

**Community participation  
in local decision-making in protected areas: the case of the New Forest  
National Park, Hampshire, England.**

**Denise Maria Ann Hewlett**

**A thesis submitted in partial fulfilment of the requirements of Bournemouth  
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## **Community participation in local decision-making in protected areas: the case of the New Forest National Park, Hampshire, England.**

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### *Abstract*

This research sought to establish the extent of and reasons for community participation and non participation in local decision-making practices in the New Forest National Park, a protected area, in Southern England.

Following a critical examination of the literature and previous research the concepts and theories of government, governance and of social capital were identified as being critical for an understanding and explanation of community engagement and disengagement. Primary data was collected through a series of qualitative interviews with representatives of institutions and of the local community in the area together with two concurrent quantitative surveys, one a random household survey and the other of individuals registered on an existing citizen's panel.

Unlike studies of participation in society at large, the findings show a high level of participation is occurring. The nature and characteristics of this participation are examined in terms of non participation and three levels of participation categorized as; individual, collective, and leadership. Distinguishing characteristics of these four categories include the respondents' 'level of education', 'length of residence in the area' and their views of their local community. It was also demonstrated that the varying levels of engagement and disengagement can additionally be differentiated by an individual's perception as to their political efficacy and their degree of cynicism towards institutions. These views on governance question the depth and quality of participation occurring in the New Forest and are further related to the systems of engagement identified.

This research addresses gaps in previous studies conducted in protected areas in that it focuses upon the range of participation and non participation demonstrated in a western protected area context. The results of this research raise questions as to just how transferable best practices are and how feasible wider community engagement is to achieve in the New Forest or other protected areas where participatory principles are practiced in what are fundamentally centralized governmental systems based on representative democratic regimes.

These findings have implications for the design of community engagement strategies and for additional research into community participation. They suggest that if further progress is to be made in understanding community participation in protected areas two challenges need to be confronted, namely agreement on a definition of 'good' governance and on the constituents of wider community engagement which recognise the particular characteristics of the 'protected area' context.

Suggestions for future research based on single, comparative and longitudinal case studies in other protected areas are proposed. More specifically research on non and limited participation is particularly encouraged due to the potential such an inquiry holds for informing the design of innovative and effective forms of participation aimed at increasing wider community engagement.

*Keywords: community participation, local decision-making, characteristics and reasons for engagement and disengagement, social capital, governance, best practice, wider community.*



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### *Abbreviations*

CBD	Convention on Biological Diversity
CBC	Christchurch Borough Council
CEESP	Commission on Economic, Environmental and Social Policy
CEL	Commission on Environmental Law
CNN	Cable News Network
CNPPAM	Committee on National Parks and Protected Area Management
COEC	Commission of the European Communities
COP	Conference of the Parties
COL	Collective participant
CPRE	Campaign to Protect Rural England
CRC	Commission for Rural Communities
DCC	Dorset County Council
DCLG	Department for Communities and Local Government
Defra	Department for Environment, Food and Rural Affairs
ECNC	European Centre for Nature Conservation
FC	Forestry Commission
GEF	Global Environmental Facility
HCC	Hampshire County Council
HO	Home Office
HOC	House of Commons
IDeA	Improvement and Development Agency for Local Government
IND	Individual participant
IPPR	Institute for Public Policy Research
IUCN	World Conservation Union
LDD	Local Development Document
LDF	Local Development Framework
LEA	Leader participant
LGE	Local Government Employers
MRD	Mean Rank Difference
NFDC	New Forest District Council
NFNPA	New Forest National Park Authority
NGO	Non-Governmental Organisation
NON	Non-participant

NPM	New Public Management
ODPM	Office of Deputy Prime Minister
UNDP	United Nations Development Programme
UNECE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Programme
UNESCAP	United Nations Economic and Social Commission for Asia and the Pacific
UNESCO	United Nations Educational, Scientific and Cultural Organisation
WCPA	World Commission on Protected Areas
WDPA	World Database on Protected Areas
WSSD	World Summit on Sustainable Development

## *Preface*

The driving force for this thesis has developed from a long-standing interest in the embetterment of protected area management for both nature conservation and for the well being of local communities. The importance of community engagement to protected areas and concerns over a lack of participation encouraged the genuine belief that through the equitable inclusion of local and neighbouring communities, the values of protected areas feasibly stand a long-term chance of retaining their original goals, whilst contributing to the well-being of communities, their local priorities and their needs. Furthermore, that through community engagement, their informed understanding and ownership of protected area objectives and project objectives cannot only be achieved but enhanced and potentially sustained. This view is enhanced by experience in the UK context, which provides the setting to: investigate the level of and reasons for community engagement in or disengagement from local decision-making on socio-political, economic and/or environmental concerns in the context of protected areas.

Knowledge in this subject has followed from a review of the increasing plethora of literature and government emphasis worldwide focused on community participation in local decision-making. Such work has described noble aspirations addressing both human and environmental rights and it is even considered to safeguard the very future of the protected area concept. However, in practice a commonly recognised rhetoric is equally reported by NGOs, academics and the public negating aspirations associated with decreasing numbers of participants, linked to project weaknesses and failures to obtain essential funding required to complete projects designed on community-based initiatives. Such concerns have invariably resulted in research in the area of governance, social capital and community participation in decision-making. However, the majority of this work has concerned the general socio-political context. Surprisingly, limited reviews exist specific to the protected area context where theory infers that participation should be higher as also is considered the risk of not engaging with communities.

Through a case study review of the New Forest National Park, and an investigation of the macro and micro contexts, this thesis addresses this void in research by investigating the amount and type of participation achieved and reasons why people do or do not engage in decision-making in and for the case study area. In so doing, the levels of participation and of non participation that can be indicated are distinguished.

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## *Chapter I – Introduction*

### **Introduction**

This chapter presents an outline of this thesis. It includes an introduction of the four concepts resulting in community participation: a liberal democratic government regime and its use of governance, of social capital and of contextual relevance, of protected areas. Combined these four concepts constitute the conceptual framework investigated in the two subsequent literature review chapters. The importance of community engagement in local decision-making is defended together with a review of the research previously conducted in this field. Subsequently, a discussion continues as to previous research conducted in the protected area context. This review highlights that a detailed examination of degrees of participation *and* of non participation has received little attention which is in turn reflected by the numerous debates and as a result, the many best practice guidelines advocated for community engagement in decisions affecting protected areas. This consideration of both the importance of community participation and the weaknesses considered in previous research conducted, provide the rationale for the aim and the objectives of the investigation. These are detailed together with a brief overview of the research approach taken. This chapter closes by summarising the structure of the thesis and the contents of subsequent chapters.

### **1.1 Overview of the thesis**

In a liberal democracy<sup>1</sup>, the importance of community participation, viewed in this thesis as an all encompassing term for local decision making, is generally asserted, (Borrini-Feyerabend et al. 2006;Kothari 2006; Santiso 2001). It is also considered by many authors in the environmental context, an imperative for the conservation, retention and extension of the network of protected areas worldwide (Abrams et al. 2003; Dudley et al. 1999; Geoghegan & Renard 2002; IUCN 2003 c;Pimbert & Pretty 1997;Phillips 2001 and 2002b;Pretty 2003). The involvement of communities in decision-making processes is argued, from an institutional perspective, as a means of ‘... strengthening good governance...’ and further, as ‘an objective of and a condition for development cooperation...’ (Santiso 2001 p154). Simultaneously an active civic community needs to be encouraged, for which as Putnam concludes, requires the development of social capital, as ‘...the key to making democracy work...’ (1993 p185) and together with good governance, discourse amongst the institutions and the communities can be enhanced (Giddens 1994). However, a ‘...wide variety of regimes...’ exist

(Santiso 2001 p156) which can encourage or inhibit community engagement. Further, it can be argued that a community's engagement or participation in decision-making processes is not always '...necessary...' (Kelly 2001 p4) and can involve, specifically within environmental contexts, '...the exclusion of some stakeholders...' (Richardson & Connelly 2002 p8).

Conceptual issues regarding community participation do arise and include its definition, its conceptual framework, the research approach and methods taken (Barnes 1999; Jacobson 2007; Roberts & Roche ca. 2001). These are further complicated by an imperative for consideration of context which in turn is exacerbated by the dynamic nature of politics (Hyden 1992; Hyden & Court 2002 : Graham et al. 2003a and b; Kothari 2006; Parry et al. 1992).

The subject is however, more than a theoretical and conceptual debate. 'Planners, politicians and protected area managers have become increasingly concerned about a general lack of community engagement in participatory decision making and are now generally aware that this is as much a product of citizen disenfranchisement as it is potentially of selfishness...' (Parker & Selman 1999 p21). Issues are presumed, assumed and in some cases verified as to the public's apathy and disinterest in participating (Moran 2005). Yet, concerns are equally associated with a number of actual and perceived barriers to a community's engagement. Some of these relate to people's perceptions as to just what constitutes community participation (DCLG 2006 a-g; Parry et al. 1992; Vetter 2007). Others are evidently created from within a community and associate with demands for an individual's conformity to collective ideals (Buckecker et al. 2003). Nevertheless, many barriers are additionally linked with bureaucracy which is inherent in community participation and in protected area contexts (Buckingham-Hatfield & Percy 1999; Richardson & Connelly 2002). Thus, in consideration of these concerns together with the emphasis of institutions engaging with a community, there is a growing interest in both encouraging and managing community participation at all institutional and political levels through which social, economic and political objectives and more specifically, environmental objectives in the protected area milieu are argued to be achieved (Handley et al. 2003; IUCN 2003 a, b and c; Lacerda 2003; Parker & Selman 1999; Richardson & Connelly 2002).

There are many socio-political research reports and papers evaluating governance and social capital which debate contributory reasons for people's engagement/disengagement with institutions. However, as discussed further in *Chapter IV* (p.145) many reports focus purely on traditional collective forms of participation, appear to merge individualistic forms of participation with those of collective action *and* it is argued, tend to *infer* characteristics of non participation rather than categorically describe it.

Overall, studies evaluating the wider community's views are rare (H.O. 2004) and those that are available tend to concern '...formal political involvement in voting. (As such)...little (information) is available on the more prosaic but nevertheless significant everyday acts of involvement, such as going to meetings...' (Burton 2003 p12). However, the majority of inquiries are based on nationwide or country comparisons<sup>2</sup>. As such they are not designed to examine local influences on community engagement and further, are critiqued for their use of sources not designed for purpose (Field 2008). The focus on the national rather than a local context also means that none of these investigations conducted in the more general socio-political context, have considered community participation neither in the protected area context nor in National Parks.

However, and no doubt due to the importance of community participation in protected area governance as discussed below, the vast majority of the literature on these highly context specific and often unique environments<sup>3</sup>, concerns the provision of best practices and guidelines<sup>4</sup>. Further, many of these are based on case studies set in less developed countries and tend, as is commonly found in governance research, (Lynn et al. 2001), to be weak in academic terms, lacking the support of a conceptual and theoretical framework and a robust methodology<sup>5</sup>.

Alternative studies of a comparable context include a focus on rural environments and forestry management. However, many of these are primarily informed from desk-based investigations, and/or are of a purely qualitative design or comprise primarily of academic debates<sup>6</sup>, which although can provide the basis for applied research, clearly do not in themselves address the practicalities and challenges of community participation in protected areas. Far fewer studies are set in a Western National Park context. Of these, Mataritta – Cascante and Luloff (2008) provide a profile of participative residents in Utah, US that result primarily from a quantitative approach. Whilst this study provides an example of a quantitative dimension and is enlightening in terms of providing a listing of potential characteristics of participation, the focus is on participation as opposed to equally considering non participation, neither does it include the more in-depth-information which can be developed through an additional level of qualitative study. In addition, contrary to arguments supporting a synergetic approach to researching community participation (for example, Grootaert & Van Bastelaer 2002), it appears not to have taken the perspectives of institutions into consideration in its overall research and evaluation. Govan et al (1998) does consider the views of residents and institutions on the range of participation and non participation and is set in National Parks in the English and additionally, the Welsh context. Yet the data is somewhat limited not least in providing results from 1998 but also in the breadth of views discussed resulting from the restrictions of a purely qualitative approach<sup>7</sup>.



It is increasingly clear therefore that there is little published research which incorporates a quantifiable and in-depth inquiry, in even a rural context on the full range of participation *and* non participation. Nevertheless, Buchecker et al's (2003) study is particularly relevant to this thesis as it provides more recent data, is centred on rural contexts *and* on investigating reasons for the range of participation *and* non participation that can be demonstrated. However, again, as with other studies in the social-environmental context, it is primarily qualitative and its arguments are based on a case study approach founded on techniques including observations and 32 interviews.

Although there is a paucity of published research relating to community participation in a National Park context, community engagement is commonly encouraged by development projects and the '...nature of governance, both the means and the ends need to be understood...' (Graham et al 2003 a p6 and b). Consequently, a key stage in any investigation must be ensuring an understanding of the context (Engwall 2003; Murray-Webster and Simon 2007). This includes the *current* status of community participation in local decision-making being achieved, the forms of participation practiced, degrees of participation being demonstrated *including* levels of non participation and the reasons, motivations and abilities of the community to engage with or disengage from participatory opportunities (Graham et al. 2003b; Parry et al. 1992; Putnam 1993; Vetter 2007). Through an examination of this data, incorporating both quantitative and qualitative methods, the quality of the research can be enhanced and the breadth of views required can be obtained with which to test hypotheses drawn from the literature. As such, existing gaps in research and in knowledge appropriate to the National Park context, can be addressed through academic discussion based on theoretical debates (Lynn et al. 2001; Ostrom 1990). At a practical level, from results achieved, informed judgements can be made by the project team to devise and/or improve strategies for community engagement and to select potentially appropriate participatory processes and approaches to both encourage and manage community participation in local decision-making contexts (Beirle & Cayford 2002).

Based on this view and taking Beirle's & Cayford's (2002) perspectives that community participation is an imperative<sup>8</sup>, this research aims to critically explore community participation in local decision making in the most recently designated English National Park<sup>9</sup>, the New Forest and its borders<sup>10</sup> in Hampshire, England. As this area is the most recently designated National Park, an opportunity is further created to assess its established and developing practices of governance and community participation which could be assumed to have been developed by experience, from the literature and from lessons learnt in other areas.

Graham et al. (2003a and b), Grootaert and Van Bastelaer (2002), Hyden and Court (2002), and Krishna and Schrader (1999) all advocate or explicitly infer that due to case specifics, and the effects of the temporal dynamics of politics and its influence, research on the constituents of community participation should not only be based on context but on an integrated study. The research conducted for this thesis has achieved this imperative through the conceptual environment provided through protected areas and additionally, with a focus on both the institutions that provide participatory opportunities *and* the community in this setting. In the former case, the additional concepts of government and governance have been utilised and in the latter case, social capital. Together these concepts create the structure to encourage community engagement in the protected area context.

Initially, due to the availability of more advanced and in-depth levels of research, the concepts of government, governance and social capital are examined from a general socio-political context and subsequently considered in the setting of protected areas. The review is developed further in regard to National Parks where the benefits and issues of community participation are magnified (Defra/In House Policy Consultancy 2004). Through an analysis of the varying levels of participation and non participation in the case study area, the overall research inquiry to investigate the amount of participation and reasons why people do or do not participate in local decision making in the context of National Parks can be achieved. This leads to consideration of the value of governance and social capital in encouraging or discouraging community participation at varying degrees.

A case study based on a National Park, an appropriate protected area for this research, completes the conceptual framework developed. This setting contributes to research in the subjects of participation, governance and social capital but in particular it adds to the limited amount of quantifiable inquiries that have taken place specifically on National Parks in the European context, and notably in England<sup>11</sup>. As such, this research creates:

- i) an integrated examination of community engagement from both the perspective of the institutions *and* of the community (Graham et al. 2003 a; Grootaert and Van Bastelaer (2002), in the context of the relatively recent emphasis placed on governance in protected areas (IUCN 2003a, b and c);
- ii) through the choice of the most recently designated National Park in England, an opportunity is created to examine the extent to which governance is currently being practiced by institutions in the case study area ;
- iii) the determination of reasons for community action *or* inaction of varying degrees; and finally it provides,

iv) an opportunity to assess current hypotheses that argue people's motives to participate for environmental reasons are contributing to increases in demands for alternative forms of participation (Barnett et al. 2006).

To investigate reasons for participation and non participation, the most appropriate research approach, it is argued, has been to adopt approaches taken by socio-political sciences. This focuses on the community's perceptions of participation in their area. These are most commonly associated with: participatory frameworks, systems and processes that are commonly used nationally; with citizens' motivations, influences on their action or inaction; and with key socio-economic, demographic and personality traits, suspected, presumed and/or demonstrated as drivers and/or characteristics of participation in the literature reviewed.

The research culminates in a discussion on government and governance practiced and features of social capital developed in the case study area. This requires a review of the macro context of influence on the local area which comprises government and governance at international, national and regional levels in both the general socio-political and more specifically, in the protected area contexts. The micro context includes both the institutional and community aspects and influences on governance, social capital and community participation in the immediate case study area. This information, initially derived from secondary sources, has been complemented by the primary research conducted. This comprised observations of forums, a series of investigative interviews with community group leaders and by quantitative means through conducting two concurrent surveys. To elaborate on key issues resulting from both these surveys and to address questions raised from the literature review and secondary sources, a series of interviews were conducted with a number of respondents to the surveys and also with key representatives of lead institutions in the area.

Through this case study, the research seeks to answer the following fundamental questions:

- What is the current situation in the New Forest as to community participation in local decision making and how is it demonstrated?
- What are the characteristics of the varying degrees of participation *and* of non participation?
- What discourages and encourages people from participating in local decision making in the New Forest?
- How do community participation practices in the New Forest compare with recommendations of the best practice guidelines?

## 1.2 The study in context

The ideas and design for this research have derived from statutes and numerous prescriptive texts in political and protected area contexts that emphasise the encouragement of community participation in local decision making (Borrini-Feyerabend 1995; IUCN 2003 a, b and c; Graham et al. 2003 a and b; Lyons 2006; Pimbert & Pretty 1997; Richardson & Connelly 2002). However, due to the limited amount of research in this context, reports on participation, especially in the protected area contexts can be inconsistent<sup>12</sup> (Kelly 2001; Richardson & Connelly 2002). Moreover, the term ‘community participation’ continues to be ‘...not well understood...’ by the public (DCLG 2007a p48) and participation remains, as the vast majority of literature in the protected area context, presumably assumes but certainly emphasises, a pursuit of the ‘typical’ few (Buckingham-Hatfield & Percy 1999; Parker & Selman 1999). In addition there are difficulties as to how community participation is defined (Kelly 2001), perspectives as to its conceptual framework and even as to how it can actually be measured other than at the most superficial level of number counting (Krishna & Schrader 1999; Jacobson 2007).

Assumptions as to why people do or do not participate in local traditional<sup>13</sup> decision-making are not uncommon and are frequently asserted to be based on apathy, in self-interest, (Kelly 2001; O’Toole ca.2004; Richardson & Connelly 2002) or through NIMBYism (Parker & Selman 1999) and/or due to decreases in social capital (Grenier & Wright 2005). However, taking the claim of apathy alone, this is positively refuted (Buchecker et al. 2003; Kelly 2001).

In the developed democracies and, specifically in the UK context, turn out rates in traditional political participatory modes, such as voting, have certainly decreased whilst greater public influence is demanded (Burton 2003; LGE 2007; Melville 2005). Conversely, participation through environmental lobbying, for example, is argued to have increased (Moran 2005). This suggests that rather than the public being apathetic, (Kelly 2001; O’Toole ca. 2004) that they may well be selecting alternative ways to demonstrate their views and influence decision making processes (Halpern 2005; Moran 2005).

As discussed above, research incorporating an integrated study of governance and social capital as to reasons why people do or do not participate in local decision making, and on the range of participation and non participation that can be demonstrated, does not yet appear to have been conducted extensively and specifically in the context of National Parks. In addition, whilst in general there is a growing focus on individual participants<sup>14</sup>, less research seems to have also considered non participants. An understanding of the characteristics of non and individual participants and reasons for participation

throughout all participant levels, would contribute to knowledge in this subject area, in project development, in the western National Park context and through the research model used, this thesis has the potential to enhance research in this field.

To date the literature on non participation relevant to protected areas most commonly concerns increasing the diversity of visitors to the countryside and tends to be represented as a lack of community engagement with predetermined 'hard-to-reach' groups, e.g. ethnic minorities, youth and the disabled (Countryside Agency 2005a). Whilst this is accepted, a focus purely on increasing visitation and on these members of society does not, it is argued, necessarily follow Sustainable Development, LA 21 nor Convention of Biological Diversity guidelines for a holistic understanding of and research inquiry into public participation in local governance or into society as a whole. Therefore decisions that influence policy and/or project development may not be representative of the wider<sup>15</sup> local community and thus may lead to considerations of a democratic deficit being evident.

Non and individual participants especially, constitute the most obvious members of the 'hard-to-engage-with'<sup>16</sup> community and it is this sector of society that potentially represent an opportunity to broaden and address, at least in terms of numbers and possibly the incorporation of further views, the democratic deficit being shown in traditional participatory practices. Through research focused on the full range of community participation and non participation there is an opportunity created to assess the:

- reality of encouraging more people from the wider community to participate;
- value of governance and social capital in encouraging their participation; and the
- efficiency of current participatory processes in reaching out to those members of society who do not currently participate or do so to a limited degree.

### **1.3 Relevance of the research**

The relevance of this research is to examine community participation by firstly, providing an understanding of the concepts of democratic government, governance, and social capital and to demonstrate how they fit together in the context of a National Park. Second, at the more practical level, the research investigates community participation in terms of why people do or do not get involved to varying degrees, in local decision making in National Parks. In so doing, the value of governance and social capital as elements of community participation will be tested as to their affect on levels of participation. Their combined effect is considered to have the potential to be positive for two reasons.

Firstly because of the opportunity to develop sustainable communities where these concepts are demonstrated and ‘...where the three capitals, economic, environmental, and social, coexist and are in balance.’ (Senior & Townsend 2005 p3). Secondly, the relatively recent emphasis on community engagement at a national level in the UK, and an international level on protected area governance (IUCN 2003 a, b and c), has heightened focus, encouragement and fundamentally a statutory duty to encourage community engagement. These elements of this study contribute to an understanding of community participation in context, while demonstrating how this translates to practical realities at the local level.

Invariably, encouragement for community participation is led by institutions that address community engagement objectives that can meet, at least on paper, International, European, national and regional institutions’ demands and guidelines for good governance and sound democratic practices. In the protected area context, its use is advocated for nature conservation, habitat management, and sustainable project ideals (Lockwood & Kothari 2006). Yet an ultimate premise asserts that through a community’s engagement and discourse with institutions, the public’s awareness of the values of protected areas can be enhanced, which is further considered to encourage their support and in turn, contribute to safeguarding the very future for protected areas (Phillips 2001). This last point alone suggests that effective, governance models should be employed.

However, there are many issues, challenges and risks to be taken with community participation. These include, and could be argued to be driven, in part, by the very policies that drive forward community participation. Many are written in a prescriptive manner, infer wider community participation, yet in practice, the focus is on collective action through traditional forms of engagement and networks. In addition, many works articulate or infer an assumption on communities themselves wanting to be or being involved in local decision making (Richardson & Connelly 2002). Conversely, the achievement of the wider community’s engagement can prove to be minimal. For those charged with community engagement, it can be assumed that in practice, this wider community simply does not want to be involved in local decision making.

Thus, community involvement can prove to be unrepresentative (Richardson & Connelly 2002) constituting a small, often predictable, minority audience of a local community who participate in discourse with institutions through formal collective processes of for examples, partnerships, community groups and networks (Putnam 1993; Parker & Selman 1999). Such participation is traditional by design, (Moran 2005) and does not necessarily consider the growing worldwide

phenomenon of individualisation (Braun & Giraud 2001; Debicka & Debicki ca. 2005) and calls for institutions' recognition for alternative or additional expressions of participation in local decision making (Barnett et al. ca. 2006).

Encouraging community participation is therefore complex (Blanchet 2001), influenced by the community's motivation to get involved, the political will, attitude and resources directed towards community inclusion in decision making but also, ultimately, is affected by cultural and political values relative to an area and the individual citizen's perspectives on the same. This intricacy extends further through the links community participation has with the concepts of democracy, government and governance, social capital and individualism which is further complicated by the ambiguity of how these concepts are defined and even measured.

## 1.4 Research Aim and Objectives

This thesis explores community participation in local decision-making through a case study conducted in the New Forest National Park, Hampshire, England. The case study underpins the mixed methods research approach and pragmatic philosophical stance taken. With the use of theories in governance, participation and social capital, an examination of current government and governance processes and degrees of participation achieved in the case study area is conducted, through which reasons for action or inaction in local decision making on the part of the New Forest community are identified.

**Aim of the thesis:** to '*rigorously analyse community participation in local decision making in the New Forest, Hampshire, England*'. This aim will be achieved through the following objectives in order to:

- identify the degree of participation in respect of four categories: non participation, individual participation, collective and leadership participation;
- critically examine and determine the characteristics of these four groups and the reasons for their engagement or disengagement in local decision-making;
- identify what participation in local decision making means to the New Forest community;
- investigate the context of the governance and participation opportunities established in the case study area and to examine the influences of these upon community participation;

- compare and critically assess current governance and participation practice in the case study area with the guidelines and best practices recommended for protected area governance.

