 2015 Act refers). This measure of participation and impact is designed to encourage CPPs to place communities at the centre of community planning so that community perspectives can contribute throughout.
22. Effective community participation requires the CPP to demonstrate clearly ways in which it has improved local peoples' lives. The CPP is accountable to communities for the progress it makes towards its community planning ambitions for the local area. Section 14(4) makes it clear that each partner must provide such information about local outcomes as the partnership requests which could include contributions to the published annual report.
23. Annual published progress reports should be accessible and readily available to communities in formats which enable communities to understand the direction and scale of progress. Reporting requirements for communities may therefore differ from those for other partners. Securing the participation of communities on an on-going basis will require that those communities see and understand the impact of community planning activity on their lives.
24. Sections 8 and 12 of the 2015 Act require the CPP to publish annual reports which, respectively, describe progress made towards ambitions in their LOIP and locality plans. Progress reports should provide communities with an assessment of progress that is accurate and current. The annual progress report on the LOIP should also include an assessment of how the CPP and community planning partners have participated with community bodies during the reporting year, and how effective that has been in enabling community bodies to shape and influence community planning (s.8(2)(b) refers).

## Tackling inequalities

### Summary of Expectations

- The CPP has a strong understanding of which households and communities, both of place and of interest, in its area experience inequalities of outcome which impact on their quality of life.
- The CPP focuses its collective energy on where its partners' efforts can add most value for its communities, with particular emphasis on reducing inequalities.
- The CPP develops locality and thematic approaches as appropriate to address these, with participation from community bodies representing the interests of persons experiencing inequalities.
- The CPP should build the capacity of communities, particularly those experiencing inequality, to enable those communities, both geographic and of interest, to identify their own needs and opportunities; and support their efforts to participate effectively in community planning, including in the co-production of services.

### Introduction

25. The duties in the Equality Act (2010) and the Specific Duties (Scotland) Regulations 2012 to which statutory community planning partners are subject to in how they conduct their business are equally relevant in a community planning context. Further, each CPP in carrying out community planning must act with a view to reducing inequalities (section 5 of the 2015 Act refers).
26. The importance of tackling inequalities is built into both the Christie Commission report and the Scottish Government's Public Service Reform agenda. They recognised that public services are important to us all, but are of particular importance in improving the lives of the vulnerable and disadvantaged in our society. With our public services facing increasing pressures, in part to deal with the consequences of disadvantage and vulnerability, and with significant constraints on public spending imposed by the UK Government in Westminster, our public services more than ever need to meet the needs of the people and the communities they seek to support.
27. Community planning has a particularly important role in tackling inequalities. Multiple negative outcomes tend to befall the same households and communities, whether those communities are geographic or of interest. History tells us that piecemeal approaches which target one outcome at a time tend to have limited success.

28. Addressing multiple negative outcomes requires multi-faceted responses which address their collective impact on affected communities. Community planning brings together the partners who can respond in this integrated way. It is through the prism of addressing socio economic inequality that CPPs can prioritise their efforts towards where they can make the biggest difference to peoples' lives, enabling them to thrive, with local services designed responsively to changing local needs and circumstances. The 2015 Act now reflects this recognition about the role of community planning in tackling inequalities. It includes a specific duty on CPPs when carrying out their functions under Part 2 of the Act to act with a view to reducing inequalities of outcome which result from socio-economic disadvantage (section 5), unless the CPP consider it would be inappropriate to do so.

#### Applying this Principle

29. As in all aspects of how a CPP and its partners act to tackle inequalities, the communities in question may be communities of place or of interest. The CPP should act with a view to tackling inequalities in all aspects of its work, throughout community planning and not only through its locality planning.

30. It is for each CPP to identify which communities in its area experience inequalities of outcome which impact upon the quality of life for those communities, and the extent of these inequalities. It should establish this as a central part of how it builds its understanding of local needs, circumstances and opportunities.

31. Inequalities are not always experienced in neat concentrations of people in communities. They may apply to particular communities of place, communities of interest or even individual households. So the CPP will need to use its understanding of the distribution and extent of such inequalities to be able to tackle these effectively and efficiently. In all cases, the CPP and its partners should recognise the multi-faceted and inter-connected nature of inequalities facing these communities, as it works through approaches to reduce these.

32. The CPP should then reflect this understanding of inequalities in setting its local priorities. It may choose to focus one or more of its priorities on improving outcomes for particular communities experiencing poorer outcomes. Where the CPP instead sets a local priority around an outcome theme (e.g. employability or healthy life expectancy), it should consider interventions which reduce inequalities as well as improve outcomes.

33. CPP partners should then deploy resources in ways that will have most impact in targeting inequalities in outcomes. The duties on locality planning in sections 9-12 of the Act reflect the fact that inequalities of outcome are often most stark when disaggregated to small neighbourhood level, showing the value of targeting and customising services to particular communities.