## 1.5 Structure of the Thesis

The literature reviewed for this research is presented in the second and the third chapters and is subdivided into themed sections. These sections combined present the key elements that constitute the conceptual framework derived through the key features of the social capital concept, the dual practice of government and governance and the application of these concepts in the protected area context. An examination of these dimensions provides for an evaluation of community engagement in the context of local decision-making processes in the New Forest National Park.

*Chapter IV:* explains the philosophical stance taken, and methodology used for this research. An outline of the research procedure is discussed, followed by a rationale for its design. The key analytical framework used throughout the literature review, and primary and secondary research elements are explained against their use in analysing the varying levels and characteristics of community participation, cognitive reasons for participatory action or inaction; opportunities created for participation; and in the assessment of social capital and governance achieved in the case study area.

*Chapter V:* presents specific case study information. This information derives from case-specific literature but has also been enhanced from an examination of secondary sources and primary research conducted. The chapter commences with an examination of the English National Park system and its governance followed by a local level study on the New Forest National Park and its environs. This localised examination includes details of the social, environmental, economic and political characteristics of the New Forest together with a brief review of milestones in its history of community participation. Key to this examination is the current government and governance structures, influenced by national and local governmental statutes and frameworks, but also by other governing structures of influence unique to the New Forest. This chapter closes with informed institutional and community group leaders' perspectives on community participation in the New Forest and on key participatory processes used.

*Chapter VI:* discusses additional primary research findings. This is divided into two parts. The first describes and examines the findings of the two concurrent and complementary surveys providing distinguishing features of the four participant levels in the case study area. The second details key



results from a series of interviews conducted with a random selection of members of the local community. The chapter closes by providing a synthesis of key findings from the quantitative and qualitative analyses conducted and in so doing, the findings are interpreted as reasons for community engagement/disengagement in the case study area.

*Chapter VII* reports the concluding discussion of the research findings in relation to the research aim and objectives, from which in *Chapter VIII*, the contributions to knowledge that this research makes in this subject area and subsequently, the value of this research to the practice of community participation are presented. *Chapter VIII* additionally includes the limitations of this research, provides personal reflections on the development of this thesis and finally suggestions for future areas and subjects of research are proposed.

## Notes

1. Aligned to a representative democracy (Heywood 2000)
2. National study examples include: Putnam 1992; and specifically focused in the UK, the leading inquiry is that of the DCLG 2006 and concurrent Citizenship Surveys.
3. IUCN 2003 a-c
4. Examples: Ghimrie & Pimbert 1997; IUCN 2003 a-c; Lockwood et al. 2006
5. Emphasised as an imperative for governance research (Lynn et al. 2001; Ostrom 1990)
6. Examples: Beirle & Cayford 2002; Curry 2001; Morris & Urry 2006; Ravenscroft et al. 2002; Weldon 2004.
7. Sixty-five interviews with residents and six with National Park staff.
8. The importance of community participation has been evidenced through Beirle's & Cayford's examination of community participation in environmental decision-making. This was based on an examination of case study literature reviewing participation projects developed over the last 30 years. This incorporated the screening of 1,800 case studies and a quantification of outputs and values of community participation.
9. As at June 2009.
10. See Figure 11(p229) for research area and geographical limits.
11. Although research conducted through case studies on protected areas in less developed countries is appropriate given developmental agendas, questions are raised as to why in the West with an established democracy, (a founding principle of i.e. governance alone), there are very few studies conducted.
12. Reports quote both 'relatively high' levels of political interest and participation (Hall 2002) and simultaneously decreases in participation (LGE 2007; Melville 2005)
13. Traditional political participatory forms include: attending public meetings, consultations, being a member of community group(s) (ODPM 2002) and voting in local, national or European elections (Moran 2005).
14. The term 'Individual participant' is taken as those individuals who do not participate directly in collective action through for examples, community groups or networks (Oakley 1999 p25).
15. The wider community: denoted in this thesis as those members of a local community who do not participate in formal groups, networks, fora or partnership processes with lead institutions. This section of the local society constitutes the non participants, individual participants, collective and some members of the leader participants in both sample A and B who are not part of the traditional forums and formalised partnerships/networks with institutions. This term includes members of the 'hard-to-engage with' community.
16. 'Hard-to-engage with' community: defined as those members of a community who choose not to participate in traditional forms of collective action inclusive of community groups. This includes both the individual and the non participant levels and associates with the term 'wider community'.

## *The Literature Review*

### **Introduction to the Literature Review**

An understanding of community participation in local decision making requires investigation of four fundamental concepts. These include firstly an examination of the governmental regime, and subsequently, an examination of governance as the institutional structure and practice used to encourage communities to participate. Thirdly, an evaluation of a community's motivations and abilities to participate are equally necessary for which key features of the broad concept of social capital are selected. In addition, an examination of the community's perspectives on the governing institutions, on governance and on their local community are critical to complete an evaluation of community engagement together with an assessment of the degrees of participation that can be demonstrated in a given area. Finally, consideration for the setting of the research is additionally essential and thus, all of these topics are examined within the context and with the concept of protected areas as in these environments both the benefits and the issues of community participation are magnified.

Each of these concepts are also considered as theoretical approaches as each has an extensive literature base in its own right and is largely set in a much wider political and social arena. As such and in order to provide a clear discussion of each concept and of the literature relevant for this research, the literature review is presented in two chapters. The first chapter initially explores community participation and subsequently introduces its dependence and interdependence with government, governance and social capital theories. Building on this theoretical debate, a review of the influences of these theories upon community participation and non participation is provided based on previous research concerning the influence of people's motives and abilities to participate and their perspectives on institutions, governance and on their local community. The second chapter focuses specifically on aspects of community participation, government, governance and social capital theories which are relevant to protected areas and especially in the context of a National Park.

***Chapter II–Literature Review 1: Community participation, government, governance  
and social capital***

*Section I* of this chapter introduces community participation and its key components. This incorporates a definition of community participation, the importance and benefits of community inclusion and its origins. Questions relating to institutional aims for community engagement and its relevance in protected areas and the National Park are discussed. *Section II* takes these discussions further and describes the conceptual framework that comprises the overarching concept of community participation with an examination of two fundamental dimensions required for community engagement to occur; from the government and institutional perspective, ‘governance’ as a concept, theory and its principles; and from a community perspective, ‘social capital’. The importance of social capital for encouraging and supporting community participation in groups and networks is considered together with the rise in individualism as having a key affect on levels of participation. *Section III* reviews these levels of participation and drawing on past and recent research, contributes to distinguishing these levels through consideration of participant characteristics, people’s perceptions on community participation, and their motivations to participate. *Section IV*, provides a contextual discussion on the practice of community participation in local decision making processes supported by government, governance and social capital, in the UK context.

## ***Section I: Community participation in local decision making***

### **2.1.1 Introduction**

This section begins with an explanation of community participation in local decision making through collective participatory processes. The benefits of community participation are reviewed in terms of the historical development of and aspirations for the concept, from which the current practice of community participation is introduced as rhetoric. Subsequently, the relevance of protected areas is discussed as environments in which both the benefits and the issues of community participation are magnified in theory and in practice.

### **2.1.2 What is community participation in local decision making?**

Defining community participation in itself is not straightforward. Firstly taking the concept of 'community', it '...is used in a variety of different ways...' (Field 2008 p47) although it generally tends to be considered as a positive notion of a '...multitude of connections...and '...variety of interactions...' amongst people (Field 2008 p7). These interpretations emphasise participatory interaction and motives are distinguished by Tönnies's<sup>1</sup> views on a community and notions of *Gemeinschaft* as '...purposive association...' concerning unity amongst people and kinship, a sense of place and belief; and *Gesellschaft* related to self-interest and '...instrumental association...' (Field 2008 p7). The range of views equally includes more simplistic and less abstract concepts of geographically defined populations and culturally distinct groups while, Schuler (1996) depicts 'community' as constituting a system, likened to the human body with '...each part dependent on the rest for a healthy, fully-functioning whole...' (Ledwith 2005 p79).

This research adopts Tönnies' interpretations incorporating the concepts of social capital and individualism, together with a geographically defined community. However, as demonstrated below in *Section II*, Schuler's (1996) view is also critical to this inquiry. Schuler identifies core outcomes of participation, all of which to varying degrees are associated with developments for social, economic and environmental objectives and are facilitated through *community participation* and *citizen action* in the context of democratic governmental regimes. The method for this to occur is argued to derive from two-way communicative processes amongst members of the community and essentially between community groups and government institutions. Such action is categorised according to group and collective formations of community organisations, networks and/or citizen led projects invariably requiring leadership from within the community (Schuler 1996). With a 'community' categorised as a community organisation, the predominant form of community engagement used worldwide is introduced.

Established within a strong governmental framework (Dorey 2005; Game & Wilson 2006; Hill 2005), participation is in practice facilitated through governance and the creation of participatory processes (Beausang 2002; Dorey 2005; Hill 2005). Further, as endorsed by Schuler (1996) and Ledwith (2005) it is encouraged for a variety of objectives including community development. The very act of participation is voluntary and any communicative processes within the community and extended further with institutions, necessitates building consensus in decision making processes (Richardson & Connelly 2002) through ‘...cooperation and collaborative problem solving...(argued to assist in a community’s ) empowerment...(for ) citizen action...’ (Lindsey et al 2001 p829).

It is argued that the drive to participate from within the community derives from and is supported by the development and enhancement of social capital (Burton 2003; Serageldin and Grootaert 2000; Witasari et al. 2006). Social capital itself is a broad concept, the foundation being based on a civic community<sup>2</sup> that is supported by key principles of trust and networking for examples. The importance of these principles is clearly apparent in key governmental research where they are used to gauge the extent and quality of community participation in the UK<sup>3</sup>.

What emerges from a review of the literature is that community participation is largely an abstract concept and as demonstrated below, its definition is frequently affected by the diverse perspectives on its practice (Olico-Okei 2004).

From both academic and community perspectives, the practice and use of community participation is often questioned as to it’s being a rhetoric due to ‘...gaps between theory and practice...(that are considered to result in) a tokenistic nature of the process’ (Burton 2003; Ledwith 2005 p19; Olico-Okei 2004). An alternative institutional viewpoint, questions community participation as to its ability to achieve democratic values, practice and legitimacy (Burton 2003; Frederickson 2004; Richardson & Connelly 2002) given the inclusion of community decision-makers who are unelected to their posts of responsibility. Equally, time, costs and resources required to sustain projects associated with community engagement are of debate (CNPPAM 2002; Curry 2001; Filho 1999; Govan et al. 1998; Karl 2000;Olico-Okei 2004; Richardson & Connelly 2002).

Conversely, there are strong practical and ethical arguments (Beausang 2002; Borrini-Feyerabend 1999; Saner & Wilson 2003; IUCN 2003 a and b; Ledwith 2005) for endorsing the community’s inclusion in local decision making not least associated with aspirations of achieving a democratic ideal ‘...as the public problem-solving approach it was originally intended to be...’ (Schuler 1996 C1). This view is supported by International legislation and directives (IUCN 2003 a, b and c) and in the UK context, at a national level through statutes. As such, community participation is extensively promoted. This is frequently seen in environmental management projects (Beierle & Cayford 2002; IUCN 2003 a – d inclusive), as a key agent for social progress, (Ledwith 2005;

Schuler 1996) ‘...strengthening rights and access to information...’, (Curry 2001 p563), policy development, and in so doing, it provides a mechanism to legitimise the state (Beausang 2002). As a result, through ‘...combining institutional and people participation...the pursuit of sustainability...’ is asserted to be achieved (Sutherland 1995; Warner 1997 p413).

Ledwith’s (2005 p1) definition of community participation is focused on social progress and an all inclusive society with a diversity of objectives: ‘...*community development begins in the everyday lives of local people (in the) context for sustainable change. It is founded on a process of empowerment and participation (involving)...education that encourages people to question their reality; this is the basis of collective action and is built on principles of participatory democracy....Through action and reflection (the) community (develops)...through a diversity of local projects that address issues faced by people in (the) community.*’ This stance on the use of community participation highlights two outcomes, one of ‘*education*’ and the second, connected with ‘*action for sustainable change*’. The level to which education results as a positive outcome from participatory action, whilst acknowledged, is not the prime focus in this research. However, the extent of ‘action’ reported is central to this study in terms of the amount and degrees of participation and non participation and inherent influences on the same, that could inform reports and their inferences as to levels of participation being attained (Parker & Selman 1999) and the quality of participation being achieved (Richardson & Connelly 2002). This stance on practice and process is informed by the perspective of Roberts and Roche (ca. 2001 p4) who assert that the emphasis on research in this area is encouraged by the ‘....expediency of the policy environment ...’.

Ledwith’s view of community development and participation is further adopted in this study in terms of the objective of decisions to be taken. This, as she highlights above, centres on ‘sustainable change’ to affect the ‘everyday lives of local people’ (Ledwith 2005 p1), thus infers that objectives include those concerned with society, culture, the economy, the environment and those of a political nature (Brundtland 1987; Wight 2004). Parry et al. (1992) associate these objectives with political participation of varying degrees; and Stoker (2006 p5) ‘...puts it bluntly: citizens need to be involved in both the defining of societal problems and their active engagement is often essential to the delivery of solutions to these problems.’

However, although individual acts of participation are noted, the main form of participation reported is through groups, partnerships comprised of the public and community representatives, networks or ultimately participatory forms of collective action (DCLG 2006a; DCLG 2008; Moran 2005; Putnam 1993; Witasari et al. 2006). This is perhaps unsurprising as governance and social capital are both primarily founded on the practice of community engagement through the acceptable, traditional, conventional or ‘old style’ processes (Moran 2005 p274; Parry et al. 1992),

such as voting and group memberships. Nevertheless, additionally, ‘...a rise in membership of environmental groups.... (and other) ...informal social movements...’ is apparent reflecting changes in participation (Moran 2005 p291).

Moran further states in the UK context, that within a representative democracy and an ‘official’ pluralist structure (Hill 2005; Moran 2005 p16), tensions do exist between representative and participatory models of democracy (Richardson & Connelly 2002) but ‘...group participation is particularly important. Working alone...is not going to make much of a difference to what governments do...’ (Moran 2005 p277). Furthermore, collective action and the practice of networking create opportunities for the State and citizens to communicate (Moran 2005). Nevertheless, as Moran (2005 p294) further notes ‘...individual acts of participation are...very common...’, maybe even increasing, and he infers that more alternative forms rather than less participation, as associated with traditional designs, may actually be occurring. This suggests that potentially there maybe the development of an additional participatory culture through individual action together with additional and alternative forms of collective action and networks, from which an environment can be created whereby ‘...all citizens are ... able to look after their interests and to integrate them into the political decision-making process...’ (Vetter 2007 p19).

### **2.1.3 The importance and benefits of community participation**

The majority of the community participation in local decision-making literature asserts (Beausang 2002; IUCN 2003 a, b and c; IUCN 2007; Putnam 1993), that it is an imperative for ‘...good...’ governance and is integrally linked with democratic governmental principles, (Santiso 2001 p154). Although debated, it is additionally associated with features of social capital (Halpern 2005;Offe & Fuchs 2002) and is further representative of the 4<sup>th</sup> dimension in private, public, Third sector<sup>4</sup> and community partnerships.

Its encouragement is promoted from within a community by social capital and by structural features which encourage people to participate but equally institutions play an essential role at all governing levels (Grootaert and Van Bastelaar 2002) as they can address demands and guidelines of support for community participation. In so doing, sound democratic practices are argued to be demonstrated and ultimately, asserted to be working towards sustainable project ideals (IUCN 2003c; IUCN 2007; Tabbush 2005).

Further, the inclusion of communities in developmental contexts and policy formulation is argued to meet the public’s human rights (Borrini-Feyerabend 1999; IUCN 2007; UNDP/UNESCAP/ADP ca. 2004) and to encourage people’s capabilities not only in participation but also in self-reliance and self-determination (Warner 1997). In practical terms, this has positive implications in for example,

time-limited projects of an environmental, social and development nature where these projects are based on sustainable principles (Pretty 2003). A key argument for the successful longevity of these projects invariably requires communities to be empowered, informed and able to self-govern themselves through a project and as required long after project leaders have transferred their responsibilities to the community (Pretty 2003).

The creation of participation opportunities is primarily associated with a democratic governmental structure and in turn, governance processes require a community to engage in decision making practices (Graham et al. 2003 a and b; Vetter 2007). Inferring successful community engagement through governance is asserted as being the ‘...best way to strengthen national capacities in order to realize social, educational, cultural and scientific development strategies in the face of the opposing consequences of globalisation...’ (Beausang 2002 p3). As such, numerous authors and institutions emphasise its use as ‘...indispensable for creating a conducive environment for poverty alleviation and development...as a prerequisite in asserting universal values such as human rights... (and) is the operational link between noble aspirations and effective realization.’(UNDP/UNESCAP/ADB ca.2004 p1; (Borrini-Feyerabend 1999;Farvar 2002; Kaufmann 2005; Oviedo & Brown 1999; Putnam 1993).

Hence, a level of influence needs to be afforded to a community to assert their own views of their local needs and priorities rather than as in the past, be the recipients of ‘...predict and provide culture(s)...’ (Weldon 2004 p23).

Arnstein (1969 p216), in asserting the rights of the individual, claims that through ‘citizen participation...citizen power’ can be created and is demonstrative of the difference between an ‘...empty ritual of participation and having the real power needed to affect the outcome of (a) process...’ These aspirations do however, give rise to ethical and practical issues, whereby ‘outcomes (are) crucial for a fair and ecologically balanced social development’ (Beausang 2002 p3).

Ethical concerns associated with the rights of democratic principles are discussed in Sections: 2.2.2, 2.2.4 and 2.2.5. In practical terms, concerns of institutions include resources required to encourage and manage engagement processes, (CNPPAM 2002; Curry 2001; Filho 1999; Govan et al. 1998; Karl 2000;Olich-Okei 2004; Richardson & Connelly 2002). Yet perhaps of more concern, as stated above (p. 41) are questions as to just how democratic community participation can actually be (Burton 2003; Frederickson 2004; Richardson & Connelly 2002). Practical issues are also considered at a community level and equally associate with democracy, freedom of speech and of association (Bucheker et al. 2003) and further include increasing the community’s abilities and their capacity to participate in decision-making which are integral elements contributing to the success or



otherwise of community action (Grootaert & Van Bastelaer 2002; Ledwith 2005; Lindsey et al. 2001). In successfully addressing these concerns, sustainable development and socio-economic and political progress are argued to be developed (Grootaert & Van Bastelaer 2002; Warner 1997) and the State, its governing actions and democratic practices can be legitimised (Beausang 2002). As Vetter (2007 p19) advocates, through a participant culture, a ‘...perfect democracy...’ is purported and stability is asserted to be encouraged.

#### **2.1.4 The origins of community participation**

Since the 1960s, the development of a democratic regime alone has been recognised as being insufficient in its support for social progress and community development. As such, community participation in for example, developmental agendas has become a constant topic (Hyden & Court 2002). However, since 1990, the engagement of local communities in decision making processes has ‘...progressed from obscurity to widespread usage...’ (Graham et al. 2003 a p1) and as discussed below, ‘...has grown considerably...’ since this time in the formulation and especially implementation of policy and other areas (Curry 2001 p561).

Its popularity has been encouraged through the Rio Earth Summit (1992), its landmark inclusion of NGOs, the emergence of Agenda 21 and a focus on social, economic and environmental progress and development (Speth 1997), all of which ‘...demand more inclusive forms of action, which bring the public (focus and their views) to the fore...’ (Stoker 2004a p10). Influenced by the works of Arnstein and her typology of participation, (1969) and popularised further through Putnam’s studies on Social Capital (1993), and the concept’s use in enhancing social and economic progress through an active civic community (Grootaert & Van Bastelaer 2002), the development and use of community participation has extended worldwide.

This impetus for community engagement has meant that, in stark contrast with for example, the exclusion of local people in protected areas (Blaikie & Jeanrenaud 1997; Ghimire & Pimbert 1997; Lockwood & Kothari 2006) and past critiqued development paradigms formed in the 1950s to 1960s ‘for the people’, constituting a top-down institutional predominance; subsequently ‘of the people’ in the 1970s; and in the 1980s ‘with the people’, an NGO aspiration for community integration and their education with social progress; (Hyden & Court 2002), since the 1990s, the focus is advocated to be development ‘**by**’ the people (Hyden & Court 2002: Wahab & Pigram 1997).

Community participation is further theorised to have become an all-encompassing concern with projects, programmes, policies and politics. There is ‘...a growing recognition that ‘getting politics

right' is, if not a precondition, at least a requisite of development...' (Hyden & Court 2002 p5). This requires a social context which encourages an able and civic community (Grootaert & Van Bastelaer 2002; Putnam 1993) to participate through features of social capital, but also fundamentally requires an enabling political environment, emphasising, as detailed further, the governmental context in which governance, as the institutional driver for community participation, is practiced (Dorey 2005). As Speth argues (1997) this context has been encouraged through key twentieth century events including the demise of communism and renewed interests in liberalisation and democratisation (Hyden 1992; World Bank 1992). However, democracy itself is still critiqued (Santiso 2001), yet advocated with the caveat that development '...is the product of what people decide to do to improve their livelihoods...' (Hyden & Court 2002 p5). Hyden and Court (2002 p24) emphasise a rights based approach to development as having many advantages not least of shifting the '...focus from government to citizen'.

To facilitate this shift, '...in a set of changes in economy and society ....entitled as post-modernity, post-industrialism or post-Fordism...', (Stoker 2004a p9), a key mechanism contributing to the advancement of developmental agendas and of community engagement, has been the practice of governance from the global to the local level. Using the British example and from a policy-making perspective, governance, having gained popularity since the 1980s<sup>5</sup> (Dorey 2005), is especially reported at the local level of government, as ultimately comprising networks of community groups, government agencies and private/community/public sector partnerships '...that are involved in policy-making and service delivery...' (Wilson & Game 2006 p17). This process has '...provided the basis for a new role for local government...' (Stoker 2004a p12), and signalled a departure from 'government' as '...the notion of a unitary state...' (Dorey 2005 p218), to governance which places, in theory, the government as but one of the many parties included in decision making processes (Dorey 2005). As a consequence, a greater legislation and commitment for community representation in the political sphere has established the community with '...a much greater role (to play in decision-making processes)...than earlier conceptions of representative government...' (Hill 2005 p27).

The impetus for this large-scale change of British governmental direction includes as detailed above, progressive discussions in UN networks towards social and environmental progress (Brundtland 1987), and an increasing popularity for liberalisation and democratisation (Speth 1997). However and integrally linked, these elements need to be considered with implications of globalisation and with the impacts of Europeanization which have given rise to questioning the notion of the nation-states in Europe, their powers and their demonstrative inefficiencies in '...tackling social and economic conditions...' (Stoker 2004a p10). To address this issue, an emphasis on interconnections amongst communities, cultures, economies, political institutions, their

policies and requirements has resulted; all of which require the cooperation and coordination of a variety of state and public stakeholders in policy development and implementation (Hyden & Court 2002; Stoker 2004). As discussed in *Section II*, increasing attention to interrelationships amongst and between communities and institutions has undoubtedly contributed to an increased focus on developments in governance *and* the theorised outcomes of enhancements in social capital (Grootaert & Van Bastelaer 2002) (Hyden & Court 2002).

Nonetheless, in the British case, the popularity for governance is additionally argued to have derived from Thatcherite policies for privatisation and the creation of a leaner, more cost effective government, targeted to make clearer distinctions between the development of policy *and* its implementation (Dorey 2005). This strategy resulted in creating agencies out of government departments and a decentralisation process of decisions purported to be made at local authority level. Both of these strategic mechanisms are argued to provide greater independence and autonomy in their management and government. Yet equally as with other governments worldwide, a greater dependence on non governmental partners resulted, (Frederickson 2004) evidenced through for example, processes of contracting out local government services and the development of public-private sector partnerships. However, although governments have purported the promotion of ‘...processes that relied less on authority for control’, control is still apparent (Frederickson 2004 p7) and can be associated with ‘...the art of steering’ societies and organisations..., considered to be more acceptable to an informed and empowered public (Graham et al. 2003b p2). Nonetheless, the drives for governance and its mechanisms have continued and ultimately, what has been termed a dilution and fragmentation of government expertise and its services have resulted (Dorey 2005). As a consequence government agencies have been heavily criticised for resulting in inefficiencies and a lack of accountability (Dorey 2005) yet have further been increased in number since 1997<sup>6</sup> under New Labour with their modernisation agenda and strategy for democratic renewal.

Parallel and arguably instrumental to this increase, the public’s political engagement rates have decreased (Burton 2003;McLean et al. 2002), whilst there has been an increasing political emphasis on the development of task forces, working and advisory groups, inclusive of representatives from the local communities. These community engagement processes have undoubtedly developed in part to ‘...find new ways to engage with people... (and develop) effective channels of communication...essentially required to achieve many social and economic outcomes...’ Yet they are further ultimately considered ‘...to restore political vitality to institutions that were judged to have lost touch with the public...’ (Stoker 2004a pp 108-109). This affirmation as a key pillar of New Labour’s policy, argues to provide a greater democratic voice for the people (DCLG 2008). Although, of a practical nature in, for example, the environmental context, community engagement

has also pragmatically captured local knowledge previously lost through the fragmentation processes of local government but essentially required to implement policy objectives (Abrams et al. 2003; Hague & Jenkins 2005; IUCN 2003c; Oakley 1999).

### **2.1.5 The rhetoric of community participation in the 21<sup>st</sup> Century**

This practical emphasis on and use of the citizen has a long history, from the Athenian style of direct democracy (Heywood 2000) and problem solving approach highlighted by Schuler (1996), to a much later, more controversial vision of self-governance by William Godwin in his philosophical *'Enquiry concerning Political Justice'* (1793). Written in the context of the French Revolution, the demonstrated farce of the then British Government's local democracy<sup>7</sup> and prior to the Gagging Acts of Pitt's British Government, Godwin emphasised people's empowerment for self-government. He argued that government of a people perpetuates society's lack of freedom which can only be alleviated through the 'enlightenment of mankind' (Marshall 1986). Through this empowerment, rejecting the theory that we act in self-interest, he asserted rights of individualism, independence and equality. Attaining these attributes provide for self improvement and together, a rational and enlightened society works for the good of the whole and is more capable of self government. Ultimately, the success of this process infers that any external institutions, such as government, would become obsolete (Godwin 1793).

Self-government is not a current government vision, however, the context supporting Godwin's work and his ethics on self-government are argued to be as pertinent today as they were more than 300 hundred years ago. Events post war and since the 1950's have provided evidence of their presence and demise with concerns over a lack of democracy, active citizenship, decreases in social capital (Putnam 1993), and in rates of political participation (Burton 2003; McLean et al. 2002). Demonstrative, controversial action has been seen in regular demonstrations against governments, global institutions and at events such as the G8 Summit meetings, and throughout Europe, peace demonstrations against war with Iraq, resulting in the largest community demonstration ever recorded in London (CNN 2003). Yet these very public collective expressions of participation and of aspired influence ended anti-democratically with declaration of war and hopes and struggles for democratic states (Burmacampaign.org 2007) – to name but a few examples! The current method of exerting political will and expression are perhaps, more subtle and less aggressive than in Godwin's era, but the topics are clearly important to the public and evident parallels exist.

However, a key difference to Godwin's era is that mankind's enlightenment in the 'developed world', advocated by Godwin, is arguably reaching unparalleled levels through developments in IT and a focus on education and information. This is considered to have the potential to create an 'information polity' (Tansey 2004), although can equally contribute to encouraging the public's

political participation. Certainly, in current government contexts, at the least, the public are better informed, albeit potentially influenced by political spin in their views and choices as to participation in decision-making processes.

Further, through the popularisation of social capital and its associated research that has argued its advantages in encouraging a civic community with advancements in social and economic progress (Grootaert & Van Bastelaar 2002), the inclusion of local communities in development agendas and in decision-making contexts could be assumed to be positive. Nonetheless, even with the extensive and intensive institutional activities developed to encourage community engagement, as explained in *Section IV* and in the UK context, a general decline in community engagement is being reported worldwide (Burton 2003; Mulvey 2003).

This demise of community engagement can be explained through two further key differences between a historical view of participation and today's perspective.

Firstly, as reported in Europe and shown in the UK example above, government frameworks require and are formally designed to incorporate a community voice through governance processes. As such and in additional consideration of government attention on increasing social capital and a civic society together with an increasingly educated society, these points alone could feasibly infer that more rather than less participation is being achieved.

However, a historical view arguably anarchic, of participatory democracy, can be associated with the vision of a practice for self-government (Heywood 2000). Conversely, as discussed above, the government's modern day objectives for communities are to work with government and their agencies in deciding local objectives and actions for social progress through governance processes of groups, networks and partnerships (Brown & Kothari 2002; CEESP 2007; IUCN 2007; Ledwith 2005; Studd 2002; Wilson & Game 2006). Cynically, this is considered to provide the '...appearance of addressing a problem...and satisfying media, or public demands that '...government must do something...' (Dorey 2005 p 240), all of which as discussed in *Section III*, can pejoratively affect levels of community participation (Parry et al 1992). More positive interpretations of the British context consider Government's engagement with community groups to address Blair's vision of democratic renewal and modernising government and its aims for: a more inclusive approach of the public to politics; to support aims for democratic legitimacy of policy objectives decided by Government; and to improve the quality of decisions taken and projects pursued in a more coordinated approach amongst government departments and agencies (Dorey 2005 pp240-241).

In support of these aspirations, the majority of literature focused on modern day practices argues for at the least, a community to be empowered and enabled to influence decisions taken in their area (Curry 2001; Ledwith 2005). Through examples in the British context of drives toward Community Asset Management<sup>8</sup>, aims for a form of self-government are indeed promoted as citizen control, the highest form of participation (Arnstein 1969), albeit at a project level.

However, whilst reams of reports on aspirations for community engagement exist, many examples are not ‘...often backed by evidence...’ (Burton 2003 p18). As Bloomfield et al (2001 p510) assert, in the UK for example, ‘evidence is limited, except in the land-use planning field...’ Thus, community participation is considered ‘...yet to live up to its own ambitions...’ associating at the least with attracting a usual minority group of participants (Burton 2003 p29; HO 2004).

Further, where engagement does occur, a criticism of community participation includes the level of control retained by central government (Hill 2005), their governing bodies and the exclusive nature demonstrated in networks, partnerships and key consultation fora (Mwamfupe 1998; Warner 1997). As Dorey (2005), Hill (2005), John (2001) and Game and Wilson (2006) emphasise although ‘governance’ and community participation are promoted by Government, the degree of governmental control over community and local authority actions should not be underestimated.

This claim by itself emphasises an irony in consideration of the British Government’s original aims for a leaner government structure. Instead of less state control envisaged through privatisation policies (1979-1997), the result accumulating over the last three decades of British political events has been the development of a new form of regulatory state. The state has become interventionist rather than devolutionary in strengthening local government autonomy, in at the least creating benchmarks for audit purposes aligned to financial mechanisms driven by directives communicated from, in the British case, Whitehall (Dorey 2005). Moreover, instead of encouraging equitable forms of decision-making, ‘...policy making remains in government hands...’ (Hill 2005 p11). This has resulted in governmental control being effectively established over local authorities and in turn, over the local communities as partners in decision-making processes (Dorey 2005; Hill 2005). As such, there is a pejorative effect on the critically important level of influence a community has over decisions (Weldon 2004) and in turn, over the realisation or otherwise of the community’s aspirations.

Thus, whilst a community may have the skills to self-govern, and to a limited degree be permitted to do so, the full advantages argued by Godwin, cannot potentially be achieved. This discussion raises questions as to how genuinely politicians today take the subjects of governance and community participation. Further, how feasible is self-government, interpreted today by

government as ‘...communities in control...’ (DCLG 2008), in a local area and on a given context to achieve given at the least, the level of governmental control engineered?

As previously noted by Arnstein in the 1960s, true participation equates to some level of power without which the process of participation becomes just ‘an empty ritual...’ negating ‘...real power needed to affect the outcome of (a decision-making) process...’ (Arnstein 1969 p216). But, again the question is asked, how feasible can it ever be to attain governance towards a form of self-government, or even development by the people (Hyden & Court 2002), with genuinely, meaningful community participation in reality? This in consideration of Godwin’s philosophical debate and of more recent interpretation, Hyden and Court’s description of governance, highlights a key issue in community participation of a potential for rhetoric.

In light of this concern, a perspective on participation, is that an irony exists which suggests that aims for a wide range of community participation may not necessarily be wanted and/or inadvertently or otherwise, may not be at the least fully and effectively encouraged by lead institutions. Certainly as Richardson and Connelly (2002) highlight, community inclusion may not always be feasible. Further as Parry et al (1992 p5) emphasised, a representative government has historically ‘...placed a limit on participation by the people...’ considering their involvement to destabilise a democracy rather than support it.

However, taking a more positive perspective and the Government aspiration to achieve community participation, this conjecture derives in part, from the activities demonstrated of lead institutions, on behalf of central government policies, to target the participation of predetermined groups and encourage those considered as the most vulnerable groups in society. This encompasses the ‘have-nots’ or ‘hard-to-reach’ minority and those classed as under-represented (Arnstein 1969; Countryside Agency 2005a; DCLG 2006 d; DCLG 2007a; HO 2004; ODPM 2006; SDdimensions 1991).

It is considered that increased governmental efforts on this group of society have potentially contributed, albeit perhaps inadvertently, to diverting attention away from wider community engagement and led to a void in government actions to define and/or steer local government actions as to which public to engage with (Burton 2003). Through ‘public definition’ and targeting of the wider community, this could in turn hold a potential to encourage the engagement of the wider local community, many of whom are not considered as vulnerable but are representative of the ‘hard-to-engage with’ community. In light of concerns over actual numbers of citizens choosing to participate, (Debicka & Debicki ca.2005) these citizens potentially may well constitute the majority group in a community. These must include non or individual participants, the latter of whom may choose to demonstrate their participation through either additional and alternative ‘new’

participatory methods (Moran 2005; Parry et al. 1992) or purely those who represent themselves on an issue and not as part of a collective.

This consideration suggests that the representation of community's views may not be fully inclusive of a community and where representation does occur, could feasibly be skewed to the minority as opposed to the majority view of perceived local needs. As Burton (2003) further highlights, the amount of people, '...striking an appropriate balance between ...the many or the few...', which public is being encouraged to engage, who represents this public and on what decisions the public are involved are fundamental issues requiring more attention. Yet, as Blanchet (2001) notes there are no predetermined rules for the practice of participation and its development requires support from a society seeking to express objectives for a social project and in turn, express its politics (Blanchet 2001). Such '...political choice is for democracy...in which voices make themselves heard.' (Blanchet 2001 p641). The process for this to occur is through '...participation of the governed in their government (as) in theory, the cornerstone of democracy' (Arnstein 1969 p216).

However, another conundrum derives from the type of voice that is prescribed. Perhaps not surprisingly in terms of what is practical, a democratic institutional focus is for a collective voice (Heywood 2000; Moran 2005). Practice shows that the network and or community group model of participation is the most evident form accepted, analysed, monitored and prescribed (Heywood 2000). Yet, this does not consider the informal groups and potentially larger majority of society who do not wish to express their values in conventional participatory forms but choose to represent themselves as an individual or through, for example, alternative forms of groups, such as those concerned with environmental lobbying and ethical consumerism (Barnett et al. ca. 2006)<sup>9</sup>. Barnett et al (ca. 2006 p5) assert that although a view, founded on ethical consumerism, offers a poor substitute for genuine forms of collective political participation,...(these examples of expression)...provide important pathways to participation for ordinary people.'

This view associates with calls for a full range of participation processes to be offered so as to attract more people to participate (Burton 2003). Yet equally, directs further concerns over the current types of participation being offered to the public and accepted by lead institutions, (Moran 2005); and the level of influence the community can actually exert on decisions taken. As Parry et al. (1992) and Vetter (2007) state, the perception of the genuine level of influence an individual can have, affects levels of participation. Therefore, as shown in *Section III*, types of participation can therefore, encourage or discourage an individual. At a local level in the UK, participation with the wider community is commonly associated with public consultations (ODPM 2002), which are now '...widely recognised as inadequate...' although elected officials are of the opinion that this process is enough (Richardson & Connelly 2002 p12). As will be discussed further, these are weak forms



of participation and influence that can result in a community's perception of participation as forms of tokenism of a community's responses (Arnstein 1969; Pimbert & Pretty 1997).

As shown further in *Sections II, III and IV*, perceptions of those governing and those governed, as to the rhetoric of governance, the level of influence the community can exert over decisions, and the outcome of community's efforts in decision making fora are cited as some of the key concerns. This can be demonstrated in increases or decreases in community participation. However, in the case of protected areas these concerns are emphasised even further as also is the importance and aspired outcomes of community participation in protected areas.

### **2.1.6 The relevance of the Protected Area and the National Park**

Unlike research in more general contexts that includes a focus on features of social capital, there are noticeably fewer texts relating specifically to social capital in the protected area context. Nevertheless, 'increasing recognition is being given to the importance of protected areas in furthering community development.' (Lockwood & Kothari 2006 p58). The most recent manifestation of this importance has been the relatively recent attention paid on protected area governance and institutions involvement in participation (Borrini-Feyerabend 2005 a & b). The importance of community participation in protected areas is argued on the basis that through community engagement in the planning and management of the area leads to; community ownership of projects and adds to the longevity of project outcomes; provides the ability to be able to bridge communication between the many 'experts' responsible for the protected area and local people; captures the recognised importance of local knowledge; and ultimately, creates awareness amongst communities as to the values of protecting the designated site thus, is argued to create a more secure future in the current vulnerable era for the protected area (Abrams et al. 2003; Dudley et al. 1999; Geoghegan & Renard 2002; IUCN 2003 c ; Pimbert & Pretty 1997; Phillips 2001 and 2002b; Pretty 2003).

However, as in more general contexts, it is also recognised that community participation in local decision-making is not always feasible (Richardson & Connelly 2002); and where it is, whilst the benefits of community participation are argued to be magnified in terms of safeguarding a protected area, so too are the issues. Three key examples of concern are associated with bureaucracy, regulation and government (Buckingham-Hatfield 1999; Borghi & Van Berkel 2005; Graham et al. 2003b; Parker & Selman 1999) all of which as discussed above (Section:2.1.5), emphasise a paradoxical practice of participatory governance within governmental control which are inherent in the establishment and management of a protected area. The New Forest National Park is a prime example. With purposes for conservation and social well being it has obligations to the local,

neighbouring, visiting and national communities. This creates, as will be discussed in *Chapter III* a complex working process in terms of at the least, the sheer breadth of community engagement advocated. In addition, as demonstrated in *Chapter V*, the Park's association at the varying levels of government from the local to the national, is suggested to have the potential to create further issues for the Protected Area Authority in terms of addressing the diverse agendas of its numerous governors who have the potential to influence the Authority's activities in terms of the level, type and objectives of community participation to be achieved. For this, some degree of independence for the Authority from the government is advocated (Graham et al. 2003b).

A further issue is the extent to which those participating can affect the outcome of a decision-making process. Warner (1997 p415) emphasises that institutions' '... choice of stakeholders has been highly selective...' focusing on the '...implementing agencies or institutional stakeholders...'. This makes participation based on consensus '...inadequate in its accounting of social and environmental capital...' (Warner 1997 p416). Furthermore, Wight (2004) shows that in the main, where engagement does occur, communities in protected areas are considered to have little influence. Much of the reason for this could be presumed to derive from the degree of governmental control still exercised (Game & Wilson 2006), but also associates with the governmental and governance principle of the Rule of Law (Oakley 1999; Wight 2004) and the numerous designations and protective environmental statutes presiding over a protected area. All of which steadfastly comprise the '...mandate...' of the government (Hill 2005 p28). This situation results in environmental prerogatives evidenced by scientific paradigms, and '...different forms of political control...' (Pimbert & Pretty 1997 p304) that afford community opinions on for example, environmental planning and management only in so far as environmental imperatives and political controls can or will permit. Whilst the rule of law is accepted, best practice asserts that '...governance is ...about the judicious use of power...'and making '...choices and exercising discretion.' (Graham et al. 2003b pp12-13).

The level of influence afforded to the community and even levels of community engagement are further affected by: the will and attitude of the lead institutions in an area towards 'who has responsibility for managing protected areas.'; funding and resource allocations (Lockwood & Kothari 2006 p60) ultimately controlled by government (Dorey 2005); the participation opportunities created; and '...who has the power to make decisions and how (they) are made...' (Lockwood & Kothari 2006 p60) when in reality, '...policy making remains in government hands...' (Hill 2005 p11). Thus, these considerations relate to the level of community influence wanted by governing decision-makers towards '...foster(ing) an atmosphere of trust and mutual understanding between agencies and local communities essential to successful participation...' (Govan et al. 1998 p vi; Richardson & Connelly 2002; Weldon 2004). This is a situation which is exacerbated by '...few specialists ...experienced in all areas of participation...' (Warner 1997

p420). However, as demonstrated in the UK, community participation has been statutorily endorsed since the Local Government Act 2000; at an influential international level, through for example the Convention of Biological Diversity (CBD); and focused directly on environmental decision making, through the UN system with the creation of the Åarhus Convention, 1998. Nonetheless, given the cautions emphasised above, further consideration of the actual level of community influence over decisions may well provide potential reasons for cynicism with and mistrust of lead institutions as potentially key factors as to why people do not or do participate in local decision making (Parry et al. 1992; Vetter 2007; Weldon 2004).

Associated with levels of influence and objectives of participation, are the amount of interests that best practice for participation seeks to address. This is advocated to be inclusive of all relevant parties and that ‘...these players will buy into and take some responsibility for decisions...’ taken in plans and management strategies co-developed (Vaske et al., 2000 p208). Although as Richardson and Connelly (2002) state, a practical element of exclusion tends to be developed according to the type of participation selected. Further, the sheer number of interests being dealt with in participatory fora, the amount of stakeholders included and the further number of superiors governing such processes may dilute accountability for and decrease the quality of decisions taken; an issue particularly highlighted in planning and development control contexts (Beausang 2002). Parity is also required in terms of levelling power imbalances that can arise with the diversity of agendas presented by stakeholders (Borrini-Feyerabend et al. 2006). As stated by Weldon (2004) without equal power sharing, people participating can feel manipulated (Weldon 2004) further exacerbating concerns over mistrust and cynicism with institutions.

However, a bottom-up approach to decisions steered predominantly by the community is not of itself enough for democracy to function (Beausang 2002). Beausang further argues that ‘...civil society can be undemocratic if it is isolated...’ as such, ‘...different sectors of civil society...’ can benefit by interaction in terms of ‘...power resources at their disposal...’ (2002 p6) and ‘...states and programmatic party politics remain important actors as they are indispensable in channelling the demands for governance...’ (Beausang 2002 p10). A prescribed objective is inferred to find a balance of power, as the state and civil society ‘...can complement each other...’ (Beausang 2002 p6). ‘Joint governance based on a combination of stakeholder theory..’ (Beausang 2002 p4), suggests partnership development amongst lead institutions and with communities (Beausang 2002). From and for this a collaborative situation can be developed meeting conditions of ‘...representation, accountability and equity in addressing problems; and in terms of an equitable ...access and distribution of power and resources...’ (Long 2000 pp342-343).

Nevertheless, as will be discussed in *Chapter III*, what all these issues have in common is the presumption in best practice and much of the literature, that a) institutions want to engage with

communities and b) communities are and do wish to participate in local decision making (Buckingham-Hatfield & Percy 1999; UNEP 2000). In relation to the institutions, perhaps through resistance to change, a genuine and meaningful welcome for community involvement is still not wholly or consistently evident and cannot be taken for granted (H. Tidball. Project Manager. DCC<sup>10</sup>. Pers. Comm. 2003). With regard to the community, motivation to participate can never be assumed as the community ‘...may fail to take part or even they may refuse (participation)...’ (Buckingham-Hatfield & Percy 1999; Maier 2001 p709). Further, much of the associated literature in protected area and general contexts generally argues or infers that less rather than more participation is occurring (Buckingham-Hatfield & Percy 1999; Parker & Selman 1999). A key issue contributing to these views is argued to derive from the opportunities created by institutions to participate as well as from the community’s motivation and ability to participate. This bottom-up and top down structure for participation constitutes the conceptual framework of participation and derives from the concepts of governance and social capital.

### **2.1.7 Section I: summary**

Following an introductory description and discussion of community participation through the various perspectives on its features and outcomes, the advantages and challenges of community participation in practice have been introduced. The advantages would suggest that governance should be thriving. However, as previously stated, and of concern worldwide (Debicka & Debicki ca. 2005), a key challenge is that community take-up in participatory processes, especially recorded in the political context, has not been consistent and is reported as poor, as discussed further in the case of the UK (Melville 2005 – see *Section IV*).

From a historical review of the development of community participation in particularly governance processes, issues associated with community engagement are examined and include a predominance of government as the superior decision maker compared to governance where government is theorised as but one authoritative decision maker. A paradox is emphasised with the dual practices of government and governance from which the vision for objectives of community participation are debated as to a potential for rhetoric in the context of protected areas.

This paradox is confounded further as, whilst a governance perspective focuses on community inclusion and their empowerment, suggesting the potential for self-governance, restrictions on the full potential of citizens’ participation are still in practice experienced. This claim again centres on the degrees of government control retained in decision-making contexts (Hill 2005) which ‘...limits...(the) practice (of governance and community participation) to tokenism, (thus) failing (a) professed aim to achieve social justice.’ (Ledwith 2005 p8). The term is thus more commonly used in a generic manner meaning the task of running a government or organisation (Hyden 1992).

This contravenes the very spirit of governance and community participation, which, as discussed previously, was philosophised by Godwin (1793) as active citizenship and self-government. Of more recent times, this is advocated to translate to development by the people (Hyden & Court 2002) and in modern practice, as further considered in the British context, as less focus on and influence by institutions and more on people. However, unlike 18<sup>th</sup> Century politics, there is a 21<sup>st</sup> Century demonstrative written expression by those governing to engage with communities, (DCLG 2006 d; DCLG 2007a; LGE 2007; Lyons 2006) which although could be interpreted as rhetoric and necessitated by ever decreasing budgets, by the nature that there is such evident focus is alternatively asserted to demonstrate ‘..that participation is not mere...’ spin (Borghi & Van Berkel 2005 p6).

Nevertheless, although a key element of community participation requires government structures based on democratic principles, and motivations to encourage governance, community participation cannot be presumed to result. An equally important dimension necessitates a motivated and able community to engage with and be active in decision making forums. This active civic community associates with the integral social capital dimension of community participation.

The following section examines in detail the concept of community participation by identifying its constituent parts derived from largely theoretical interpretations of democracy, governance and of social capital.

## ***Section II: The dimensions of community participation: Institutions and the Community***

### **2.2.1 Introduction**

As stated in *Section I*, community participation is complex and requires a governing structure to encourage participation from the ‘top-down’ and from the ‘bottom up’, requires the motivation of a community that is able to participate. These two key and fundamental elements derive from at the institutional level ‘governance’ and at a community level, from ‘social capital’. Fundamentally and integrally linked to the polity, democratic principles are expected to support governance practices and in turn, to encourage community engagement for which support through governance and outcomes of social capital emphasise the development of networks and associations. However, as argued in *Section I*, in practice, degrees of rhetoric are notable. This section elaborates further on previous discussions with a focus on theory and the premises of each concept. It commences by examining the two concepts of governance and social capital by considering their interrelationships and their further associations with democracy. A key practical feature of community participation is of collective community action however decreases in community engagement are reported. This is associated with the phenomenon of individualisation.

### **2.2.2 Democracy, government, governance and social capital**

Democracy’s two key attributes, treating ‘...all as free and equal...and the protection of the basic rights of citizens...’ (Stoker 2004a p8) are extended in current democratic theory, parallel to criticisms over the practice of ‘...flawed and limited conceptions of democracy...’ (Stoker 2004a p123). These critiques associate with scepticism over democratic engineering and the creation of participatory processes considered to be ‘...uninviting and unattractive...’ to the public (Stoker 2004a p123). Yet Stoker (2004a pp109-110) further states that ‘...it is possible to engineer democracy (with) a strategy of public engagement....(considered to) ...stimulate more trust and a greater sense of involvement on the part of individuals or local groups’. This strategy is viewed to contribute to a revised version of democracy that considers ‘...properly organised democracy increases our capacity to address fundamental social problems ...’ in a process of communication and learning cultivated in discourse between communities and institutions (Graham et al. 2003 and b; Stoker 2004a p211). Such communicative interactions are facilitated through an active civic society (Infed.org.uk 2009), that demonstrates citizen action and community participation (Schuler 1996) deriving from and supporting enhancements in social capital that are associated with political equality, solidarity, trust and tolerance and as with requirements for governance, community associations enhanced through the development of networks (Putnam 1993). Equally, institutionally derived processes of governance are necessitated which, and combined with

enhanced social capital, are hypothesised to co join bureaucracy and regulation with the public's articulated interests through '...networks of trust...' (Stoker 2004a p24). As a result, problems are theorised to be solved '...by opening up the system to learning, ideas and the commitment of those who can offer solutions.' (Stoker 2004a p8).

The importance of social capital is evidenced through the attention its principles of trust and community membership to networks receive in government research (see DCLG 2006 a). Governance however, appears to receive more attention as part of government strategies. As endorsed by the Commission of the European Communities (COEC) (2000 p4) governance is singly asserted as the effective working of institutions and their further co-working with citizens, both of which are considered as imperative for '...improving democracy in Europe...'. This stance emphasises that democracy and governance are '...two complementary and interdependent concepts.... Both... (include a review) ...of political systems, reforms, institutional structures and governing processes' (Santiso 2001 p11). However, through the networks theorised to result from enhancements in both social capital and governance, a partnership approach with the state, known as joint governance has the potential to develop and is important '...based on formal democracy (and) power distribution between those who govern and those who are governed... (Equally required are) ...negotiation processes between groups of stakeholders and (founded on government's) decentralisation (programmes) ...flows of information to the centre....' are facilitated (Beausang 2002 p21).