34. Effective engagement with communities should be integral to approaches to tackle inequalities. Communities will often be best placed to understand their needs and shape responses which can address these effectively. CPPs should build the capacity of communities, particularly those experiencing inequality, to better enable those communities to identify their own needs and aspirations and support their efforts to participate throughout community planning, including in the co-production of services, to the extent that the community wish to.
35. The Act places a duty on community planning partners around this. Section 14(3)(b) requires community planning partners to contribute such funds, staff and other resources as the CPP agrees in order to secure the participation of community bodies in community planning, having regard in particular to those representing the interests of persons experiencing inequalities. The CPP may find that understanding how other communities in their area successfully articulate their views can provide valuable insights that can help them work with those communities who need it most.
36. Although CPPs must act with a view to reducing inequality, this does not mean that every single action a CPP takes must in and of itself demonstrably act to reduce inequality. Section 5 of the 2015 Act recognises this, by providing that a CPP need not comply with the duty to act with a view to reducing inequalities if it considers that it would be inappropriate to do so. This allows CPPs to, for example, undertake measures to support local economic development such as encouraging the growth of business sectors that require highly skilled and highly rewarded employees. It is reasonable to expect that securing such employment contributes to improving outcomes in the area, and can sit within a portfolio of priorities for that CPP which otherwise places a strong emphasis on tackling inequality.

## Shared leadership

### Summary of Expectations

- Partners demonstrate collective ownership, leadership and strategic direction of community planning.
- Partners use their shared leadership role to ensure the CPP sets an ambitious vision with and for local communities; the CPP involves all partners and resources that can contribute towards delivering on that vision; and that partners deliver on it.
- The CPP is clear about how they work with public service reform programmes (including health and social care integration and community justice reforms).

### Why Strong Shared Leadership is needed

37. Shared leadership is needed to ensure collective ownership for effective community planning in an area. Strong shared leadership provides a CPP with a clear strategic direction and stretching ambitions for local communities, and also momentum to drive progress and secure continuous improvement.

### Who Shared Leadership Applies to

38. Shared leadership is a corporate responsibility for each partner body. The effectiveness of this depends on the drive and enthusiasm which leaders within partner organisations personally demonstrate to how their organisation engages in community planning. This includes the body's senior management, board members and political leaders.

39. While traditionally community planning has tended to be seen as a council-led exercise in which other bodies participated but did not lead, effective community planning now requires every community planning partner to contribute to strong shared leadership. This includes those partners which participate while not having statutory community planning duties under the 2015 Act (e.g. the Third Sector Interface, community representatives, housing associations and co-operatives).

### What Strong Shared Leadership Involves from CPPs

40. Within the CPP, one key feature of strong shared leadership is ensuring it has a clear vision for local communities, built on a strong and up-to-date understanding of local needs, circumstances and opportunities, shaped by effective community participation. Another is to ensure a positive committed response in delivering that vision, in how partners work together and with communities to set and achieve ambitious progress on collaboratively agreed key priorities. This includes their commitment to prevention and to ensuring sufficient collective resource is in place to deliver on agreed priorities.

41. CPPs should also ensure they are clear about how community planning can and should add value to, and in turn benefit from, other public service reforms. In particular, CPPs should consider how their work can most effectively work alongside, and gain from, other areas of public service reform including health and social care integration and community justice.
42. CPPs and community planning partners need not limit their focus on collaboration to within their own area. They should consider where there may be opportunities to build connections with neighbouring or other CPP areas, wherever this can support efforts towards improving outcomes or working more efficiently.

#### What Strong Shared Leadership Requires from Community Planning Partners

43. A community planning partner will demonstrate strong leadership both through how it engages in the work of the CPP, which includes how it uses opportunities that community planning can provide to pursue its own outcome responsibilities, and in how it reflects priorities agreed by the CPP in its own work.
44. The Act imposes statutory duties on community planning partners. Each partner must co-operate with the other partners in carrying out community planning (section 14(2)), and provide such funds, staff and other resources as the CPP decides is appropriate to deliver on its commitments (section 14(3)). Community planning partners must also take account of the agreed LOIP in carrying out its functions (section 14(5)).
45. Each partner should be ambitious and creative in its approach to community planning. It should view community planning as more than a responsibility with which they must comply. Community planning also provides an opportunity to engage with other partners and pool collective resource in order to drive improvements in outcomes in which they have interests which may be both shared and interdependent, and which can contribute to achievement of the partner's own organisational objectives.
46. In doing so, partners should ensure that their ambition and creativity covers all of their responsibilities which can contribute to, or be supported by, community planning. For instance, community planning can be used to target priorities which can assist NHS Boards in pursuing prevention, anticipation and supported self-management across all their services, in line with Scottish Government's 2020 Vision for healthcare in Scotland. And within local authorities, for instance, housing and local transport services may be relevant to supporting community planning priorities. And the development planning role of planning officers can be important in helping to set a framework for the local infrastructure which can underpin long-term community planning ambitions.