Within the political regime institutional arrangements for community engagement are features of democracy and are founded on freedom of information, of speech and access to a legislative framework (Beausang 2002). Further, democracy, governance and social capital require '...the promotion of tolerance and social harmony...no discrimination... and (associating with government, the availability of )...a viable multi-party system...' (Graham et al. 2003 b piii).

Hyden and Court (2002), as with Putnam (1993), emphasise imperatives for an active civic society. This vision of an active public is considered to contribute to the political setting in which people become '...familiar...' with and '...interested in public issues' (Hyden and Court 2002 p16). For this, Government aims to '...maintain order and facilitate collective action...' through its core functions of legislation, execution and adjudication (Heywood 2000 p19). Whereas 'governance', although as with democracy and social capital, concerns collective action (Plumptre 2006) is a far broader concept and additionally regards '...the various ways through which social life is coordinated...' (Heywood 2000 p19). This social concern additionally links governance with social capital and its emphasis on the organisation of a community through networks and associations (Grootaert & Van Basteleer 2002; Putnam 1993).

Although many advantages over alternative regimes are advocated, concerns are apparent over governance and are associated with criticisms on the remodelling of democracy (Cox 2008; Debicka & Debicki ca. 2005) based on it just not being ‘...democratic enough...’ (Giddens 1998 p71). As Dalton asserts, contemporary democracies are facing a challenge today ‘... from (their) own citizens...who (are) disillusioned about how the democratic process functions...’ (Dalton 2004 p1). ‘Minority rights can be crushed by the majority in the name of the people...as it articulates the interests of the collective body rather than (of the) individual; and ...it (can) allow demagogues to come to power by appealing to the basest instincts of the masses.’ (Heywood 2000 p127).

Conversely, governance aims to place the government as one of the many organisations which can be involved in partnership working with the community to address local issues which are invariably communicated through ‘networks’ (Heywood 2000). This links with the collective action previously highlighted in community participation and is prevalent in representative and pluralist democracies as the communicative bridge between State and society (Heywood 2000). Through effective governance endorsed and/or offered by the institutions and enhancements in social capital envisaged through a motivated and able civic community, Schuler’s (1996) community participation system for effective citizen action is aspired to result. The benefits of this outcome are argued to address local priorities articulated by the local community (Lyons 2006) which in the British context is a key theme documented in British strategies for democratic renewal (Lyons 2006).

As this discussion demonstrates community participation is a multifarious notion comprising of several key dimensions driven by government, institutions and from within the community itself, which to investigate further, requires identification of the key theoretical principles that comprise governance and social capital.

### **2.2.3 Defining Governance**

Whilst outcomes of governance are argued to support democratic renewal and result in greater efficiencies of policy making and their implementation, (Dorey 2005; Hill 2005) it is by itself a diverse concept comprising numerous principles defying a universally agreed definition (Frederickson 2004). As demonstrated by Beausang (2002), Frederickson (2004) and Hyden & Court (2002) interpretations of governance are dependant on the context and the perspective taken, objectives strived for, and in terms of economic, social and/or environmental and development agendas prescribed.

Frederickson, (2004 pp6-7), emphasises this range of interpretations further in his review of governance. These include the integration of governance with government, concern strategies for



democratic renewal and emphasising citizen action, social capital: ‘...the structure of political institutions...; the shift from the bureaucratic state to the hollow state of third-party government...; the development of social capital, civil society, and high levels of citizen participation...; the work of empowered, muscular, risk-taking public entrepreneurs...; public-sector performance...; interjurisdictional co-operation and network management...; globalisation and rationalisation...; corporate oversight, transparency, and accounting standards...; (and in the UK), governance is ‘Tony Blair’s “third way”, a political packaging of the latest ideas in New Public Management, (NPM), expanded forms of political participation, and attempts to renew civil society.’ With these various interpretations are found as many definitions.

An examination of these definitions ultimately shows Governance as an ‘...all-embracing...’ concept and practice from which ‘...it is difficult to see what boundaries could be drawn around it...’ (Bovaird & Loeffler 2007 p3). Indeed, the results perceived to derive and the attraction of the concept is argued by Frederickson to be fashionable, vague, open to interpretation and value laden, often implying that certain features are comprehended and agreed when in reality ‘...they are not...’ (2004 pp12). As such, Frederickson (2004 p18) argues there is a need for a clearly defined description of governance, generally agreed and applicable to both general and specific contexts: ‘Governance theorists must be ready to explain not only what governance is but also what it is not.’ This could be seen as an imperative as democracy is critiqued and some have argued that a reversal of democratic liberalisation and its renewal is occurring with more recent models of democracy’s political liberalisation (Santiso 2001).

However, as noted by Hill (2005 p74), ‘...one of the key justifications for the use of the term ‘governance’ is the importance of networks...’ and through partnerships as providing ‘...ways of ...integrating state and society...’ to increase democratisation (Hill 2005 p11). This view is considered to aid progress and facilitate a ‘...utopic way of working...’ (Hill 2005 p74). Although emphasis is given to tangible indicators of networks and partnerships, by associating governance with the development of a perfect system, an ambiguity and intangibility of the concept results, tending to further develop an ethereality of the concept. As such, whilst it is recognised as an ‘...ongoing phenomenon...’ it is also acknowledged ‘... that it is hard to pin down, but .... (is important as it influences) how results are achieved.’ (Hyden & Court 2002 p7).

To compound the complexity of defining governance, the centrality of government is questioned (Heywood 2000). An anarchic view of government, takes the stance that government is unnecessary; a liberal democracy considers oversight and scrutiny of government; academic, political theorists tend to observe associated contextual influences; and political sociologists focus on wider social structures and interactions (Heywood 2000) which notably directs attention to the

wider community's participation. A community perspective on governance will depend in part, on how the community perceives the level of influence it can hope to exert, (Parry et al. 1992; Vetter 2007), the amount of participation wanted (Parry et al. 1992), and the community's collective ability, including '...through (its) critical consciousness...', to determine the community's own priorities and needs (Ledwith 2005 p1).

These views to varying degrees are emphasised in the array of governance definitions and, include a focus on community participation, through both a revival of an active civil society associated with the additional concept of social capital (see *Section:2.2.5*) and through revised agendas of democracy (see pp 45-48). Interestingly, the dimension of community participation appears to be particularly advocated by those whose objectives are either academic or founded on Human Rights as opposed to purely of a political or economic stance (Frederickson 2004; Graham et al. 2003a and b; UNDP 1997; UNESCO 2001). Those who do not explicitly include community participation as a focus infer they do so by the governance principles they emphasise which if they are to be addressed require some form of community participation.

As a result of the literature reviewed, an examination of the many definitions of and perspectives on governance, and in consideration of governance's principles presented below, the following definition has been adopted for this research:

*'Governance is **not** government but a concept and process based on interaction between the state and the community. It is founded on principles of participation, transparency, efficiency, equitability and legitimacy in areas of decision-making. Through this, opportunities can be created to enhance social capital and increase community participation in the formulation and implementation of policies and plans. Political, institutional and legislative frameworks are, although debated, required. Equally necessary is partnership working amongst the public and community representatives and within the community, amongst the networks of civic society groups; although individualisation and demands for alternative forms of participation are argued to also be part of demonstrative civic participation. Power issues are inherent in the process and practice of participation and governance, yet cooperation is required amongst state and non-state actors empowered through a focus on capacity building. Focusing on community engagement, governance requires broad community participation, inclusive of the wider community, which is argued to derive from the political will and from sufficient social capital, to address democratic and sustainability principles. Governance aims to place power equally between state and non-state actors in decision-making. It is therefore, a complex concept, process and if pursued, practice'*

## **2.2.4 Principle connections of community participation: governance and social capital**

As depicted in *Section: 2.1.4*, the term Governance applies to three areas, economics, politics and administration and is exercised through participatory decision-making processes and the formulation and systemic implementation of policy (Hyden & Court 2002) purported to result in ‘...greater flexibility and deregulation.’ (Frederickson 2004 p10). These processes link governance with social capital and the premise of an active civic society, the act of community participation in this society and governance processes, and further through community engagement, associate with institutions and the governing regime. As a result and as shown in Figure 1 below, the theoretical context of decision making and for community engagement is diverse and as further shown in Figures 2, p.68 and 3, p.71, characterised through a dependence and an interdependence with key operational principles associated with government, democracy, governance and social capital.

A key imperative is that the practice of governance and its principles need to be examined in context (Graham et al. 2003b) as it is influenced at a local level by the local community and local institutions, both of which affect the amount and types of community participation that can be demonstrated. This contextual examination includes: identifying a community’s motivation and abilities to participate, and, emphasising the connection of governance to social capital, encompasses an identification of key networks and groups; an examination of the historical culture of participation developed in the area and the degree to which a community trusts institutions and their fellow community members (Adam & Roncevic 2003; Putnam 2000; Putnam 2002<sup>11</sup>). These elements are argued in governance theories to affect the parameters, definition, perspective taken and relevant objectives of governance to be achieved (Beausang 2002; Hyden 1992; UNDP/UNESCAP/ADB ca. 2004; World Bank 1992). For example, the concepts of political efficacy and of cynicism are closely related to the principle of trust (Parry et al. 1992). Political efficacy constitutes the perceived levels of influence an individual believes they can assert and cynicism is displayed where an individual mistrusts an institution. Rather than principles for good governance, the existence of these could suggest a lack of governance can be perceived and as demonstrated by Parry et al (1992) associate both with the amount of community participation occurring and equally influence the manner in which community members choose to participate.

Further key influences on the practice of governance and in turn on community participation derive from the national level of government with governing frameworks and legislation; and at an international level, through directives based on environmental, economic and human rights.

**Figure 1: Comparability of key principles - community participation.**

Key principles	Concepts				
	Government	Democracy	Governance	Social capital	Individualism
Ordered rule – legislation & regulation	✓				
Political realm - bureaucracy	✓				
Collective action	✓	✓	✓	✓	
Democratic renewal/decentralisation		✓	✓	✓	
Freedom of speech & association		✓	✓	✓	✓
Promotion of tolerance		✓	✓		✓
Protection of rights		✓	✓		✓
Subsidiarity/ Grassroots inclusion		✓		✓	
Access to justice		✓	✓	✓	✓
Active civic community		✓	✓	✓	
Citizen action & participation		✓	✓	✓	
Will/attitude of politicians			✓	✓	✓
Funding and resources			✓	✓	
Participatory opportunities - 2-way communication			✓	✓	
Groups, networks, & partnerships			✓	✓	✓*
Voluntary membership			✓	✓	✓
Trust of Institutions			✓	✓	**
Accountable decision-making			✓		
Access to information			✓	✓	✓
Decency, fairness – equity			✓	✓	✓
Cooperation and collaboration			✓	✓	
Transparent processes			✓		
Building consensus			✓	✓	
Problem solving approach			✓	✓	✓*
Level of influence			✓	✓	✓
Community empowerment				✓	
Access to information and information exchange			✓	✓	
Connections and interactions			✓	✓	
Socialisation & integration			✓	✓	
Social trust				✓	
Shared experiences, history, culture, norms				✓	
Motivated for good of community			✓	✓	✓
Self-interest					✓
Other interests					✓
Context specific	✓	✓	✓	✓	✓

\*alternative forms

\*\* Mistrust of institutions and cynicism are argued as reasons for individuals to seek alternative forms of participation, be that independently or as part of a group.

The legislative framework, responsive and responsible leadership (Hyden 1992), and the political will of institutions combined create a key opportunity for the community to participate in politics and decision-making (UNDP/UNESCAP/ADB ca. 2004). Through the combination of principles

derived from institutions and the community, the rules of equity and inclusion (Graham et al. 2003a and b) have the potential to result with aims for efficiency in managing a local area and/or project.

Key operational governance principles include a voice for democratic expression, accountability and the rule of law (Kaufmann 2005). These support the principle of legitimacy and in turn, through community engagement, the legitimacy of the public realm is enhanced (Hague & Jenkins 2005). As Hyden (1992) asserts, legitimacy is as much a product and a dependent variable of and produced by effective governance. The rule of law, including ethics and direction of human rights decrees <sup>12</sup> provide for a means to achieve effectiveness, endorsement for the law and aims for ‘...easy, timely and equal access to justice...’, (UNDP/ UNESCAP/ADB ca. 2004 p3).

Broad community participation<sup>13</sup> is inferred through the principles of democracy, subsidiarity and decentralised decision making processes (Graham et al. 2003 a & b). These principles emphasise the influence of National government and International institutional drivers on the attainment of governance and community participation at a local level.

As with Kaufmann, Hyden and Court (2002 pp 25-26) also assert governance should include participation, transparency, and efficiency but also address moral principles of decency and fairness. ‘The assumption is that the more governance is undertaken according to the(se) principles ... the better it is.’ The UNDP, UNESCAP and ADB (ca. 2004) endorses these points further and emphasises the role, duty and rights of the community to participate. Such participation should afford the democratic principles of freedom of speech and of association. Entry to these processes means that access to adequate and appropriate information is also important for effective participation (IUCN 2007).

Further, essential support for communities’ involvement derives from and within the political system. This relies on processes and tools for participation so as to inform and organise citizens to be able to influence decision-making (Putnam 1993; Hyden 1992). This situation demands that another core element for effective governance is capacity building leading to community empowerment, creating situations whereby participants are able and feel able to participate effectively and equitably in decision-making arenas (Lindsey et al. 2001; Richardson & Connelly 2002). As such, and as prescribed by the UNDP, the complexity of the concept means that research in policy is required, sharing of knowledge is important, and that training, advisory services and other technical assistance is emphasised for both institutions’ staff and communities (UNDP/UNESCAP/ADB ca. 2004).

As shown through this review of governance, principles are varied and many are subjective. Yet emphasising governance’s reliance on a community to want to engage with institutions, governance

is further influenced by a community's subjective perceptions of its quality, as discussed in *Section III* and below, through the degree of social capital developed. It is therefore, a dependant variable, notable for its reliance and interdependence on features of social capital. As such, it is complicated to research as it is additionally context-specific, and '...any subjective perceptions thereof must be explained by specific events or trends (Hyden & Court 2002 p30) and considered at a given point in time (Parry et al. 1992).

### **2.2.5 Defining social capital**

Where governance theory tends to associate with a political and institutional perspective of community participation, the concept and theory of social capital is predominantly focused on the community dimension of participation. This use of both theories is extensively reported in government documents and previous research conducted<sup>14</sup> (DCLG 2006 a- g; Lyons Inquiry 2006). The reason why can be easily explained by the similarity of the key principles supporting each concept (see Figure 1 p 64) especially those concerned with the principles of trust and associations with groups and networks. Indeed the framework for participation necessitated in governance is equally evident in social capital literature via Uphoff (2000) and his depiction of requirements for structural capital. 'This associates with relatively objective and externally observable social structures, such as networks, associations, and institutions, and the rules and procedures they embody...' (Grootaert & Van Basteleer 2002 p3). However, social capital, directly focused on the domain of the 'community', is defined further as comprising '...social interactions, trust and reciprocity...(considered to result in) collective outcomes...' (Grootaert & Van Basteleer 2002 p1). This dimension, representing the community, completes the conceptual framework for community participation to be enacted and in consideration that governance and institutions are of equal importance in this research, together represent in sociological terms, a much urged synergetic research approach (Grootaert & Van Basteleer 2002) which contributes to this inquiry.

Popularised by Putnam (1993) enhancements in social capital are effectively considered to contribute to economic and social development (Putnam 1993). This feature alone links this concept with aims for community participation (Grootaert & Van Basteleer 2002; Schuler 1996). Yet additionally governments' use of governance as a political-sociological concept, (Grootaert & Van Basteleer 2002), aims to encourage community engagement in decision-making contexts so as the community is encouraged to work with institutions to tackle economic inefficiencies exacerbated through effects of globalisation and Europeanisation (Grootaert & Van Basteleer 2002) to achieve development objectives (Uphoff 2000).

Indeed, a critical role is emphasised for institutions, envisaged to support community-institution

interactions derived through the creation of governance and participatory processes (Grootaert & Van Bastelear 2002). Yet equally institutions are further required to sustain networks within communities in order to ‘...build on social capital (considered to be) at the core of the empowerment agenda...’ and therefore at the heart of increasing opportunities for social progress (Grootaert & Van Bastelear 2002 p2). Such action is equated to Grootaert’s & Van Bastelear’s (2002) political capital and unlike Putnam (1993) does not underestimate the effect that politics has had on the community (Field 2008). The synergetic research approach fully recognises the importance of governance and decision-making processes with the inclusion of governmental directives as having an encouraging/discouraging affect on community engagement (Grootaert & Van Bastelear 2002).

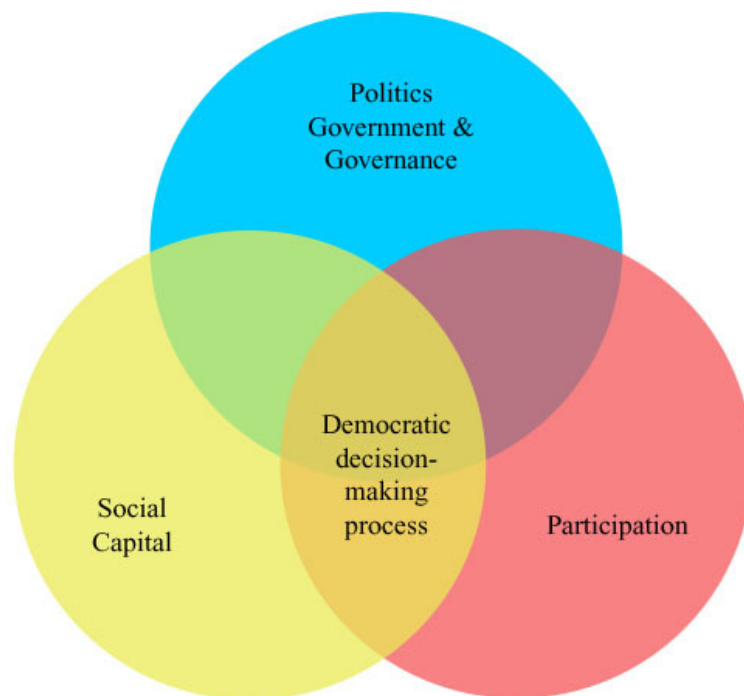
However, as stated above, it is a concept which is most commonly referred to and researched within a community and encouragement for more research of a political nature, as of focus in this investigation, is urged (Grootaert & Van Bastelear 2002). In so saying, given the discussion above and as shown in Figure 1, the similarity of its principles to governance, and ‘...the enthusiasm surrounding the concept of social capital stems from the acceptance that it is a resource or asset that provides an alternative to the heavy hand of the central government ... as an effective tool to improve governance...and (as such) it fits perfectly into the current promotion of decentralization... ‘programmes as envisaged, for example, in the British context (Grootaert & Van Bastelear 2002). The importance resulting from this dual focus on both governance and social capital considers that if social capital and community engagement is demonstratively developed, through the ‘...participation of citizens (in decision making contexts)...it will in turn increase the quality of the governance...’ practiced (Adam & Roncevic 2003 p167).

Improvements in governance are envisaged to associate with development objectives (Grootaert & Van Bastelear 2002; Uphoff 2000) and the creation of ‘....sustainable livelihoods...’ (Pretty 2003 p1). For this, enhancements in social capital are relied on to encourage the cooperation of communities’ at the most basic level of grassroots (Putman 1993; Beausang 2002; Pretty 2003). As with objectives of governance, grassroots inclusion, aligned to democratic principles of subsidiarity, are fundamentally considered to be demonstrated through the increasing membership to and development of networks and associations (Adam & Roncevic 2003; Grootaert & Van Bastelear 2002). These groupings, comprising formal and informal organisations, are considered to support collective action, underpinning government’s primary mechanisms for community engagement (Moran 2005), ‘...through an efficient system of interaction and communication at the institutional level...’ (Adam & Roncevic 2003 p173). Furthermore, from a community perspective the collective participatory forms encouraged, are considered to equally enhance a community’s collective influence, its social formation and economic abilities (Grootaert & Van Bastelear 2002; Putnam 2003) As such an interrelationship and interdependence amongst community members are

considered to ‘...have energizing and reinforcing effects .....(on the community. Although), positive attributes of social capital, such as promoting economic opportunities..., (Grootaert & Van Bastelaar 2002), can also diminish (dependant, as discussed in *Chapter III*, Section:3.4.6) on how people assess their results and benefits from their efforts ...’ (Uphoff 2000 p219) and the extent to which individuals in a community have to conform to social capital’s demands for achieving the community ideal (Portes1998).

Nevertheless, as shown below in Figure 2, for those encouraged to collectively participate in a community, the discourse encouraged amongst the institutions and the community, through the co joining of government, governance, participation and social capital (Adam & Roncevic 2003; Grootaert & Van Bastelaar 2002) is argued to result in enhancing democratic decision making (Beausang 2002). An interdependence of these concepts is equally asserted by Grootaert & Van Bastelaar (2002), Hyden & Court (2002), Parker & Selman 1999, and Schuler (1996).

**Figure 2: The interdependence of governance and social capital in democratic decision making**



**Source: Author**

The advantages for the community of social capital and engagement in groups and networks is argued as of key focus in defining social capital: ‘...described (as) circumstances in which individuals can use membership to groups and networks to secure benefits...’ (Sobel 2002 p139). Community objectives of this engagement are argued to be set in the context of benefits for the broader public (Putnam 1993) based on ‘...a conventionalist sense of duty and commitment...’(Offe & Fuchs 2002 p205). It is further asserted to ‘...strongly correlate civic



engagement with associational involvement...' (Fahmy 2003 p7), and result in and from the ability and motivation of communities as individuals, to participate through as discussed above, groups and networks (Putnam 1993; Paldam 2000). As such, positive outcomes are theorised to increase social connections, (Adam & Roncevic 2003), knowledge acquisition and innovation (IUCN 2003 c) from which, with societal development, socialisation, integration and identification with the collective consciousness of the community can be improved (Buchecker et al. 2003).

However, it is not solely driven by personal or collective motivations. Its development is frequently considered to derive as a '...by-product of ... tradition, shared historical experience and other factors that lie outside the control of any government...' (Fukuyama 1999 p10). This supports an emphasis on investigating the concept in practice and in situ to include '...knowledge of the society in which the individual operates...' (Sobel 2002 p139). These features contribute to the development of society norms, generate confidence to be involved in one's community (Pretty 2003) and lay the foundations for the function of the governance concept from which the community can participate in politics and especially in decision making processes (Grootaert & Van Bastelaer 2002; UNDP/UNESCAP/ADB ca. 2004)

For social capital to be encouraged, numerous features are therefore theorised. However, as demonstrated in *Section III*, for the purposes of this comparative inquiry, as with other investigations and with previous UK research conducted, (pp171 to 172), the community's trust of institutions and social trust of fellow members of a community are singled out as imperatives (Adam & Roncevic 2003; Hyden 1992; Parry et al. 1992; Putnam 1993; Sobel 2002; Van Schaik 2002;). Trust is considered to '...lubricate cooperation...' (Govan et al. 1998 p4), both of which are fundamentally required in policy development and its implementation through networking and partnership processes devised and that it additionally enhances '...the extent to which individuals and groups in society cooperate in associations that cut across basic societal divisions...' (Hyden 1992 pp12-14).

This merger of groups that is asserted to result, is viewed through a bridging construct amongst heterogeneous groups and a bonding feature of homogeneous groups which as Harpham asserts, emphasises '...the role of government and the state within social capital, and hence the relevance of political context...' (Harpham et al. 2002 p106). This is in consideration of governance processes created and democratic principles that support engagement with communities through their various groups and networks (Game & Wilson 2006). Moreover, these bridging and bonding constructs recognise characteristic differences and needs amongst the groups and their constituents and the effect that the local context can have on the success of what in effect is a merger of capabilities to work together within a community or sum of communities (Putnam 1993).

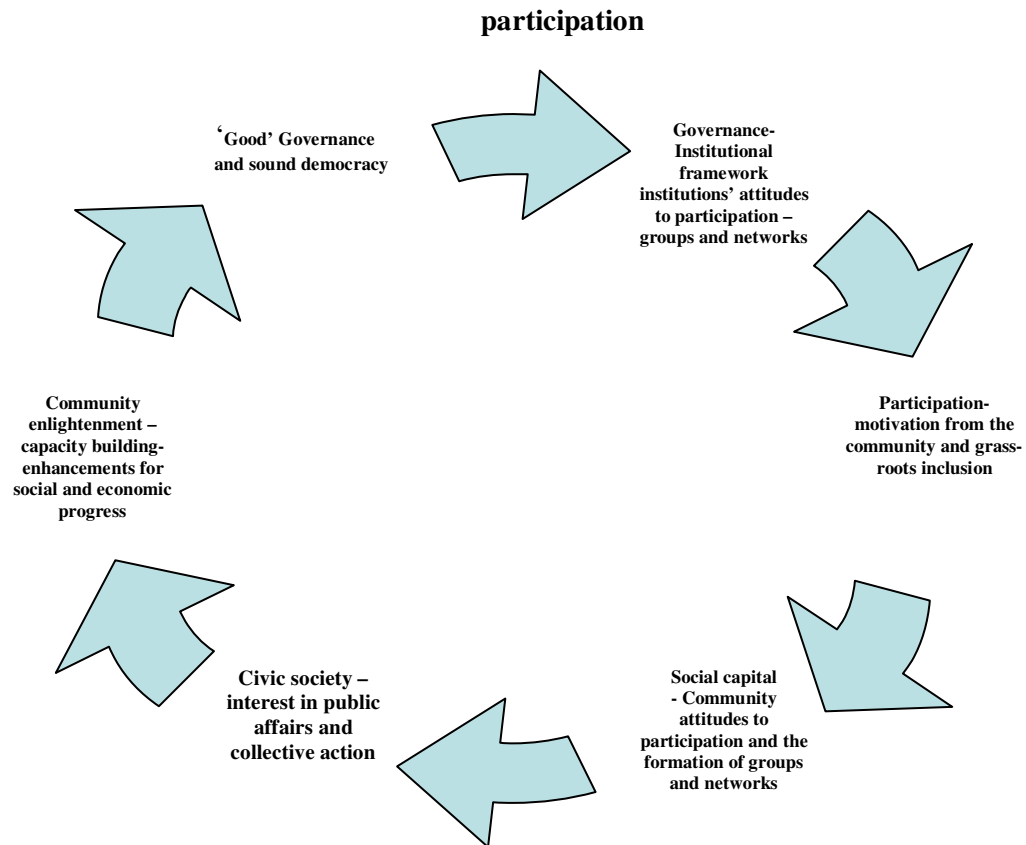
In addition, a generalised reciprocity is argued to be associated with this merger, which ‘...efficiently restrains opportunism and resolves problems of collective action...’ (Grootaert & Van Bastelaer 2002; Putnam 1993 p172). Putnam further describes this concept as one of ‘...short term altruism...’ for ‘...long term self interest...’ and associates its existence to ‘...dense networks of social exchange...’ (Putnam 1993 p172). Consequently, social trust is developed (Pretty 2003) comprising of ‘...those we do not know, but arises because of our confidence in a known social structure...’ (Govan et al. 1998p4).

However, formal and informal associations of society and their connectedness are also viewed to extend ‘...beyond...’ the community of ‘...bonding, bridging and linking types of social capital’ (Pretty 2003 p1). Through mechanisms to link these groups (McGrory Klyza et al. 2004 p12), in practice commonly devised with the input of institutions, (see *Chapter V Section:5.3.7*), alliances can be made ‘...with individuals in positions of power...’ which helps groups to access resources and further, as with aspirations of governance (Heywood 2000), creates a communicative bridge between the state and society (Moran 2005; Tansey 2004). Through these actions the communities’ capacity to participate can be built to participate effectively in decision-making arenas. This requires and means that research, advisory services and support for the community needs to be emphasised to at the least address principles of equity and power in often highly politically charged, decision-making processes (Grootaert & Van Bastelaer 2002; UNDP/UNESCAP/ADB ca. 2004).

These processes are supported by Governance as the framework by which numerous stakeholders, essentially inclusive of communities make decisions and implement actions (Beausang 2002; Hyden & Court 2002; IUCN 2003 c; UNDP 1997; UNESCO 2001). Cojoined with social capital and the premise of creating an active civic community with a political consciousness are outcomes considered as imperatives ‘...as prerequisites of democracy...’ (Beausang 2002 p6). This political dimension is emphasised further by Grootaert & Van Bastelaer (2002) and Uphoff’s forms of structural capital required to support social capital, with mechanisms of for example, two-way communication through forums. This cyclical, reciprocal arrangement amongst government institutions and communities, through the use of governance and social capital, and resulting in community participation is shown below in Figure 3.

However, whilst collective action connects with democratic processes and as discussed below, provides the predominant voice to present and represent views, a decrease in community engagement with traditional forms of participation is argued to be occurring (Debicka & Debicki ca 2005; Moran 2005; Mulvey 2003; O’Toole ca. 2004; Travis & Ward 2002). This, in consideration of the importance of context-specifics is discussed in *Section IV*, however, a contributing factor to this decrease is suggested to derive from individualisation.

**Figure 3: Cyclical links of government, governance, social capital and of community**



**Source: Author**

### **2.2.6 Collectivism, Individualisation and a negation of formalised participation networks**

Active citizenship and participation are features of and result from institutional encouragement through governance processes and is equally driven from within a community through enhancing social capital. From a socio-political perspective, an interdependent principle of *each* concept is founded on emphasising participation through communicative interaction, facilitated by institutional and community associations with collective groups and networks (Adam & Roncevic 2003; Sobel 2002). The very act of participation through such groupings directly relate to forms of collective action, or collectivism which is a body of literature in its own right (Heywood 2000; Tansey 2004). In this sense, collective action is founded on the ‘...belief that human endeavour is of greater practical and moral value than individual self-striving...’ (Heywood 2000 p121). This socialist ideology is enhanced by the principle that ‘...human nature has a social core and implies that social groups (categorised by class, nationalities or cultures) are meaningful political entities.’ ‘...However the term is used with little consistency...’ (Heywood 2000 p121).

Perspectives range from the development of ‘...self-governing associations of free individuals... to...more commonly...’ interpreted, as in this inquiry, to the *act* of participation itself, based on the premise that ‘...collective interests should prevail over individual ones...’ (Heywood 2000 p121). This stance emphasises a strong association with Government, the government’s lead in creating governance opportunities and ultimately in encouraging degrees of community engagement in decision making processes (Heywood 2000) through predominantly community groups, networks and/or partnership processes (Moran 2005).

However, the theory of social capital adds to collectivist ideologies<sup>15</sup> through the structural capital required for both social capital and governance that facilitate collective action (Grootaert & Van Bastelaer 2002). Further additional foci of social capital range from its contributions to the development of processes and principles of networks and groups, to a philosophical view and practical stance. This perspective emphasises ‘...costs to defectors...’ from the collective act and mindset in a community, (emphasising Portes’ (1998) view as to the conformity of an individual to a collective ideal), the potential of social capital and collective action to encourage reciprocity by aiding exchanges of information, (not least through its reliance on the concept of trust), and **ultimately** emphasises the positive outcomes of social capital for ‘...acting as a template for future cooperation...’ (Field 2008 p34; Putnam 1993). Thus whilst the ‘collective’ principle is recognised in the primary research undertaken in this inquiry, as with the works of for example, Grootaert & Van Bastelaer (2002) this thesis’ perspective on social capital and its collectivist dimension is representative purely as a depiction of group forms of participation.

This said and converse to the importance placed on collective action through enhancements in both governance and in social capital, an upward trend worldwide is being seen with decreases in participation at the same time as increases in individualism are being debated. Whilst some principles of this concept associate with those of governance and social capital, as shown in figure 1, p64, similarities are limited and the concept is associated with the notion of democratic deficit and negative views on the system that suggest ‘...perhaps we are moving to a culture, which rejects collective goals and behaviour...’ (Debicka & Debicki ca. 2005 p1). Braun and Giraud (2001 p4) describe a potential for a new democratic model of active individualism, resulting in a ‘...democracy... (of) dialogue between citizens...’.

On the other hand, Barnett et al (ca. 2006 p 3), highlight alternative views of alterations to political integration and participation associated with a consumerisation of public services which could be viewed to ‘...undermine the grounds for collective life and public responsibility...’; and be aligned with self interest (Debicka & Debicki ca. 2005).

Barnett et al's balance to this argument asserts that individuals, '...registering (their) commitment and support for certain values...' are forming alternative collective 'groupings' based on similar views, and comprising other like minded participants (Barnett et al. 2006 p5). Through this and counter arguing claims of selfishness, results are considered to create '...expressions of new sorts of solidarity and concern.' (Barnett et al. 2006 p7). This is especially associated in terms of lobbying for social or environmental justice (Barnett et al. 2006).

However, individualism, which is opposed to the traditional forms of collective action and considered to potentially contribute to changes in social capital, (Hall 2002) has also been considered to be representative in the UK of the use of the term 'community' during the Thatcher era and its inferences of self-interest and decreases of for example, social trust (Hall 2002 p43). Community participation was at this time viewed '...as dampening the entrepreneurial spirit and of causing unnecessary bureaucratic delays...' (Bloomfield et al. 2001. p505) however, this stance is considered to be inadequate in explaining potential declines in community spirit (Hall 2002). However, negative connotations on the public's motivations to participate are also considered to be not wholly appropriate nor relevant as self interest does not have to be forfeited whilst working for the good of the whole and does '...not necessarily (stand for) selfish values...' (Halpern 2005 p238 ) as suggested in collectivist economist theories (Hill 2005). For example, people '... (are) expressing more, not less, willingness to pay taxes to help the poorer nations of the world' (Halpern 2005 p240). This does not further suggest nor even imply that a disinterested community in politics has appeared (Govan et al 1998; O'Toole ca.2004) but that political activism and participation has altered (Barnett et al. 2006; Braun & Giraud 2001; Debicka & Debicki ca. 2005).

Indeed, Debicka and Debicki (ca. 2005 p3) consider a further and potentially associated catalyst as an explanation for decreasing participation linked to increases in education, attitudes to take less risks, and that the '...blind trust in our governments...' expected in the past '...is gradually (being) replaced by cynicism and disappointment...'.

Regardless of these factors argued to contribute to encouraging individualism, the people that comprise this phenomenon are part of a community, and as discussed above, are forming societies and political arrangements that are judging politics, albeit representing their individual views. As such, their opinions are sought in this research equal to the views of those who participate in traditional participatory processes. This stance recognises '...the moral (and democratic) equality of individuals ... (to) allow them to make decisions about their own lives in an 'autonomous (self-governing) fashion.' (Tansey 2004 p57). Equally, by '...broadening the range of respected knowledge in the public realm and by allowing those with limited voice to exert greater influence on decision making outcomes...', affords a '...transformative potential...' of existing democratic mechanisms to improve the outcomes of any decisions taken (Bloomfield et al. 2001 p502).

However, as with a previous evaluation of community participation (HO 2004)<sup>16</sup>, it is asserted that, the views of those who participate individually and those of the wider community, who are potentially averse to traditional collective participation, are not recorded to any great extent in current political research. Thus their views are not necessarily considered in participatory and governance contexts, other than as a potential flavour of public opinion reported by relevant lobbying groups and journalists and assumed or politically spun as anecdotal support for potential deficiencies in society by political elites. Nevertheless, in the UK example, the focus on the collective is still very evident although purported as ‘...active individualism...in so far as (a) self-responsibility for social integration...’ (Braun & Giraud 2001 p3) which is advocated to be enabled by local government (Lyons 2006).

Yet, under the ‘... new social democracy...’ (Braun & Giraud 2001 p3) with local government in an enabling role, depicts features of public dependency on the state which in turn infers a paternalistic stance of government over its public. However, current drives towards community engagement suggest enhancements are being made through new collective, intermediary forms of state and citizens encouraged through an ‘active’ individualism (Braun & Giraud 2001). Nonetheless, it is still clear that the full engagement of wider communities in participation is not being secured. This view is supported through reports of decreased numbers of people engaging in traditional political processes, (Debicka & Debicki ca. 2005), associated with their mistrust of institutions (Debicka & Debicki ca. 2005; LGE 2007) for which, recommendations outlined in the Lyons Inquiry (2006) would appear to aim to address. Ultimately, fewer citizens choosing to participate in decisions could suggest that traditional political participatory instruments are those ‘... of exclusion instead of inclusion.’ (Braun & Giraud 2001 p2) and therefore question, for example, current UK government, governance and participation practices and potentially, if theoretical debates are correct, levels of social capital.

However, institutional actions toward community engagement appear to be continually supported by traditional forms of collective participation converse to that hypothesised as being demanded through individualism and calls for alternative and/or additional practices. The result of this situation is considered to be demonstrated in the amount and levels of participation being shown which at their most simplest description can be categorised as comprising collective and individual forms of participation and of non participation.

### **2.2.7 Section II: summary**

This section has initially examined the interdependency of governance with government and democracy from which governance and the practice of community participation has been defined. Furthermore, in recognition of the ambiguities arising with both these concepts, principles of

governance and participation, as indicative features to support an examination of both concepts, have been drawn from the literature.

The further key element for community participation to be enacted, social capital has also been discussed. This concept, extensively used in previous research conducted, is asserted to be more appropriate in this inquiry than alternative collectivist theories. The rationale for its use includes its comparability of its principles with governance, its use in providing a research comparative benchmark but ultimately, its additional advantage in providing a practical template for future cooperation amongst institutions and communities. Emphasised as essential for the development of grass-roots action based on collective activities, social capital connects with democratic processes, governance practices and provides a voice to present and represent community views (Schuler 1996). However, a decrease in community engagement with traditional forms of participation is introduced together with concerns over pejorative affects on social capital derived from individualism.

Explanations for decreasing participation include associations made with increasing mistrust and cynicism of institutions including the state. A symptom of this decrease is considered to relate to demands and requirements for alternative and/or additional forms of community engagement to be devised, not least due to a potential for some members of the public to be averse to traditional collective forms of participation.

The following section takes these discussions further by examining debates resulting from research previously conducted in terms of the amount, the range and characteristics of participation especially in the British context.

### ***Section III: Levels and Characteristics of Participation***

#### **2.3.1 Introduction**

Individualisation has been discussed as a potentially contributory factor for reported decreases in community participation. However in addition, previous research has highlighted that additional reasons for a community's complete disengagement include mistrust and cynicism towards the process of governance and the governing institutions. Social trust amongst community members as an indicative feature of social capital has further been evidenced in previous research to be equated to degrees of community engagement (Buscheker et al. 1992; DCLG 2006a-d). This section examines these claims and also considers the effect of participation processes in encouraging or discouraging community participation. Initially, to place these features in context, this section commences with a review of the amount, breadth and levels of participation that can be reported.

#### **2.3.2 Amount and range of participation and level of influence that can be exerted**

Effective governance and social capital are, it is suggested, demonstrated by three variables, the number of people participating, the range of participation as indicated for examples, by groups and networks and leadership opportunities (Grootaert & Van Bastelaer 2002; Graham et al. 2003b; Parry et al. 1992; Putnam 1993; Schuler 1996; Vetter 2007) or by non participation. Based on evidence based research, the amount of influence the community can exert in determining a plan or project is additionally appropriate to examine (Arnstein 1969; DCLG 2006 a- g; Parry et al. 1992) as are degrees of community trust extended towards the local community and local institutions (Grootaert & Van Bastelaer 2002; Parry et al 1992; Van Schaik 2002; Vetter 2007).

Whilst it is appreciated that Arnstein's analysis of participation in the 1960s '...presumed that the legitimate interests of 'us' have to be protected against 'them' who have power...' (Maier 2001 p711), today as then, the main focus of citizens targeted by the public and voluntary sectors, centres on the 'have-nots' or minority groups in society (Arnstein 1969). As discussed in *Section:2.1.5*, efforts to encourage participation have therefore, not necessarily encouraged, the general targeting of citizens in the wider local community or society. It is proposed therefore, that current participatory structures may exclude those who are not part of minority groups in local communities let alone those who do not choose to participate in traditional collectives.

In addition and as stated earlier, a lack of the all important governance and social capital principles of trust and belief in politicians is increasing amongst all ages and socio-economic groups and '...people are disengaging from institutional forms of political participation in growing numbers.' (Melville 2005 p2). Further, as Giddens (1998 p20) emphasises, 'the party which has



grown most over the past few years is one that isn't part of politics at all'! Ironically, as further presented in the British example (see *Section IV*), this situation is occurring when governance and participation practices are of focus and gaining momentums in terms of energies spent on working towards more participation within the public sector at all levels.

With regard to the third issue and the extent to which those participating can effect the outcome of a decision-making process, in the context of the UK, whilst there is '...evidence of democratic practice around public engagement in isolated pockets...', a genuine commitment is required (of lead institutions) to act on the information received (Tidball Pers. Comm. 2003; Weldon 2004 p13). However, in reality community influence over decisions is not always viable (Richardson & Connelly 2002) nor is it possible to proffer full community power and control in all situations (Weldon 2004). This, in the environmental context, is clearly demonstrated through potential restrictions placed on community aspirations in protected areas derived from environmental prerogatives prescribed through habitat management legislation and directives. Hence given today's reality of government, as a controlling force (Hill 2005) and governance in general and protected area contexts, there is a strong argument for lead institutions to select types of participation according to those objectives and topics where a community can have some real say and influence. As previously discussed this demands a strong ethical stance of the institution to only prohibit, in a democratic governance regime, a community's engagement or fairly and judiciously modify a citizens' right to influence decisions, where legislation dictates (Graham et al. 2003a and b; Saner & Wilson 2003). Furthermore, unless that community is informed of the level of genuine influence, steered by an environmental prerogative or '...in so far (as) national policies over-ride local interests...' (Weldon 2004 p23), it is argued that the same community can still feel misguided and manipulated by the outcomes of their engagement in participatory processes (J. Plumley. Head of Neighbourhood and Environment. CBC<sup>17</sup>. Pers. Comm. 2008). A further associated concern, particularly overt in protected areas, is the level of trust historically developed by that community in the institutions for balanced decision making towards conservation and local development needs (WCPA 1999). This as shown in *Chapter V* could potentially affect community engagement.

### **2.3.3 Types, grades and levels of participation and influence**

Whilst governance, social capital and community participation are case specific (Adam & Roncevic 2003; Hyden & Court 2002), Arnstein (1969) demonstrates through her 'Ladder of Participation', a generic continuum of eight grades ranging from non-participation to full citizen power and control. Weldon (2004) argues that the ladder represents an over-simplification to participation as it is not always possible or necessary to devolve influence to complete community control and where this does happen, without resources, 'people can feel mislead.' which can lead to a '...serious

consequence (of a ) loss of trust.’ (Weldon 2004 p12). Such outcomes have been associated with the traditional approaches to public participation used which have been fashioned in a ‘... top down nature...’(Richardson & Connelly 2002 p12). This situation can be associated with the view that governance can be seen as integrated with government in ‘...steering or controlling public affairs...’(Hyden & Court 2002 p7). Again, this view is taken to question the principle of trust and an aim to create a positive perception of a community’s involvement in decision making. These issues are suggested to contribute to varying levels of participation demonstrated by a community and degrees of influence afforded to them.

### **2.3.4 Grades of Participation**

The works of Arnstein (1969) and Pimbert and Pretty (1997) show through the *forms* of participation used by institutions that a range of varying grades of participation are evident which equally describe varying levels of influence. Thus, as these grades of influence potentially contribute to peoples reasons for engagement or disengagement, they equally assist in distinguishing the range of participation and non participation that can be indicated. Arnstein’s model demonstrates grades ranging from little participation to empowerment. Pimbert and Pretty, (1997) infer weak to strong forms of participation. These range from a weak and passive level with the community being told what is happening, by being informed and/or being consulted on their views, to a second level of activity which is functional, interactive and/or which leads to a community’s empowerment and their self-mobilisation (Pimbert & Pretty 1997).

Whilst these two frameworks progress through participation in terms of differing grades and strengths, what neither appears to fully consider is non-participation and individual participation as opposed to participation in conventional collectives<sup>18</sup>. Bearing in mind that non participation and individualism are suggested to be increasing, a full review of the degrees and typologies of participation levels, is required. As such, an updated model of grades of participation and their range of influence is shown in Table 1 below. All but the first and second grades are denoted by collective forms of action.

**Table 1: Scope of participation**

Grades	Strength of Participation	Characteristics & degrees of influence
10. Citizen Control-Self-mobilisation	<b>STRONG</b> Degrees of citizen power	*formation of community group(s), associations, and networks – independent of institutions and aim for change. *Leadership roles evident *Citizens in charge of policy and management *Citizens have majority seats and genuine powers (e.g. in UK, community asset management)
9.Delegated Power from the institutions		*Community groups and associations and networks; Leadership roles evident *Citizens achieve dominant decision-making authority *Citizens have majority seats and genuine powers through working with institutions
8. Functional and Interactive Partnerships		*representatives/leaders of community groups, associations and networks. Ranges from Functional Participation – not involved in the early stages and objectives are predetermined: to formation of groups or strengthening of existing groups; *Power redistributed with negotiation amongst stakeholders. *Planning and decision-making responsibilities are shared through joint policy boards, planning committees and mechanisms for conflict resolution *Most effective under elements of an organised community power-base, and where resources are reasonable.
7. Placation	<b>WEAK/3</b> Degree of tokenism – opinions heard but not necessarily heeded.	*Public meetings, direct contact *Citizens have some degree of influence but tokenism can be still overt * Representatives hand-picked *Community can be easily outvoted
6. Consultation		*tend to employ questionnaires/surveys, neighbourhood meetings, public hearings. Citizen panels and juries *Important step in participation but no institutional obligation to consider a community's views *Participation is measured in terms of total responses. (i.e. petitions)
5.Informing		*Important first step in participation but a frequent characteristic is of one-way communication with a perspective on education
4. Therapy	<b>WEAK /2 –</b> suggests genuine participation	*People told what will happen or has happened. *Institutions' aim to alter opinions and behaviours – common with educational stance of institutions * (e.g.' clean--up campaigns').
3..Manipulation		* Advisory committees; Advisory boards *Aim to educate them or gain their support *A public relations tool
2.Individual	<b>WEAK/1</b>	*not recorded currently in traditional data *denotes individuals expressing voices on non collective basis. Whilst change can be affected, current democratic-governance practices consider the collective. * independent action;
		* respect for 'minimum distance (Bovaird 2007) *but equally voices demonstrated in environmental lobbying groups; focus on alternative participatory methods
1.Non participation	<b>NON</b>	*no interest or action collectively nor individually *recognised as part of the 'hard-to-engage-with' community

**Source: Author. Adapted from Arnstein 1969 and Pimbert & Pretty 1997**

The first grade of participation is that of total non-participation. Individualism (2) represents the second grade of participation expressed. The interpretation of individualism is either for personal reasons or, as Godwin argues, for the good of the whole but the political expression shown is interpreted as the ‘...the principle of asserting one’s independence and individuality...’ (Collins 1993) or as Debicka & Debicki ca. 2005 hypothesise, considered as anti the traditional collective. By the nature of individuals expressing non collective action, ‘individual participation’ is denoted as a weak form of participation and at the lowest level of the range of participation.

Manipulation (3) and Therapy (4) are classed as weak and passive grades of participation as institutions’ aims for educating a community is characteristic. Given that education in this sense is suggestive of one-way communication, the community’s level of influence on decisions is considered to be minimal (Arnstein 1969; Pimbert & Pretty 1997).

An important step in participation is viewed with grade (5) and ‘Informing’ although one way communication is still prevalent (Pimbert & Pretty 1997) with a stance viewed as formal education. However, as Govan et al (1998 p 7) assert ‘...community participation in protected areas is about achieving...two way flow(s) between communities and agencies...and expert knowledge (should be) ...on tap, not on top...’

A further grade is shown with ‘consultation’ (6). This commonly uses surveys and ‘...can be a legitimate step toward their full participation...’ but equally can be viewed as ‘...a sham since it offers no assurance that ...concerns and ideas will be taken into account...’ (Arnstein 1969 p219). If participation is retained purely at this level, it becomes a public relations vehicle and those involved are aligned with statistical imperatives and institutional aims to evidence the process (Arnstein 1969).

Grade (7) and placation is a further level of tokenism although some degree of influence is evident potentially by selecting community members onto boards (Arnstein 1969). Without strong governance and a balance of stakeholders, the community can still be outranked in decisions (Arnstein 1969).

Grades (8) to (10) represent strong forms of participation. At the lowest of these is functional participation in discussing ‘...predetermined objectives...’ (Pimbert & Pretty 1997 p309). Whilst self-dependence of the group can develop, reliance on the lead institutions can be characteristic (Pimbert & Pretty 1997). However, this can extend to joint partnerships of governance leading to the ‘...formation of new groups...’ or the enhancement of existing collectives (Pimbert & Pretty 1997 p309).

The two highest grades of participation (9) and (10) are indicated by the community's lead in achieving the majority seats, or being the main decision maker (Arnstein 1969). Genuine influence is demonstrated and where applicable, the community form their own collective to initiate some form of change (Pimbert & Pretty 1997).

Whilst participatory grades and their processes assist in describing institutional objectives of community participation and infer the degree of influence a community can exert, they are also considered to provide a potential to contribute to people's reasons for participation or non participation as discussed further.

### **2.3.5 Characteristics, perceptions and motivations to participate**

There are a variety of additional elements that contribute to a community's motivations and their abilities to participate. These encompass elements of socio-demographic, and socio-economic variables, associate with personality traits and further have been related to perceptions of institutions, politics, and of the local community. Yet, it is important to note that social capital, governance and community participation are context specific. The characteristics noted, whilst general in the sense of the similarities found, are taken from the general socio-political context in the UK in 1992 and 2005, from more recent research in the UK (2004 & 2006) and in the Western European contexts (2007).

Parry et al in the 1990s, (1992), found that people were content even at that time to do little more than vote. Of those who did do more, his 'activists' through formal collective groups, had resources, were degree educated, and likely to be wealthier than those not participating.