47. The specific contribution of statutory and non-statutory partners to local community planning will depend on the extent to which the CPP's local priorities reflect the individual body's role and responsibilities. So CPPs should understand the specific contributions that individual partners can make to improving each of its agreed outcomes. This includes engaging with bodies which are not statutory partners and which have previously not been closely involved in community planning, wherever this can add value to delivering one or more of these local outcomes.
48. As a result, a CPP may agree that particular community planning partners need not comply with a duty related to a particular local outcome, or need comply only to the extent as is agreed (section 14(1)). This would most likely arise where the CPP recognised that a particular community planning partner had no relevant contribution to offer to deliver a particular local outcome.
49. Each community planning partner is jointly responsible for fulfilling the ambitions the CPP agrees to. As a result, objective on-going reviews of progress and recalibration of needs and ambitions, with mutual challenge wherever needed, are fundamental elements of effective and proactive shared leadership. CPPs should not view these as simply a function of formal governance.

#### Some Approaches for Applying Shared Leadership

50. The Christie Commission report highlighted the role of leaders in ensuring the involvement of front-line staff and communities in the transformation of service provision. This requires a sustained personal effort by leaders to shift organisational cultures and operations towards an all-inclusive change agenda. At an operational level this includes proportionate local autonomy and development support where needed for professionals so that they are empowered and supported to work with the local community and across professional boundaries to collaboratively develop local responses.
51. Shared leadership does not apply only to the CPP Board. It should be an approach that is translated locally and reflected in the organisational practices and cultures of community planning partners at all levels of community planning (including strategic, management and operational).
52. A recent report<sup>2</sup> encapsulates characteristics for effective shared leadership among public sector leaders well. It suggests that the best public sector leaders of the future "will demonstrate a series of new abilities and behaviours that encompass multiple skill sets. They will be adept at connecting people, information and resources to deliver through complex networks. They will operate with a default level of transparency towards their colleagues and citizens, and use social media to engage both continually. Their decisions will be informed by evidence and they will test out their thinking by iterative processes as part of innovation."

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<sup>2</sup> Deloitte, *The State of the State 2015-16: Recalibrating Government* (p.18)

## Governance and accountability

### Summary of Expectations

- The CPP understands what effective community planning requires, and the improvement needs for it and its partners.
- The CPP and its partners apply effective challenge and scrutiny in community planning, built on mutual trust, a shared and ambitious commitment to continuous improvement, and a culture that promotes and accepts challenge among partners.
- The CPP organises itself in an effective way, which provides platforms for strong strategic decision-making and action, and effective scrutiny and challenge.
- The CPPs and partners can demonstrate, including to local communities through annual progress reports, how they are working effectively in partnership to improve outcomes as part of how they are held to account.

### Why Strong Governance and Accountability is Needed

53. Governance and accountability should provide assurance that community planning in an area is working effectively for the benefit of local communities and in line with statutory duties set out in the 2015 Act.
54. Ensuring community planning is effective is first and foremost the responsibility of the CPP and its partners. It is vital that the CPP takes responsibility for its own performance and improvement. Can the CPP demonstrate it is making a difference, reducing inequalities in outcomes, applying preventative approaches and using its collective resources to get the maximum benefit for communities? All community planning partners should contribute towards strong shared leadership which sets an ambitious vision and supporting targets for community planning in the area, and drives progress towards these.

### What Strong Governance and Accountability Requires from CPPs and Community Planning Partners

55. Each CPP must put in place administrative structures and operational arrangements which support effective and efficient community planning. How CPPs do this (e.g. with thematic and/or area sub-groups; in how they build locality planning into their arrangements) is for the CPP to decide for themselves.

56. The most effective scrutiny and challenge in community planning is embedded as an integral part of how the CPP conducts its day-to-day business. To make this happen on an on-going basis, all community planning partners need to test and scrutinise progress, and wherever necessary challenge each other, in effective ways which support continuous improvement. This provides accountability by partners to each other within the CPP, and includes challenging each partner on whether and how they are contributing to the CPP's priorities in its LOIP and locality plans.
57. It is for each CPP to determine how to resolve challenges between partners whether they are from public sector, third sector or community bodies. Each CPP should ensure that its structure and operations, including in its assessment of risk, provide the opportunity to air differing views transparently. It should bring together those with appropriate expertise and authority to take actions to resolve these disputes. The CPP should be clear about why the partnership has collaboratively agreed to act in the way it has and articulate this to partners including communities.
58. In any case, community planning partners need to hold and demonstrate the skills and culture that are needed to create effective challenge, within an operating culture in which they can both build and maintain good on-going relations and hold colleagues to account for their respective contributions and performance.
59. Another key aspect of effective governance is the management of risk. The CPP should discuss and agree what potential risks the community and the partnership is exposed to, including failure to improve outcomes and reduce inequalities and develop a risk management strategy to monitor and manage these risks appropriately, including any mitigating actions for each identifiable risk to success.
60. The CPP and its partners should be clear about how effectively they are performing, and identify and address improvement needs. Community body perspectives can be important for informing this understanding of performance. And self-assessments can help CPPs diagnose strengths and improvement needs, and provide a catalyst for further improvement actions.