His work further proposed that under the age of 30, participation in conventional forms decreased '...in a way which (could) not be explained by ... life-cycle variables....' (Parry et al. 1992 p160). It was suggested that this could be due to this group being attracted to alternative new forms of collective expression (Parry et al. 1992). Early middle age, the 30-49 age group, demonstrated relatively high levels of participation and at this time was viewed as '...the golden age of active citizenship...' (Parry et al. 1992 p161). Those of the 50-65 age range showed a general slow-down in activity. This was considered to derive from decreases in employment, early retirement and withdrawal from much economic and social involvement. Of the older age groups, those of 75+ decreased their participation due to withdrawal from personal and group resources. However, some individuals particularly in their

early 70s, contributed to what Parry et al. (1992) termed an 'Indian Summer' by still remaining in networks and collective groups as active members.

The length of residence in the locality was also seen to be influential, potentially due to opportunities for mobility, not having developed any local ties, but crucially associated with a general lack of knowledge on issues and/or participation opportunities. This element alone associates with the social capital principles of social integration and communicating information which have been popularised as theoretical drivers of this concept and argued to contribute to explanations as to why a community engages or disengages in collective forms of action (Grootaert & Van Bastelaer 2002; Putnam 1993).

Further associated with principles of social capital (Buscheker et al. 2001; Grootaert & Van Bastelaer 2002) citizens' views of their neighbourhood, did not indicate that people were more or less likely to participate '...however, civic participation did increase with the extent to which people thought other people in their neighbourhood could be trusted...' (DCLG 2006a p29) and by how much a person felt they had a sense of belonging to a community/area (DCLG 2006 g). Associating this line of thought with Vetter, she focuses on a European context, and asserts further associations of importance linked to '...identification with the political community ...which depends on the time he or she has been part of it... (and how deep a sense of ) '...collective consciousness...' is in the community (2007 pp37-38).

Area characteristics have been found to be particularly associated with a sense of collective efficacy being associated with higher socio-economic groupings and active participation appearing to be more prevalent in areas with low levels of deprivation (DCLG 2006a). However, associated with this characteristic, Moran (2005) argues that where solidarity of class was in the past a key characteristic of participation, new divisions of the labour force have made this feature difficult to analyse. Yet, '...occupational class...(is still viewed as) important to our perceptions of our economic interest...' as also are our considerations as to which ... group to select that will best defend our interests (Moran 2005 p381).

Overall Parry et al. (1992) found that age showed an impact, and lifestyle changes were greater than generational influences<sup>19</sup>. However it was also noted that patterns in participation appeared to be changing and were possibly being replaced by '...commitments to somewhat less irenic and more directly issue-centred participation...' (Parry et al. 1992 p170). The main interests for participation were of an environmental and planning nature. Through this Parry et al. (1992) foresaw that values and

ideologies ‘...may play a more visible motivating role as citizens become ever more educated...’ (Parry et al. 1992 p171).

The effects on participation of the perceptions that citizens have about politics and the ‘...specific values they may seek to express...’ through a chosen representative or process also critically need to be considered (Parry et al. 1992 p 172). For this objective, Parry et al. (1992) researched two elements both of which are associated with the principle of trust: the first, of political attitude, as to the perceived level of influence the public had on decision-making; and the second, the public’s level of cynicism recorded with institutions and their influence on citizen participation. Similar to research conducted in the 1960s<sup>20</sup>; Parry et al’s work showed that the perception of influence was a key variable on participation. The most positive perceptions came from older citizens, those wealthier and better connected; although the particularly highly educated were not necessarily the most active in conventional forms of participation. Conversely those who demonstrated a less positive perception were less likely to participate.

With regard to people’s cynicism towards local and national institutions, Parry et al’s (1992) research was particularly related to levels of trust and mistrust of politicians, institutions and of politics. Less cynicism was shown at the political local level than at the national. However the majority opinion demonstrated a benign attitude. A less cynical attitude characterised those with degrees, citizens with multiple ties to formal associations, and those more socially integrated; whilst the ‘...more isolated, less organisationally connected individuals (we)re the more cynical...’ (Parry et al. 1992 p184). The results of tests suggested that, ‘...strong...’ negative perceptions of institutions were not considered to lead to ‘...apathy and disengagement...’(Parry et al. 1992 p184). Instead, a negative outlook was felt to encourage more participatory activity together with those who were moderately cynical but with high positive perceptions of their influence. Parry et al. also suggested that there could be a link between cynicism and unconventional forms of participation. A range of participation was reported (Parry et al. 1992) between non participating ‘inactives’, and ‘collective activists’. These were characterised as:

- Inactives: a relatively young age group (18-29 years), of low or no education, low salary, few personal and collective resources, including few organisational ties, and representative of the working class of the day.
- Those who were classed as almost inactive, had the lowest belief of their influence in decision-making, and were highly cynical although ‘...as sympathetic to the values of participation as the population in general...’ (Parry et al. 1992 p233).

- Contacters, were '...ready to make their own path to the authorities to deal with problems...' (Parry et al. 1992 p233); were most concerned with family, personal needs and interests but were also the least active in participating. This group showed a mix of education characteristics ranging from none to degree level. Tendencies were shown towards wealth, to be in early middle age, and a balance was shown of professionals and the working class.
- Collective activists: showed the highest activity in support for group associations, half were of a higher education, almost half were wealthy although a third had no qualifications. A high sense of their perceived level of influence was shown and the tendencies were not to be particularly cynical or alternatively considered as less cynical than other respondents.

More recent research has shown similarities to Parry et al.'s work. As with Parry et al. (1992), DCLG (2006a) indicates and Moran (2005) emphasises a strong association between education and participation. This is viewed with increased levels of participation according to levels of formal education. With better education, more professional jobs, higher incomes, consumer affluence, increased leisure time is argued to have developed which makes participation easier.

Perceptions based on levels of influence, cynicism, of institutions and of one's own resources constitute political efficacy and political competence and are agreed as vital for generating participation (Almond & Verba 1963; Parry et al. 1992; Vetter 2007). As shown by DCLG's research (2006a & 2006g) active participation appears to be more evident where citizens feel they can influence decisions, where social trust is evident, where peoples perceptions of their local community are positive<sup>21</sup> and where they have a '...stronger sense of collective efficacy.' (DCLG 2006a p29; DCLG 2006 g). Regrettably however, in the western European context, levels of political competence as an ability to influence or the belief of influence exerted over decision making has been viewed as weak (Vetter 2007). This is an area asserted of importance as '...institutions have to be accepted and supported by the citizens...involv(ing) positive attitudes towards the respective political values, norms, institutions, processes and even actors.' (Vetter 2007 p17). The western European example is taken further in the following and final section which considers an application of governance and social capital in the context of the UK.

### **2.3.6 Section III: summary**

Following a discussion on the amount and range of participation that can be achieved, reasons and contributory factors for the range of community engagement and disengagement are identified. These include people's characteristics but are also indicated through people's perceptions of government, and



the levels of influence they can exert on decision-making through the forms of participation provided by institutions. Further factors affecting community participation associate with social capital, and the influence of social trust amongst community members on their engagement/disengagement in decision-making processes. Associated with these perceptions are key features to consider of political efficacy and cynicism that are associated with both the governance and social capital principle of trust (Grootaert & Van Bastelaer 2002; Parry et al. 1992). In recognition, that all these factors need to be studied in context, the following and final section of this chapter considers the subject of community participation in the UK context.

## ***Section IV: The Application of theory and concepts: The UK***

### **2.4.1. Introduction**

In acknowledging that governance, participation and social capital need to be considered in context, (Hyden 1992), this final section reviews the practical application of these concepts in the UK. The information provided here is taken from UK government reports that highlight recognition of governance and social capital principles, and are considered with a critique based on the literature reviewed.

This section contributes to the macro as the national, and micro, as the local contextual information required for the case study analysis, (presented in *Chapter V*), as national government and governance frameworks influence local governance and in turn, affect local community participation.

### **2.4.2 Government, governance and community participation: the national context.**

Key transformations in the Westminster system of government in the UK have been seen since the 1990s with: institutional reforms, decentralisation programmes, forms of regionalisation and devolution (Moran 2005). These have occurred alongside an increasing emphasis on local community engagement in decisions to be taken to address local priorities and needs (Lyons 2006).

However, as previously discussed in *Section 2.1.5*, cracks in this holistic democratic aspiration have appeared. Issues include: cynicism and concerns over government inefficiencies, (DCLG 2006a; NCF ca. 2006); the number of citizens participating and the level of influence they are given, (Weldon 2004) and that local government may ‘...simply replicate (a) top-down approach...’ (John 2001 p161). Local government is considered to be centralised in character<sup>22</sup> (John 2001; Lyons 2006) representing a ‘...remote ...’ institution (DCLG 2006c p 4) and converse to emphasising the full potential of governance, has continued to retain its governmental control (BBC 1999; John 2001; Game & Wilson 2006). Referring to the sheer amount of agencies and institutions, a fragmented bureaucratic structure is considered to have resulted (John 2001). This is asserted to have resulted in a complex working environment from which the community is supposed to gain access to information. Thus their participation and their potential to influence decision-making contexts is effectively constrained as therefore is their participation (Oakley 1999). Ultimately, as discussed previously, (*Section: 2.1.5*) in the UK, a rhetoric of community participation has resulted (Ledwith 2005) and governance today is still viewed as a form of government of a people<sup>23</sup>.

Demonstrative disengagement has been shown in political participation with serious decreases in voters turning out to the ballot boxes. The 2001 general election had the lowest ever recorded turnout since the establishment of full adult suffrage (Kolovos & Harris ca. 2004). Local election results have also been disconcerting, as is the notable disengagement of the young, classed as those under 25 years old (Grenier & Wright 2005). Indeed a redesign of the political participation frameworks have been demanded as discussed further in *Section: 2.4.6*. These are yet to be seen at the national level of government practice and participation.

However, at the local level of participation in decision-making processes, government weaknesses have been reviewed and published by the DCLG and in the Lyons Inquiry of 2006. The Inquiry recognises community disengagement from local decision-making and considers that central government is not able to deal with local problems effectively and there is a tendency to ‘...crowd-out local action...’ by National Government priorities (Lyons 2006 p7). The report in turn emphasises a potential solution through focusing on governance principles, urging institutions to genuinely commit to community participation (Lyons 2007) and an imperative to broaden community engagement (Burton 2003) with a wider range of participation opportunities (Weldon 2004). Local Government has assumed an implementation role for national policies and adopted an enabling role (Lyons 2006; DCLG 2006 d); and unsurprisingly, has been singled out as the guiding and support mechanism required (Lyons 2006) to focus on local residents, effective partnership working and a devolved approach to decision making (DCLG 2006 d; Lyons 2006). However, as Game and Wilson assert (2006) caution has to be considered with the levels of control that Government has still managed to retain. Nevertheless, governance principles are demonstratively acknowledged in recent legislation and policy formulation and prescribed to potentially increase public participation (DCLG 2006 d; Lyons 2006; Hyden & Court 2002).

Nonetheless, the Lyons Inquiry (2006) also emphasised that local authorities in general do not have sufficient resources, independence, or even funds to develop an enabling role and address the many dictates and/or aspirations derived from Central Government. As such, reforms are suggested to support Local Government, and to create the freedom it needs to work with local communities and respond to local needs as perceived by the community. (Lyons 2006).

The quality of participation is invariably a demonstrative symptom of local authority issues. Current practices are viewed as excluding rather than including communities leading to calls for more innovative practices (Braun & Giraud 2001). Further the level of influence on decisions is questioned as the public’s levels of political efficacy and cynicism could, as shown by decreasing participant

numbers alone,(Debicka & Debicki ca.2005) indicate negative aspects of social capital and perceptions of government ( Grenier & Wright 2005).

Thus whilst all documents, literature and politically contrived speeches purport a will for community engagement, and in terms of influence, infer a parity to be achieved in decision-making forums between the people and institutions, a political spin on governance maybe being displayed. As such, while government *of* the people is not being encouraged, rather *with* and *by* the people is being promoted (Hyden & Court 2002), the result can still be perceived to be government of a people if, for whatever reason, communities are not engaging in participatory discourse and/or processes and expressing their views which in turn need to be acknowledged by institutions. Therefore, without concentrated efforts to address issues, questions have to be raised as to the extent of power relinquished by the dominant institutions and their rules (Ostrom 1990). This as discussed previously in *Sections I and II*, in the UK context is considered minimal (Dorey 2005; Game & Wilson 2006; Hill 2005), and raises questions as to just how much community engagement is really wanted or just how seriously community participation is and can actually be taken.

The drive for all participation, nationally, regionally and locally, is acknowledged through collective action created by groups, networks and a proliferation of partnerships linked to local resident and business communities and other key stakeholders, and thus is associated to a key principle of both governance and social capital (Grootaert & Van Bastelaer 2002). The practical and operational aspects of this strategy are not doubted. Nevertheless, with reports of declining numbers of participants representing the wider community, claims of democratic deficits are raised in terms of numbers of participants, the lack of views being presented, concerns over representation (Burton 2003) and over the quality of participation perceived and being achieved (Debicka & Debicki ca.2005). Ironically, information on non participation or of those who choose not to participate as part of a collective are, at international, European, regional and local levels, as previously discussed, rare and limited in their reviews.

### **2.4.3 The role of planning**

Reforms requiring focus on community engagement have been particularly notable in spatial planning (refer to DCLG 2007c). The context of planning is argued as key to contributing to social capital, working through local authorities, developing local identities (Lyons 2006) and for community participation. Whilst community engagement in this area has traditionally been available, due to recent

grand scale reform in the UK planning system, extensive community engagement can be viewed as a priority but also a concern.

The Planning and Compulsory Purchase Act 2004, made a number of key changes to the UK planning system including the introduction of statutory regional planning in the form of Regional Spatial Strategies and a focus on the achievement of sustainable development. The Act requires Councils to conduct and record the results of public and stakeholder consultations during the production of new Local Development Documents (LDD), as part of Local Development Frameworks (LDF) (ODPM 2004 a; ODPM b 2004). Every council is required to produce a Statement of Community Involvement (SCI) which sets out when and how it will consult with the public on new Local Development Documents. Advantages of the new system are argued to be found in conservation and environmental improvements combined with growth in terms of new development needed. In addition, enhancements are inferred to consultation processes for which demands assert that ‘...never-ending consultation exercises cannot be used as an excuse to avoid decisions or lead to situations where the community’s input becomes out of date and therefore less relevant.’ (ODPM a 2004 p5); and that these processes convey opportunities to influence decisions and ‘...make a difference...’ (ODPM a 2004 p8).

However, criticisms of this system include the view that there is a top-down focus on decision making, a more centralised system, that regional bodies are not accountable to the public and that local people have less say in major decisions (CPRE 2007). An overall concern is that as such, there maybe ‘...far-reaching implications for the democratic process.’ (CPRE 2007 p1; FOE 2007).

#### **2.4.4 Community Planning**

At the local level, whilst not specifically focused on spatial planning but providing a foundation for planning reforms, the Local Government Act 2000 makes community engagement a statutory duty of local authorities from which to produce a Community Plan. The aim, is to capture an ‘...ideal...’ of a ‘strategic plan for an entire local authority area (that) embodies a consensus across the population and statutory agencies over both aims and broad policy initiatives...’ (Richardson & Connelly 2002 p53). A further key document came from the creation of ‘Sustainable Communities 2005’ (ODPM 2005). Following this, the Stronger and Prosperous Communities White Paper on Local Government 2006 was published which focused on leadership required for communities to engage in governance contexts; and the Sustainable Communities Act 2007 aims ‘...to promote the economic, social or environmental well-being of local areas, including participation in civic and political activity.’ (DCLG 2008 p75). Through these key works community participation was further statutorily endorsed.

However, whilst consultation and community engagement did occur prior to the 2004 Act, it is considered that it was not until the Planning and Compulsory Purchase Act 2004 that the wider local authority staff seriously recognised community engagement (Plumley 2008 Pers. comm). Through this acknowledgement and statutory requirements for spatial planning to engage with communities in regional spatial planning reforms, Community Planning became linked with Planning Policy and thus, the link for community engagement was made with the key planning reforms. A key area for this community involvement is advocated through community consultations, the design of Sustainable Community Strategies and engagement with community groups and networks to communicate local aspirations into a spatial vision of an area. Activities in this area are emphasised to be more representative of the community, maintain social cohesion, and work towards understanding local needs and preferences more fully (Lyons 2006). In addition, community engagement is ultimately claimed to contribute towards building local identity and a 'sense of place' which inclusive of environmental well-being is viewed to have '...a significant impact on citizen satisfaction....' (resulting in a) '...strong case that ... (local views on an area)...should be subject to local control and discretion.' (Lyons 2006 p9). Whilst this guideline from the Lyons Inquiry 2006 negates national government control over a local area, it still infers local authority control; however, it does also equally highlight institutional support for local community engagement in local decision-making activities.

In small locations, especially those commonly found in rural areas, further decentralisation in decision making classed as 'double devolution' (Lyons 2006) is advocated with parish arrangements such as, the Parish Planning Model. This is considered to be more appropriate in these areas to encourage local community engagement further, to hold local authorities to account and viewed to ultimately address the democratic deficit derived by low turn out rates in decisions made by the minority in local areas (Lyons 2006 p68). Parish planning is similar to Community Planning, however it is generally viewed as superior to the community planning model, due to the level of identification that local people have with Parish Councillors compared to that found with regional, or town councillors (Plumley Pers. comm. 2008).

However, a lack of Parish Councillor's power and their influence over decisions can be problematic. Public opinion shows cynicism about the role and function of parish councils and has resulted in rural area communities feeling powerless '...at the most local levels of democratic representation (CRC 2007p23). A further concern which is common in both parish and community planning is being able to realise managed expectations of the community. As such community planning means '...working in parameters, that the public know these parameters and that we deliver on their aspirations where parameters allow....' (J. Plumley Pers. comm. 2008). This view and process supports numerous governance principles such as: a) efficiency, in terms of results and actions perceived by the public, and

the potential that the quality of these outcomes have for encouraging positive or negative political efficacy and cynicism; b) community empowerment; and c) the accuracy of and access to information so as to advise communities of the parameters in which a project, for example, can be developed, which can be commonly experienced due to legislative restrictions on practice and/or a lack of resources.

These points immersed in the people element of community participation, associate the discussion with social capital, which as with calls for reforms in governance and participation, is being questioned in the British context.

### **2.4.5 Social capital in Britain**

Whilst New Labour's Third Way<sup>24</sup> has been prescribed to encourage '...a state partnership with community in creating a quality of life...' (Ledwith 2005 p16), led to positive contributions encouraging political participation and social cohesion with developments in social capital, '...widely prescribed as a sort of all purpose tonic for British Society...' (Grenier & Wright 2005 p2), a brief review in this area suggests differently.

State authoritarianism and a rhetoric of community participation is argued to have resulted (Ledwith 2005) and social trust has declined (Grenier & Wright 2005). This decrease has been considered to be a legacy attributable to Thatcher's era, as discussed in *Section: 2.2.6* yet concluded not to provide a sufficient reason for decreases in social trust and a sense of community spirit (Hall 2002). An alternative view considers that the decline in social trust is due to generational changes in people's attitudes towards 'society' and towards active and civic participation (Grenier & Wright 2005). Thus, whilst political aims have been concerned in attracting more participants from, for example, socio-economically deprived areas, '...formal participation is increasingly concentrated among certain (class based groups) - those who are active in everything...' (Fahmy 2003; Grenier & Wright ca 2005 p30). Invariably this can be argued that government's focus on increasing participation has resulted in continuing to attract the same people (Buckingham-Hatfield & Percy 1999; Parker & Selman 1999) from primarily the upper and middle classes (Grenier & Wright ca. 2005). As Grenier and Wright emphasise further, strong social capital '...will not be realised by a society where some are highly networked participants and others are left outside to cope on their own...' (Grenier & Wright ca. 2005 p33).

Associated with this economic and class divide, as the antithesis of aims for social cohesion (Lyons 2006), are inequalities that are considered to have widened further and the so-called dissolution of the

social classes, are indicated to, still be prevalent in society's views of themselves. This is considered to further pejoratively affect social and institutional trust amongst the diverse members of a community and therefore, as a vital element of social capital, affect the British tonic for society's ailments (Grenier & Wright 2005).

A summarised opinion is that participation and social capital have both altered, with decreases considered in communities' political and social trust and therefore Britain '...may well have experienced a decline in (its levels of) social capital...' (Grenier & Wright 2005 p31; Halpern 2005). The importance of this view is demonstrated with the evident and extensive use of Governments research programmes on social capital principles<sup>25</sup>, which has increased with growing concerns over the public's decreased levels of political participation.

#### **2.4.6 Public attitudes to and amount of participation**

There is limited, disparate and disjointed information available as to community participation in the more general areas of local decision making (Burton 2003). However, there is data available on levels of participation in general socio-political contexts, tending more to national views, and predominated by voting behaviour and other conventional forms of participation. Whilst this information can be classed as representing a minority view of participation in terms of attracting voters, it can enlighten the context in which community participation is being reviewed (Parry et al. 1992).

Voting behaviour has become of serious concern as has also the voting UK system (Kavanagh ca. 2006; Woolf 2005a & b ). In the 2004 European Parliamentary election, 39% of the UK population turned out to vote, (IDEA 2004 p3), in the 2001 UK election, '...just 59%...' of the population turned out to vote in national elections (DCLG 2008 p18); and with regard to local elections, the estimated turnout for 2002 was of 26% of the 22 million eligible electors (Travis & Ward 2002).

At the national level, questions are focused on a marked demonstration of disproportionality, calls for a reform of the UK voting system, and are labelled as positively undemocratic, (Woolf a & b2005). More recent data reflects similar trends with the 2005 election and an '...overall average turnout of 61.3% representing a marginal increase on the 59.4% rate in 2001 and indeed there have only been two lower turnouts at UK general elections since 1857...' (Kavanagh ca. 2006 p2). It is also disconcerting that the low turnout rate of younger voters is estimated at only 37% in contrast with those over 55, at 75% (Kavanagh ca. 2006 p2). However, declines in turn out rates and the age characteristic of voters, is proving to be also be a worldwide phenomena in the so-called developed democracies that 'have



failed to keep up..' in a '...world which has changed enormously during the past fifty years.'(Amna et al. 2005; Debicka & Debicki ca. 2005; IDEA 2004; White 2006 p4).

Research has shown that community disengagement in public affairs includes: a lack of confidence in the processes of formal democracy; lack of choice in terms of similarity of political options; lack of confidence in the electoral system; lack of information and/or knowledge as to policies and manifestos; lack of engagement with representatives; lack of representation by those elected; and that voting systems are simply viewed in today's world, as inconvenient (White 2006; IPPR 2004).

These points alone lead to and highlight an evident deficiency of confidence in key governance principles of trust, accountability, knowledge, oversight and fundamentally democracy perceived if not experienced, in public opinion (IPPR 2004). Although, arguments for this worrying situation focus on a society which is more 'enlightened' (Godwin 1793), more developed, better educated, more affluent, and more selective, the result is that, the overall UK voting system, which has an advocated priority to work within a democratic framework, has, as seen with the Labour victory of 2005, been accused of being illegitimate and with a weak mandate for power (Woolf 2005 a). Fundamentally, calls for reform have been demanded (IPPR 2004) and led by a campaign of the 'Independent' broadsheet (Woolf 2005 a ). The current UK system and political party of power, is seriously questioned and is suggestive of concerns over the lack of citizen political participation (Kavanagh ca. 2006; Woolf 2005 b)<sup>26</sup>. Voting reform based on proportional voting systems is demanded to be the way of increasing participation (Woolf 2005 b).

Research suggests that the government is divorced from its population and based on decreasing turn out rates at elections, traditional methods of participation are not popular (IPPR 2004; Lyons 2006; White 2006 ). Assumptions regarding the lack of community participation, focus on public apathy (IPPR 2004; White 2006; Richardson & Connelly 2002) whilst others assert that people are not apathetic but have disengaged from politicians encouraged by confusion over '...who is responsible for what and who can be held to account...'; and derived from mistrust with politics and politicians, which has led to disengagement and disinterest ( Lyons 2006 p3; White 2006).

More limited studies<sup>27</sup> on the progress of community engagement in local decision-making contexts report that the public '...are not always convinced that (they are heard and) have concerns about the lack of feedback that follows participation exercises' (Lyons 2006 p70). Research highlighted in the White Paper shows that 61% of the population believe that they have no influence over decisions (DCLG 2006 d. p30). Evidence from a review of local authorities published in 2002 affirms this public belief with 44% of authorities surveyed viewing community engagement through consultations as

‘fairly influential’; and a ‘significant minority of 26% considering that consultations were only ‘occasionally’ of influence if at all<sup>28</sup> (ODPM 2002 p45; HOC 2005 p2).

In terms of socio-economic groupings, it is perceived that the better educated and wealthier members of our society are more able to participate and for genuine community representation, more needs to be done to promote the engagement of underrepresented groups (DCLG 2006 d; IPPR 2004). Whilst this point is not contradicted in its focus of aiming for proportional representation, this focus on disadvantaged groups does not suggest full recognition in practice that there is equally a group of ‘hard-to-engage-with’ community, potentially demonstrative of those not participating or those who are participating and voicing their views but by alternative methods.

Ultimately, research has shown that 75% of the population **do** want to voice their opinions (Electoral Commission 2004) but simply feel unable to or discouraged to participate (Burton 2003; IPPR 2004). As such, opportunities for different forms of engagement are emphasised to curb the decline in participation, and to try to regain public confidence and meet new challenges (IPPR 2004).

For governance, democracy and ultimately for community participation, this alarming situation of high public interest but low participation, provides clear issues. Without community participation in voting, democratic principles, although arguably provided, are not for whatever reasons proving to be attractive to the public. Therefore, without capturing the views of the wider community, a democratic deficit in community representation is proposed to be appearing (Debicka & Debicki ca. 2005); and as Mulvey satirically comments, low turnouts in UK political participation are so low that ‘...when a reality TV show attracts more votes than an election, democracy is in trouble...’ (Mulvey 2003). In fact positive disengagement from political participation is being displayed and calls for ‘...closer engagement between government and its citizens...’ and major political reform is encouraged by some (Lyons 2006 p3; White 2006) and demanded by others (Woolf 2005). Furthermore, in terms of the governance principle in providing the structural mechanisms necessary for social capital (Grootaert & Van Bastelaer 2002) and in turn work towards enhancements in the social, economic and environmental well being of an area (Putnam 1993), the exercise and practice of governance has to be questioned. This assertion is in terms of, for examples, enhancements in trust, in open communication and exchange of information and associating with democracy, legitimacy is at the fore of many concerns. This also raises a question as to just how much criticism of the political governing frameworks in the UK affects designs for community participation in local decision-making, which by its design includes discourse with political and institutional representatives of the very political system being spurned by the majority of the population. However, on paper, government, regional and local governance frameworks are apparent as also are the endeavours and support for governance, citizen engagement,

support for social cohesion alias social capital<sup>29</sup>, (Grenier & Wright ca. 2005), mutual trust, community networks and ultimately, for community participation (Lyons 2006).

## Chapter summary

Community participation is viewed as a means for both community development and legitimatisation of the state. Its benefits are numerous as too are the challenges it presents.

Whilst the use of participation is evident in legislative and policy developments, there are issues associated with the number of people participating in local decision making. Some of the reasons for disengagement are discussed in previous research, although assumptions are still evident as to non participation and individualisation is of limited focus. This creates opportunities for research.

However, the terms of community participation and governance are still unclear due to the wide perspectives taken on the subjects of those responsible for working with or practicing community participation. This has implications for the definitions used, the conceptual framework required to analyse the topic, and ultimately the level of engagement offered to the community, from which it is considered that a new paradigm maybe required (Olichok-Okui 2004).

This study addresses this research design through the combination of the concepts of community participation, of a democratic government regime and its use of governance, of social capital, and as further discussed in *Chapter III*, protected areas that together constitute the conceptual framework. From this framework, governance and social capital resulting in community participation have been considered in the UK context. This has demonstrated the British Government's acknowledgement of community participation and through the focus and reports conducted, infers increased legitimacy of local government actions, decisions and governance.

However, genuine community and governance oriented values are questioned (Ledwith 2005) and it is unclear what level of public influence is to be permitted, what is meant by increasing participation, what practical resources are needed to achieve this, and the ways forward in increasing the *breadth* of participation and community representation, inclusive of the 'hard-to-engage-with' members of the wider community and through potentially, the design of additional and/or alternative forms of participation. As such, whilst the UK context purports to have institutional processes founded by democratic principles and the right of the citizen to participate, governance and participation also concern sociology and a genuine emphasis on reaching out to citizens rather than just working towards

constraints of externally imposed objectives (Ledwith 2005) considered ultimately through implications of globalisation and europeanisation. Conversely, the UK as demonstrated in other western European contexts, demonstrates greater emphasis in practice on institutional changes (John 2001) as evidenced by legislation, policy formulation and developments of further governing layers with for example, the establishment of regional bodies. The following chapter takes these discussions further in the context of protected areas where the benefits and issues of community participation are emphasised.

## Notes

- 1.F. Tönnie First published 1887. (ed. Jose Harris), *Community and Civil Society*, Cambridge University Press (2001)
2. Defined by active participation in public affairs and requires political equality, solidarity, trust, tolerance and freedom of association in networks and groups (Putnam 1993)
3. See for examples DCLG 2006 a – g inclusive.
4. In the UK, this comprises NGOs, includes community groups, campaigns, cooperatives, social enterprises, political activists and the voluntary sector (DCLG 2008)
5. Global governance is reported since the late 1800s (Speth 1997)
6. The establishment of New Labour Government, Tony Blair.
7. William Hogarth's 'Election' series 1754-1755 (Uglow 1997)
8. Community-based organisations taking control of buildings or other facilities, usually in public sector ownership, either as managers or owners of the 'assets' used by their communities (DCLG 2006e)
9. Walter H. Judd (1898 – 1994) Republican – anti-communist and notable for advancing the cause of freedom in the US and internationally: 'People often say that, in a democracy, decisions are made by a majority of the people. Of course, that is not true. Decisions are made by a majority of those who make themselves heard and who vote - a very different thing.'
10. Dorset County Council
11. The '...better-off segments of our society' participate more than those who lack access to '...financial and human capital...' (Putnam 2002 p414; Wuthnow 2002); although a lack of time to participate and the increased independence of individuals are considered to result in pejorative effects (Putnam 2000).
12. Major influences on norms of governance include: the Universal Declaration on Human Rights (1948), the Covenant of Political Rights (1966), the Covenant on Economic, Social and Cultural Rights (1966), the Convention on the Elimination of Discrimination Against Women (1979), the Declaration Right to Development (1986) and The Convention on the Rights of the Child (1990) (UNHABITAT 2002).
13. This term denotes members of society who do participate in for example, formal partnerships with the public sector and members of the wider community who participate in decision-making practices outside of formal participatory processes, who participate independent of the collective participatory models or who do not participate at all.
14. Albeit social capital is reported as social cohesion
15. Developed from pluralist philosophies, rational choice, game theory and additional economic theories that focus on the '...importance of self-interest ... to influence the policy process...' as a by-product of inefficiencies (perceived) in market mechanisms aimed to resolve objectives of participation. (see Field 2008; Hill 2005 p51)
16. Home Office 2004 p3: evaluation of area-based initiatives and community engagement reported that there was more '...reliance on community activists' views rather than wider reference to the local community's views...'
17. CBC Christchurch Borough Council
18. Invariably due to the focus on collective practices by institutions
19. Generational influences: examples include those who benefited from post war welfare state benefits such as social housing (Parry et al. 1992)
20. See Almond and Verba 1963
21. Inclusive of: agreeing that people in the area were willing to help one another, where they perceived local people pulled together to improve the area DCLG 2006 g
22. A particular criticism equally recognised by UK Government (DCLG 2008 p2).

23. Referring to the alternative 1970's version of development paradigm (Hyden & Court 2002)
24. See Giddens 1998
25. Led by the DCLG and demonstrated in DCLG 2006 a-d
26. See the Independent campaign for calls for political reform and focus on the undemocratic 'first-past-the-post' UK political voting system.
27. In part due to the nature of reviews on localised projects.
28. Taken from a total of 216 local authorities who replied to the ODPM survey (response rate of 55%) (ODPM 2002 p9)
29. Topics associated with not least economic development but also political agendas inclusive of health, social exclusion, crime, education, environmental issues and even gender studies (Grenier & Wright ca. 2005).

## ***Chapter III - Literature Review 2: the contexts of the Protected Area and the English National Park***

### **Introduction to chapter**

This chapter discusses community participation in local decision-making in protected areas. Thus, it completes the conceptual framework used in this research and builds on *Chapter II* and discussions of governance, social capital and community participation presented primarily in the general socio-political context. There are clear commonalities to participation in both the general and protected area contexts. However, due to the orientation of this subject in the environmental sphere, the practice of participation is both supported and made more complex.

*Section I* reviews the protected area concept from an international and European perspective, which whilst introducing the varying types of protected areas, their uses and importance, considers predominantly National Parks. The section closes by introducing the challenges predicted and being realised for protected areas in the 21<sup>st</sup> Century.

*Section II*, takes these challenges further by analysing community participation in the planning and management of protected areas. This encompasses an examination of international institutions perspectives on governance and specific to the protected area context, their guidelines for protected area governance and best practices advocated.

*Section III* considers the importance and associations of social, economic and natural capitals in the natural environmental context and their further association in encouraging the development of collective networks as support for collaborative approaches to the planning and management of protected areas.

The final *Section IV* examines specific issues with community engagement in relation to protected area governance, the amount and diversity of communities associated with the National Park and further concerns deriving from the protected area community itself.

## ***Section I: Protected Areas – Setting the Context***

### **3.1.1 Introduction**

The contextual dimension of the conceptual framework is provided by the protected area concept. This is defined with categories of protected areas, as part of which the National Park concept is described. Emphasising the importance of community engagement in these environments, international directives on enhancing community participation are outlined. This section closes by considering the challenges protected areas face in the 21<sup>st</sup> Century and an imperative for community inclusion in protected area governance.

### **3.1.2 Definition, objectives and values**

At the IV World Congress on National Parks and Protected Areas, (Caracas, Venezuela 1992), a protected area was defined as ‘An area of land and/or sea especially dedicated to the protection and maintenance of biological diversity, and of natural and associated cultural resources, managed through legal or other effective means.’ (IUCN e 2003 p2). The definition aims to encompass all forms of protected areas, and their associated purposes are represented through the IUCN’s<sup>1</sup> categorisation by management objectives in Table 2 below.

Through such objectives, the values of protected areas range from the conservation of natural and cultural resources, the preservation of biological diversity, through to the provision of ecosystem services, required to maintain environmental stability of areas affected by climate change (IUCN e 2003 : Phillips 2001). Further values of these areas include environmental education, research and monitoring, recreation and of socio-economic, political and environmental importance, key opportunities are provided for rural development and the rational use of surrounding areas, a situation frequently supported through tourism and agricultural ventures (IUCN 1998 a).

**Table 2 IUCN's categorisation by management objectives**

Categories	Ia	Ib	II	III	IV	V	VI
Objectives							
Scientific research	1	3	2	2	2	2	3
Wilderness Protection	2	1	2	3	3	NA	2
Preserve species & Genetic diversity	1	2	1	1	1	2	1
Maintain environmental Services	2	1	1	NA	1	2	1
Protection of natural/ Cultural resources	NA	NA	2	1	3	1	3
Tourism and recreation	NA	2	1	1	3	1	3
Education	NA	NA	2	2	2	2	3
Sustainable use of Natural ecosystems	NA	3	3	NA	2	2	1
Maintain cultural/ Traditional attributes	NA	NA	NA	NA	NA	1	2

**1= Primary objective 2=Secondary objective 3=Acceptable objective**

**NA = Objective Not Applicable** (Source: Phillips & Harrison 1999 p.15)

### 3.1.3 Number and size of Protected Areas

There are more than 102,000 protected areas covering 18.8 million km<sup>2</sup> of the planet equivalent to 12.65% of the Earth's terrestrial area (IUCN 2003 e). The major growth period, both in number and of size, has been since the 1970's, and is reflective of '...the accelerating and widespread social concern for conservation and growing political significance of environmental issues.' (IUCN 1998 b p2).

Of this total, Europe is the most advanced in terms of numbers of areas covering 750,225 km<sup>2</sup>, constituting approximately 14.63% of the land area (IUCN 2003 e p40). Whilst the types of protected areas comprising this figure include the range of protected area categories, the main forms, are classed as Category V, which are inclusive of National Parks, and form more than 46% of the European region's total (IUCN 2003 e p40).



### 3.1.4 Category V and the National Park

Although all protected areas meet the general aims of the protected area definition, in practice the specific purposes for which protected areas are managed, are distinct. Category V includes the UK National Park model which is not classed as a natural area *per se* but managed mainly for the protection and maintenance of its ecosystem, cultural and traditional features, and the development and management of tourism and recreation, guided by sustainable principles (IUCN 2003 e; Phillips 2002a). Thus, the Category V is defined as: ‘...An area of land, with coast and seas as appropriate, where the interaction of people and nature over time has produced an area of distinct character with significant aesthetic, ecological and/or cultural value, and often with high biological diversity. Safeguarding the integrity of this traditional interaction is vital to the protection, maintenance and evolution of such an area.’ (IUCN 2003 e p12).

### 3.1.5 The importance of protected areas – Conventions and Agreements

Global recognition for protected areas and their link to broader environment, development and Human Rights issues has developed particularly over the last three decades (IUCN 1998 b). This importance is reflected in the 1972 Stockholm Conference on the Human Environment, the 1992 UN Conference on Environment and Development, with the implementation of Agenda 21, the popularisation of Sustainable Development (Holden 2000), the adoption and the use of the Convention on Biological Diversity (CBD) and other international and regional agreements<sup>2</sup>.

Mindful of the importance and chain reactions of action taken from the local to international contexts and vice versa, (Brundtland 1987), systematic conservation plans and decision-support mechanisms are advocated. These can be found with the development of local governance frameworks and community engagement processes and from an International level, are encouraged through the Convention on Biological Diversity (CBD) (IUCN 2003 b).

The implementation of the CBD, specifically article 8j, has further emphasised the relevance of protected areas to both global conservation and actions for sustainable development (IUCN 2003 c). This was demonstrated through the VIth Conference of the Parties to the CBD (CBD COP6) that stipulated socio-economic and environmental objectives of attaining ‘...a significant reduction of the current rate of the loss of biodiversity.’ at the global, regional and national level by 2010. An objective that was reiterated in the Johannesburg Plan of Implementation adopted at the World Summit on Sustainable Development (WSSD) in 2002 (IUCN 2003 c).

### **3.1.6 The Vth World Parks Congress, 2003.**

A ten-yearly key event, the Vth World Parks Congress, held in Durban, South Africa, 8 – 17 September 2003, brought together more than 3,000 delegates representing political, academic, and economical spheres of the private, public, voluntary and NGO sectors (IUCN 2003 f).

The importance of the Vth IUCN World Parks Congress is promoted as marking ‘...the turning point for protected areas...(placing)...them at the centre of international efforts to conserve biodiversity and promote sustainable development.’ (IUCN 2003 b). For this, ‘...unprecedented attention...’ was given to protected area governance (Borrini-Feyerabend 2005a p1) Such importance is emphasised with safeguarding biological diversity through sustainable development and the alleviation of poverty, and the benefits that can be made by the continued protection of protected areas and further establishment of new protected areas.

The inclusion of local communities in decision-making models for protected area management and development is viewed as the key to protecting existing areas and extending the protected area network. Furthermore, as in the general socio-political contexts, the integrally linked topic of governance is equally emphasised not least in recognition of local community rights, and its contribution to the development of sustainable communities and environments (Borrini-Feyerabend et al. 2006)

### **3.1.7 Protected Areas, Sustainable Development and the Convention on Biological Diversity**

The core principles of sustainable development as holism, ‘...integration of environmental, social and economic consideration(s)...’, conservation and protection of biological diversity; inter and intra-generational equity and ultimately futurity, (Pigram & Wahab 1997 p18), are clearly represented in the Convention of Biological Diversity of 1992.

In clear recognition and acknowledgement that a key factor in species extinction is anthropogenic in origin, and that biological resources provide for ‘...at least 40% of the world’s economy and 80% of the needs of the poor...’ the CBD legally affirms the importance of biological resources to sustainability and ultimately to social and economic development (UNEP 1992).

The principles of the CBD are equally reflected in the IUCN's protected area management categories and bearing in mind sustainability and biological diversity are at the core of the Convention, it is suggested that the CBD represents a mechanism for sustainable development which ultimately links the traditionally opposing ideologies of conservation and development. This highlights, through its focus on sustainable principles, the importance of all stakeholders from local communities through to national and international institutions and their responsibilities in both conservation and sustainable development as '...the environment' is where we all live; and 'development' is what we all do in attempting to improve our lot within that abode. The two are inseparable.' (Brundtland 1987 pxi). As further argued in 'Our Common Future', whilst an objective for the 1990s, there are today still needs for actions at all levels, to be integrated at the local, national and international levels through participatory actions, institutional networking and policy developments (Brundtland 1987).

Protected area management has also developed with indigenous peoples and local communities becoming increasingly engaged in planning and managing protected areas. 'Governance involves the interactions among structures, processes, traditions and knowledge systems that determine how power and responsibilities are exercised, how decisions are taken, and how citizens and other stakeholders have their say...' at all levels (Graham et al 2003b pii). This ethical stance is further reinforced within the United Nations system by Kofi Annan (UNDP/UNESCAP/ADB., [ca. 2004]. p1), community engagement and participation is 'good governance (and) is perhaps the single most important factor in eradicating poverty and promoting development.' The acknowledgement of and focus on community participation has also developed with an emphasis on a broader family of participants derived from the private sector, NGOs and devolved tiers of government. This participation network has become a demonstrative feature since the Rio Earth Summit, 1992 (Speth 1997).

As with governance and community engagement in the general sense, in protected areas, both at an international and UK national level, whilst wider community engagement is articulated, this appears to translate for the institutions and as depicted further, to a model of collective action (Countryside Agency 2005b; Borrini-Feyerabend et al. 2006; Defra 2004; IUCN 2003 a and b; Richardson & Connelly 2002).

Taking into consideration the support mechanisms for the conservation and development of protected areas, combined with the numerous benefits offered to mankind, many authors suggest that the outlook for protected areas appears positive (Green & Paine 1997; Dudley et al., 1999; Phillips 2001). However, it is equally recognised that key challenges must be addressed and threats

overcome for protected areas to survive in what has become a highly competitive and contentious economic, social and political environment (Lockwood et al. 2006 a and b).

### **3.1.8 Challenges for Protected Areas**

Phillips, (2001 p1) emphasises that challenges for protected areas, many traditional and some new, are apparent and derive from political, economic, social and cultural contexts as ‘...the drivers behind the threats...’ and increasingly business values will determine decisions. In addition, the costs and benefits of the areas can be inequitable with local communities bearing much of the costs whilst the benefits of the areas are provided to a much broader section of a society (IUCN 2003 c). This is perhaps most evident with the National Park and its intrinsic and extrinsic values, of benefit and costs to the local communities, and also of benefit to the tourist transient community or to the nation as a whole.

Furthermore, economic pressures on National Governments, driven by factors including unemployment, market instability and trade and debt issues, have already encouraged a growing trend in the reduction of traditional state funding of protected areas (Green & Paine 1997: Miller 1999: WCPA 1999). As such, protected areas have needed to diversify. Increasingly, private investment partnerships are being developed, and together with traditional and new institutions, NGO’s and donor agencies such as GEF, the objectives are to close financial gaps, create opportunities to self-finance, and ultimately ‘...to demonstrate their economic value to the wider community’ (Dudley et al. 1999 p8). Without this, Phillips (2001) forecasts that public support for protected areas will decrease and that the political and financial support needed will also at the least weaken and be challenged.

Market forces will increasingly determine land-use and together with globalisation trends, protected area managers will be forced ‘...to realistically confront the trade-offs between global conservation values and local development needs...’ As Sayer further acknowledges, ‘...we cannot expect local populations, who live in or near areas valued for their rich biodiversity and environmental importance to remain in the slow lane when the rest are in the fast lane’ (Sayer 1999 p30).

Furthermore, as Lockwood et al. (2006 b p679) highlight ‘...too many businesses and communities consider protected areas as a barrier to their aspirations and activities.’ Conflicts, represented at the least in protest, and at the worst in violent destruction of species and/or land, impede not only protected area objectives, but also ultimately erode public support. In an era when democratisation, devolution, decentralisation and participatory governance processes are gaining momentums,

together with opportunities for alternative forms of development, public support will gain more importance (WCPA 1999; Lockwood et al. 2006 b). Clearly, decisions and actions made by protected area managers, that conflict with ideals of allegedly empowered local authorities and communities, may not necessarily encourage the commitment and support needed for at the least current protected area objectives.

The key to address such threats and challenges is increasingly seen with the development of collaborative partnerships for the inclusionary establishment, planning and management of protected areas (IUCN 2003 c). As Lockwood and Kothari (2006 p44) state, the past paradigm of divorcing communities from nature is discouraged in increasingly democratised and decentralised contexts (Lockwood et al. 2006 b). Furthermore, recognition is given to the integral links of communities as essential place shapers of the protected area as a ‘...cultural construct...reflecting the attitudes and beliefs of local, national and/or international societies.’ (Lockwood & Kothari 2006 p49). As such, community participation in local governance structures is advocated as also is the incorporation of the views of both local and neighbouring communities in local decision-making (Castro et al. 2001; IUCN 2003 c; Phillips 2002 a).

Conventions, Agreements and Statutes expect and literature purports and prescribes community participation (CBD 2004; Graham et al. 2003 a and b; IUCN 2003 c; Lockwood & Kothari 2006) in local decision-making and in some cases, this is apparent in practice. This requires that decisions taken are representative of local communities, are equitably made in consideration of specialist knowledge versus local (IUCN 2003 c); are mindful of conservation objectives and the sustainable use of the sites; and fundamentally, that decisions are based on democratic structures and ‘good’ governance processes (IUCN 2003 a, b and c).

Support for local governance, as discussed in *Chapter I*, (p34) and *Chapter II*, (pp49 to 50) derives in part from political and in the protected area contexts, conservation institutions, the former, supporting the demonstrative political action that local governance purports. The latter, based on past experiences of the traditional, protected area governance practices, is all too aware that without communities involvement, and inclusion of their knowledge for protected areas and consideration of rural development objectives, protected area values in terms of sustainability, conservation and the economic benefits that can result from the sustainable use of such sites, will wane at best (Lockwood et al. 2006 b; Farvar 2002; Phillips 2001). Ultimately the survival of these areas is only viewed ‘...through (developing) broad public support (and where) people’s fundamental needs are met...’ (IUCN 1998b p2). These points highlight the overriding objectives and importance for community involvement in local governance practices. This implies that effective, governance models should be demonstratively employed, (Abrams et al. 2003; Borrini-Feyerabend

2005 a; Graham et al. 2003a and b; Richardson & Connelly 2002) which is prescriptively emphasised in policies and in some cases, governance models are apparent.

However, there are many actual and perceived issues, challenges and risks to be taken into account with community participation. Issues include and can derive from: the institutions leading on participation in an area and a lack of institutional will towards community involvement (H. Tidball Pers. comm. 2003); areas ‘...still run in a top-down manner, in which ...local people are informed, or perhaps consulted, but rarely trusted.’ (Phillips 2002 a); and a community’s, or as discussed in *Chapter I* (p55), some citizens potential lack of motivation to get involved (Buchecker et al 2003; Buckingham-Hatfield & Percy 1999; Maier 2001).

Regardless, of the reasons for a lack of community take-up in decision-making, the CBD does recognise that in cases where there is limited or no public participation, this is an obstacle which needs to be overcome (CBD 2008) to safeguard biodiversity alone. Due to these obstacles and issues, there are ‘...still far too many protected areas... managed with little participation by stakeholders other than government.’ And as Farvar further emphasises, ‘only when...communities are taken seriously may we get assurance that a protected area will survive.’ (Farvar 2002 p11; Dudley et al 1999; Phillips 2001).

However, as more often reported, as with general political participation, (Debicka & Debicki ca. 2005), the motivation on the part of local communities to participate in traditional decision making forms can be at best, minimal, often attracting the regular, predictable participants in the locale, and thus, has the potential to be unrepresentative of the breadth of local and potentially, wider communities views (Buckingham-Hatfield & Percy 1999; Parker & Selman 1999). Indeed, Parker & Selman provide an example of community disengagement through the concept of sustainability and community disengagement in participatory processes: ‘...significant change towards sustainability (itself) will require more active citizenship ...and participation in creating and achieving community visions, and more accessible styles of local governance.’ (Parker & Selman 1999 p18).

Certainly, the majority of literature asserts and/or infers that there has been an absence of broad community involvement (Burton 2003) in traditional participatory practices. Questions as to deficits in democratic processes are raised (Debicka & Debicki ca. 2005) and alternative, individualised forms of expression are evident (Barnett et al. 2006; Parry et al 1992). An institutionalised opinion is that the wider community is apathetic towards political (Richardson & Connelly 2002) and/or environmental decision-making. However, research in the European context rejects this claim (Buchecker et al. 2003). In addition, as previously discussed, the rise in

environmental lobbying and individualism does not suggest apathy but potentially, calls for acknowledging additional participatory practices (Barnett et al. 2006). Thus, reasons for community inaction are disputed (Buchecker et al. 2003).

### **3.1.9 Section I: summary**

The Protected Area, and specifically the National Park, has become widely recognised as an integral component of sustainable development and for biodiversity conservation, which is supported by political institutions. Through this, its importance has reached a higher political level than it had received pre1970s. Phillips writes that achievements made, ‘...reflect the high ideals of societies around the world...’ (2001), however, in the Twenty-First Century, the environment and in turn protected areas, will face perhaps the ultimate challenges both of external and internal influences. External influences of a political, economic and social design could at the least contest protected area current values and objectives (Lockwood et al. 2006b). Nevertheless, influences of an internal nature, and founded in the support for sustainable ideals, are of equal concern. Key issues include decisions taken as to the use of such sites and the manner in which decisions are taken as to the management and planning of protected areas.