#### Specific Statutory Governance Duties

61. Section 13 of the Act places a duty on certain community planning partners (the local authority, NHS board, enterprise body, Police Scotland and SFRS) to take reasonable steps to ensure that the CPP carries out its functions under Part 2 of the Act efficiently and effectively. This duty provides a formal focus on a small group of key and influential partners in the CPP to drive effective community planning. These partners should be able to demonstrate how, individually and together, they fulfil this duty. Nevertheless, the day-to-day practical responsibility to ensure community planning works effectively falls to all community planning partners, and not just those listed in section 13.

62. Each CPP will have a top-level board or committee, which should provide strategic leadership and oversight of how the CPP conducts its business and fulfils its ambitions. In some cases, this Committee will also exercise executive functions. In others, a separate board comprising non-executive members might be established to provide this strategic leadership and oversight.
63. It is up to each CPP to decide how it organises itself. In doing so, it should ensure that its structure provides a place or places for both strategic decision-making involving senior representatives of community planning partners with high levels of authority, and strategic leadership and oversight involving senior figures (those who have the appropriate skills which might include elected members and public body board members) who can hold senior executives to account for how they drive community planning. It should also ensure that everyone involved in community planning is clear about their own respective role and responsibilities.

#### Accountability to Local Communities

64. The CPP is accountable to communities for the progress it makes towards its community planning ambitions for the local area. Effective community participation requires the CPP to demonstrate clearly ways in which it has improved local peoples' lives. Section 14(4) makes it clear that each community planning partner must provide such information about local outcomes as the partnership request which includes contributions to the published annual report.
65. Sections 8 and 12 of the 2015 Act require the CPP to publish annual reports which, respectively, describe progress made towards ambitions in their LOIP and locality plans. The annual progress report on the LOIP should also include an assessment of how the CPP has participated with community bodies during the reporting year and how effective that has been in enabling community bodies to shape and influence community planning (s.8(2)(b) refers). CPPs should publish these progress reports within 6 months following the end of the reporting year, providing partners and communities with an assessment of progress that is accurate and current is crucial to secure on-going effective participation. CPPs should ensure these reports are accessible to local communities and straight forward to understand.

#### Formal Lines of Accountability

66. As well as accountability to each other within the CPP, community planning partners are subject to other formal lines of accountability. These include to their own organisation's board, Scottish Ministers, the Scottish Police Authority (in the case of Police Scotland), the Scottish Fire and Rescue Service Board, or to the communities that elected them (in the case of local authorities).

67. Those who hold public bodies to account, principally elected members and Scottish Government, should test partners on how they are working effectively in partnership and especially through CPPs to improve outcomes and reduce inequalities as part of how they do so. By the same token, organisations' boards, Scottish Ministers, elected Councils, the Scottish Police Authority and Scottish Fire and Rescue Service Board should hold partners to account on these issues within the context of their regional or national remit and responsibilities. The CPP itself should make clear how it is using collective resources to improve local outcomes and reduce inequalities on its priority themes, as part of how it reports to its local communities.

#### Specific Statutory Duties to Facilitate Community Planning

68. Section 13 of the Act places a duty on certain community planning partners (the local authority, NHS board, enterprise body, Police Scotland and SFRS) to facilitate community planning. It is for these partners to agree for themselves how this is done. Even where it is agreed that most facilitation functions fall on one partner (as, for instance, local authorities have historically tended to lead this role), responsibility for ensuring the CPP is properly managed and supported falls upon all of the partners listed in section 13.

69. Coordinating and managing partnership working can be complex, given the range of leadership boards, locality or thematic groups, national reform activity and other forums in any given area which either fall within the CPP or affect its work. Shared leadership is needed to ensure collective ownership of effective community planning and to provide strategic direction for activities.

70. The partners with facilitation duties should decide which local partnership working arrangements are most appropriate for their area. In some cases, for instance, a CPP may choose to delegate and channel its business, including planning, investment and review, to area committees. In all cases, the partners should ensure these arrangements are streamlined as far as possible and aligned with their local improvement priorities.