It is advocated that decisions be developed through community participation in local decision-making, (Lockwood et al. 2006 a and b) mindful of the value of local knowledge to enhance planning and management strategies, (Abrams et al. 2003; Hague & Jenkins 2005; IUCN 2003c; Oakley 1999) and of opportunities to create community ownership of projects and support actions required (Abrams et al. 2003; IUCN 2003c; Lockwood & Kothari 2006; Oakley 1999; Pimbert & Pretty 1997). Fundamentally, the engagement of community participation in the decision-making processes for protected areas is viewed as essential to create support for protected area values (Lockwood et al. 2006 b) and is also an acknowledgement of the ethical rights of local and neighbouring communities in ‘having a say’ in the area in which they live, (IUCN 2003 c p42 and d), and of visitors, in expressing their aspirations for the use and development of an area (Richardson & Connelly 2002). However, community engagement in the protected area context although not generally quantified, is, as discussed above, regarded as poor. This view, *if* founded, holds implications for institutions’ reliance on encouraging institutions discursive interactions with communities so as to safeguard the very concept of the protected area (Farvar 2002 ; Dudley et al 1999; Phillips 2001) and to improve protected area management (Beirle & Konisky 2001; IUCN 2003 a - c).

The imperative for community engagement is discussed further in the following section in the context of the planning and management of these areas. Institutional encouragement for community participation is considered with key protected area governance principles and best practice recommended.



## ***Section II: The planning and management of protected areas and community engagement***

### **3.2.1 Introduction**

With institutional emphasis on imperatives for community engagement, inclusion of the community, especially in the planning and management of a protected area, is advocated. An overall approach of collaboration with institutions and local communities is introduced together with guiding governance principles and best practices derived from the key institutions at an international level.

### **3.2.2 The planning and management of protected areas**

‘A collaborative approach to planning...’ is emphasised as ‘...crucial to ...the capacity for sustainable development.’ (Lockwood & Kothari 2006 p59). Further, in the more general but associated rural context, community participation is prescribed at a project level, in policy formulation and programme development (World Bank 2008) whereby ‘...more comprehensive, participatory ...results (can be) used to inform changes to plans and management ...’(IUCN 2003 a p21). Through these processes, advantages are advocated to contribute towards social capital enhancement, derived through community voluntary action, their input and motivation to engage with community organisations which in turn is asserted to result in increased community empowerment (Buckingham-Hatfield & Percy 1999; IUCN 2003 c; Oakley 1999).

The Vth World Parks Congress directs that community participation be specifically linked into wider ecological and environmental systems of resource management and protection by 2013 (IUCN 2003 a and b). This target requires a systematic approach to protected area planning and management comprising spatial units of ecosystems, ecoregions and bioregions. In recognition of the disturbing effect of climate change on these areas, a scientific approach must also be incorporated (IUCN 2003 c) although even here, governance and community participation in decision making at all levels is advocated (Pimbert & Pretty 1997; Graham et al. 2003b ;IUCN 2003 c).

However, in recognition of the protected area’s borders and the frequent urbanisation of large tracts of land close to protected areas, as is apparent in the UK, such a target must also point to the inclusion of both protected area and neighbouring communities in the governance and decision-making processes relevant to the planning and management of these sites (IUCN 2003c). ‘Protected area staff and authorities need to engage with all groups in society...(and) an inclusive approach has to be the new order.’ (IUCN 2003 b p31).

A focus on broad community inclusion and a hope to secure wide public interest in protected area planning and management of a sustainable nature, includes the aspiration that community participation could be the bridge needed to integrate protected area planning in regional and national strategies and considerations. No longer can the areas be considered as islands devoid of links with their urban neighbours (IUCN 2003 a and b).

At an international level, this requires the encouragement of an integrated approach to planning systems for the protected areas and recognition as to the importance of all stakeholders incorporated in the planning process (IUCN 1998 b).

Further, the Vth World Parks Congress has recognised the need to ‘adopt a policy framework and incentives that encourage the active participation of local communities in biodiversity stewardship...’ (IUCN 2003 c p25). This view is enhanced by the Institute on Governance which notes, interpretations on stewardship differ in a narrow sense of purely ‘...representing voluntary ...initiatives as an alternative to strict government oversight...’ or representing government regulation (Saner & Wilson 2003 p1). Stewardship, taken as the management of the area (Saner & Wilson 2003) requires effective and inclusionary management principles as an imperative to maintain the quality of the protected area network and to improve management processes. As additionally highlighted at the Vth World Parks Congress, monitoring and evaluation systems also need to be based on participatory practices (IUCN 2003 c).

With local community involvement, protected area authorities can implement evaluation systems to improve management effectiveness. Protected area support for this objective is envisaged through the establishment and/or development of a legal basis for community integration with the involvement of national tiers of government, devolved administrations and other stakeholders (Graham et al. 2003b).

A clear responsibility of the protected area authority is to encourage and guide actions in community participation (IUCN 2003 c). In turn, it is recommended that protected area authorities continue to receive their guidance from national policies, the IUCN and in the development of participatory processes. In consideration of training needs and guidance for protected area authorities, further action by the IUCN is advised to establish a protocol on participatory evaluation systems to be developed through cases studies on effective collaborative approaches (IUCN 2003 c).

Through such actions, it is hoped that the management capacity of protected area authorities will be improved by 2013. However, clearly national strategies and guidelines are also required to support the design and action of integrated processes of community inclusion (IUCN 1998 b; Richardson &

Connelly 2002) and equally on site, staff training needs to be acknowledged (Richardson & Connelly 2002) with training programmes and conferences for the promotion of participatory processes (IUCN 2003 a, b and c). With such support, the protected areas' authorities need to promote conditions conducive to the effective engagement of local communities and other local stakeholders. This includes objectives for the authorities to build the capacities of communities for effective community engagement in planning and management processes (IUCN 2003 c).

With the combination of a legal framework of support, the development of policies and on the ground, relevant authorities developing practices for effective community participation, it is expected that provision will be made for communities to '...ensure that their voices are heard and respected in decision-making...' and that traditional knowledge, innovations and practices will be incorporated (IUCN 2003 a and b p27). As such, it is hoped that there will be '...an equitable distribution of benefits... authority and responsibilities...to encourage mutually, acceptable incentive mechanisms...' (IUCN 2003 a and b p27) and to '...guarantee the meaningful participation of (the) communities in the designation and management of protected areas.' (IUCN 2003 a and b p27)

Ultimately, the rights of local communities are addressed and theoretically established in relation to natural resources and biodiversity conservation. The vital role protected areas and their communities play in the achievement of sustainable development is yet again, acknowledged and documented officially. This is viewed to be in stark contrast with past approaches to the establishment, planning and management of protected areas, (Pimbert & Pretty 1997), when communities' views, roles, knowledge and customary laws had '...frequently been disregarded or undervalued by the conservation community...' (IUCN 2003 a and b p25).

### **3.2.3 The Vth World Park Congress outputs and community participation**

As described above, the imperative for two way communicative interaction with communities is a key pillar in the outputs of the Vth IUCN World Parks Congress. The Durban Accord, an Action Plan and a set of 32 Recommendations were devised, compiled and agreed by participants providing for new commitments to and policy guidance for protected areas worldwide (IUCN. 2003 a, b and c).

The Durban Accord describes a new paradigm for protected areas celebrating an innovative approach and their '...role in broader conservation and development agendas...integrating (these) with the interests of all affected people...' (IUCN 2003 g p220). The Durban Action Plan underpins the Accord with policy guidance and timeframes to achieve its objectives. The 32

Recommendations are devised under broad themes: of which one includes the engagement of people who reside near and around protected areas to ensure that their interests and needs are understood and considered in the management, development and establishment of these areas (IUCN 2003 a and b); and a second, focuses on the development of support from all levels for protected area managers to achieve protected area objectives including community development and public participation in protected area governance processes. (IUCN 2003 a and b)

By 2013 and the VIth World Park Congress, it is hoped that 15 targets of the Durban Accord, Plan and Recommendations will have been achieved. These include objectives that protected areas are effectively managed, that the rights of indigenous peoples and local communities are secured and that improved forms of governance are established (IUCN 2003 c).

Achieving these objectives is seen as the responsibility of all levels of organisations and institutions and at an International level, with action through the UN and other international institutions. Through conventions, treaties and other agreements, aims have been set for the development of guidance and legislation at a regional level with intergovernmental action through regional conventions. At national and local levels, responsibilities focus on the development of a civic society through community inclusion in local governance. At each level, the development of multi-stakeholder partnerships required amongst governmental, statutory, private, not-for-profit, community, a civic society and business interests are further clearly expected (IUCN 2003 a, b and c).

These goals are additionally supported internationally by the CBD COP7 which endorses the implementation of community inclusion. In particular articles 8j, 10c and corresponding elements of the CBD, highlight this focus and the need for the use of participatory working and governance principles being employed by institutions and working with communities (IUCN 2003 a and b; Lockwood & Kothari 2006) reflecting the political will towards community participation.

Such endorsement will require that national and local government departments review their conservation laws and policies that impact on communities. In the spirit of governance and the community inclusionary concept, this revision of the law should also demand that communities be involved. At the protected area authority level, the aim is to encourage authorities to ‘...adopt and enforce laws and policies with the full and effective participation and consent of peoples and communities concerned (IUCN 2003 c p35). However, the extent of their influence is viewed to be potentially curtailed by the restrictive nature of a still apparent, although underlying current of a steadfast preservationist ideology, conservation legislation, directives and bias towards scientific content (Dudley et al. 1999; Pimbert & Pretty 1997; H. Tidball Pers.comm. 2003; Wight 2004).

### 3.2.4 UNECE endorsement – the Aarhus Convention

Whilst not specifically focused on protected areas but concerned with environmental protection and quality, endorsement for community participation principles is further derived from the UNECE<sup>3</sup> *Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters*, 1998<sup>4</sup>. As the title shows this environmental agreement includes governance principles and a rights-based approach to public participation; and links both environmental and human rights to ‘...protect the right of every person of present and future generations to live in an environment adequate to health and well-being...’ (UNECE 2003 p1).

Through this aim it is clear that the public authorities, signatories of this agreement, and all governing levels, are required to include this sustainable developmental focus in their activities. Further, this Convention associated with governance principles emphasises, government accountability, access and transparency of information and of decisions taken and responsiveness to address environmental protection BUT with the full inclusion of communities being informed and able to question decisions taken.

### 3.2.5 Protected Area governance principles and best practice

Good governance advocates community participation at all levels of decision making (IUCN 2003 a, b and c; Graham et al. 2003b) and as Kothari asserts ‘...there is no substitute for engaging with people.’ (Kothari 2006 p547). Furthermore, citizen involvement is viewed as central to sustainability as a ‘...consequence of widespread discontent with the legitimacy and efficacy of representative democratic government (and) failure of representative democratic institutions to represent ...citizens’ interests and aspirations.’ (Lockwood & Kothari 2006 p65).

Best practice to achieve effective governance can be associated with a framework of governance and participation principles and objectives (Graham et al. 2003a and b; Kothari 2006). At the core of these and at an International level, are prescriptions for the development of protected area governance models, and the need to promote good governance principles amongst all parties (IUCN 2003 c). These principles parallel many of the generic governance principles detailed in *Chapter II*. Further as with more general governance, all associate with an element of bureaucracy, legislative framework and democratic principles focusing on the ‘...rule of law, participatory decision making, mechanisms for accountability and equitable dispute-resolution institutions and procedures.’ (IUCN 2003 a and b p11).

At the national and local levels, formal recognition is given to the need to encourage policy reforms ‘...to provide a supportive enabling environment for (the) more effective management of protected area systems.’ (IUCN 2003 a and b p11; Kothari 2006). Ultimately, it is emphasised that ‘...local communities fully participate in the establishment and management of protected areas and that mechanisms are put in place to guarantee that (the extent of communities included is broad, through inclusion of local and neighbouring communities), to share in the benefits arising from these areas.’ (IUCN 2003 a and b p9).

To encourage participation the community’s capacity to be involved is emphasised through the existence of collective action and civil society groups (Graham et al. 2003b). An individual’s ability to participate effectively in transparent processes is further advocated though directed to work within a primarily collective participatory environment of community compliance through consensual decision-making processes (Graham et al. 2003a and b). This recognises implications in the environmental context for a potential deficit in a community’s ability to participate due to the numerous documents of a scientific nature that are produced. From a layperson’s perspective of community participation, the Durban Action Plan emphasises the imperative for such documents to be translated into everyday language thus supporting the principle of access to information. This would allow communities the opportunity to comprehend decisions to be taken, to understand the effect on the community of an environmental decision and to ultimately allow their views to be presented in participation processes and to be heard in decisions to be taken (IUCN 2003 a and b).

The results of this engagement are viewed to contribute to the principle of equity of benefits, authority and responsibilities. With acquired knowledge and comprehension, the community can assert their right to select their own representatives, able to impart valuable traditional knowledge, be representative of the wider community and create the opportunity ‘.for them to take a leadership role where appropriate.’ (IUCN 2003 a and b p35)

Direction through a strategic vision, (Graham et al. 2003b), is also important with further emphasis on community comprehension and awareness of actions ‘...to promote the socio-economic and cultural benefits of protected areas...’ (IUCN 2003 a and b p10); to demonstrate the value of such areas to local communities; but also to equally, ‘...create business guidelines and standards for businesses that promote good governance...transparency...and enhance the objectives of the protected areas...’ (IUCN 2003 c p20). To progress these principles, communication and improved education strategies are needed. However, two way dialogues are required: ‘Two-way communication and stakeholder involvement in decision-making processes can help the protected

area community to understand the perceptions, issues and needs of stakeholders ...' (IUCN 2003 a and b p38). For such communication to occur, as with theory in the general context, (p63) '...high levels of trust...' are required (Graham et al. 2003b p17) which in some cases is a contentious point in protected areas due to past working histories amongst Authorities and local communities (IUCN 2003 c). However, in the participatory context, the level of trust developed can be considered essential as it has implications for encouraging the forces of cynicism and political efficacy as drivers for action or inaction on the part of a citizen (Parry et al. 1992). Further associated with trust is the principle of performance. Cost effectiveness of the Authority and the area, its capacity, provision of '...sufficient...' information to the community, responsiveness and adaptive management, all contribute to the ethos of good governance demonstrated by the institutions (Graham et al. 2003b p20).

In recognition that institutions can appear to a community as layers of bureaucracy, clarity of who to contact, accountability and responsibility for actions and decisions needs to be considered (Graham et al. 2003b; Kothari 2006). This measure alone can contribute to the enhancement or the denigration of the governance principles of transparency thus exacerbating the potential for the public's cynicism and in turn, their mistrust of institutions (Graham et al. 2003b).

Action required for protected area governance is considered to be led by national and local level institutions (Borrini-Feyerabend et al. 2006), who should exercise their responsibilities judiciously and fairly (Graham et al. 2003a and b). Nevertheless, requirements for support are recognised for the Protected Area Authority in terms of its capacity and its resources to engage in participatory processes (IUCN 2003 a, b and c; Richardson & Connelly 2002). This is in part perceived by Authorities attaining an '...appropriate degree of (responsibility through) decentralisation in decision-making...' and devolved administrations from which effective leadership can be demonstrated by the authority that is accountable (Graham et al. 2003b piii). The focus is to create conducive conditions and for effective engagement of the community to develop and implement '...innovative plans and legislation, involving all stakeholders to conserve biodiversity and ecological processes effectively under various systems of land and resource ownership and usage rights...'. (IUCN 2003 c p14).

The ethical principle of 'fairness' warrants particular attention in the case of protected areas as a core element of governance and community participation in these environments. 'Fairness' underpins the very basis for community participation and the devolution of power from National Government to local areas (Graham et al. 2003a and b). It requires a supportive judicial context,

impartial, fair and effective enforcement of protected area rules including the right of appeal and transparency of the rules and fairness in the management of the area (Graham et al. 2003a and b). This latter point includes aiming for a balance of costs and benefits to local communities, use of traditional knowledge, devolving decision-making where appropriate and ‘...that mechanisms are put in place to guarantee that they share in the benefits arising from these areas...’ (IUCN 2003 a and b p9; IUCN 2003 a and b).

At the heart of all these principles, basic human rights and values are emphasised as also are inclusiveness, equitable opportunities to contribute to decision-making, ‘...and meaningful engagement of all those who are impacted by, or benefit from, protected areas...’ (IUCN 2003 a and b p34). All of which are enhanced through ‘...supporting civil society and community mobilisation...’ (Kothari 2006 p548). Table 3 below includes all the principles reviewed in this chapter thus far and shows qualitative guidelines which can be used to evidence an institutions’ achievement of best practice. These associate with five broad themes and subheadings of key principles:

1. Legitimacy and voice: participation and consensus
2. Direction: strategic vision
3. Performance: responsiveness and effectiveness and efficiency
4. Accountability: transparency
5. Fairness: equity and rule of law

With all the principles, it is noted ‘...none is absolute...principles overlap...most conflict with others at some point and this calls for balance and judgement in their application (for which) social context will be an important factor...’ to consider (Graham et al. 2003 pii; Kothari 2006).

The numerous challenges of community inclusion are recognised by an ultimate objective to promote research into various protected area governance models (IUCN 2003 a, b and c). In consideration that governance research is relevant to a given period of time (Parry et al. 1992), is essentially case specific and ultimately that ‘...context matters...’ (Hyden & Court 2002; Graham et al. 2003 p6), means that political, economic, social and environmental contexts should be examined at both the national and local levels (Krishna & Schrader 1999) as of influence on governance practiced.



**Table 3: Protected Area Governance Principles & Best Practice**

Five governance themes	Principles and guidelines
Legitimacy and Voice – Participation, consensus and subsidiarity	<ul style="list-style-type: none"> <li>• Existence of a supportive democratic and human rights context</li> <li>• Potential for attitudinal changes in all partners</li> <li>• Appropriate degree of decentralization in decision-making – institutional structure and rules to govern the partnership</li> <li>• Collaborative management in decision-making – basis of multiplicity, diversity, multilevel and multidisciplinary <ul style="list-style-type: none"> <li>- support to communities for their involvement – degree of power sharing, founded on negotiation, joint</li> <li>- decision-making and fair distribution of benefits</li> </ul> </li> <li>• Citizen participation occurring at all levels of decision-making founded on communication and collaboration</li> <li>• Existence of civil society groups and an independent media</li> <li>• High levels of trust among the participants</li> </ul>
Direction – Strategic vision and consideration of context	<ul style="list-style-type: none"> <li>• Consistency with international direction relevant to protected areas</li> <li>• Existence of legislative direction (formal or traditional law)</li> <li>• Existence of management plans for individual area</li> <li>• Demonstration of effective leadership</li> <li>• ‘listening to people’ (Borrini-Feyerabend et al. 2006 p137)</li> </ul>
Performance – responsiveness of institutions and processes; effectiveness and efficiency	<ul style="list-style-type: none"> <li>• Cost effectiveness</li> <li>• Capacity to undertake duties</li> <li>• Coordination</li> <li>• Performance information to the public</li> <li>• Responsiveness</li> <li>• Monitoring and evaluation</li> <li>• Adaptive management</li> <li>• Competence in handling complaints in a constructive way</li> </ul>
Accountability – to the public and to institutional stakeholders; transparency	<ul style="list-style-type: none"> <li>• Clarity in rights and responsibilities ‘to all’ and the authority to answer ‘who is accountable for what?’</li> <li>• Clearly identified interests</li> <li>• Public institutions of accountability</li> <li>• Effectiveness of civil society and the media</li> <li>• Transparency – the capacity of citizens, civil society and the media to access information</li> </ul>
Fairness – Equity and the Rule of Law	<ul style="list-style-type: none"> <li>• Existence of a supportive judicial context – facilitative legal and policy systems</li> <li>• Fair, impartial and effective enforcement of rules</li> <li>• Fairness in the process for establishing the protected area</li> <li>• Fairness in the management of the area</li> <li>• Provision of mechanisms for decision-making</li> </ul>

**Source: Author. Adapted from Graham et al. 2003a and b; Borrini-Feyerabend et al. 2006 and recommendations by Kothari (2006)**

Through these principles importance is placed on the significance of community participation in models of collaborative management (Graham et al. 2003) and in alternative development strategies focused on environmental and human rights and justice (Ledwith 2005), in relation to rural and protected area development. Community engagement is thus seen as ‘...an essential component of the wider environmental, social and economic agendas agreed at the Earth Summit in Rio in 1992 and further developed at the World Summit on Sustainable Development in Johannesburg in 2002...’ (IUCN 2003 a and b p13). As highlighted through discussions at the Earth Summit 2002, only through ‘...the accumulated effects of daily acts of eager participants...’ can a sustainable society (and environment) be created (UNED Forum 2002 p1). Such a society is sustained not just by institutional support towards community engagement but also from within the community itself, as advocated within the concept of social capital.

### **3.2.6 Section II: summary**

This chapter thus far, has predominantly considered an institutional emphasis and evidenced the demonstrative aspirations for governance and community participation in protected areas not least through the conventions and directives developed over particularly the last decade. What is evident is that principles in the protected area contexts are very similar to those in the more general contexts. However, the emphasis on and aspirations for the promotion of community engagement is perhaps more profound, not least in acting as some form of insurance for the futurity of a protected area. What is additionally apparent from a literature review in this context is that social capital and its features contributing to the development of a civic community, are also recognised. Yet, the literary emphasis is placed far more on governance and further perhaps unsurprisingly, on government, and at the least its principles of primarily scientifically based legislation and directives devised for the management and planning of protected areas.

The following section focuses on the realm of the communities and in doing so examines the features and role of the social capital concept in a protected area.

### *Section III: Capital, governance and collaboration*

#### **3.3.1 Introduction**

This section considers the foundations for grass-roots motivation to participate through a discussion on social capital and its associations in the natural environmental context. In so doing, the influence of social capital's collective action and its potential to enhance or discourage community engagement in the protected area context is considered. This section closes with a review of the key collaborative model associated with community participation and advocated to enhance communication between the community and institutions.

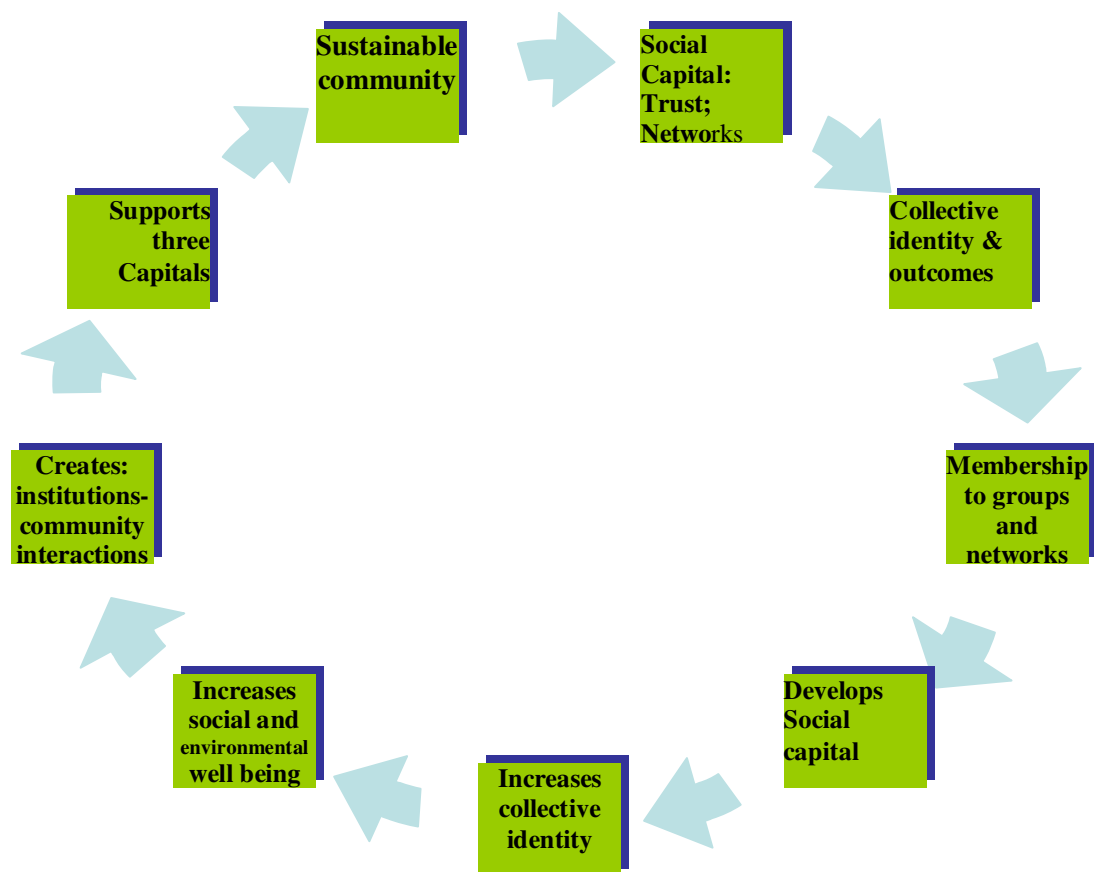
#### **3.3.2 The associations of environmental, social and economic capitals**

As shown in *Chapter II*, social capital, although influenced by the political will and legislative frameworks promoting or inhibiting participation, is reflective also of the community's motivation, ability and organisation to participate, collectively (Witasari et al. 2006). As also discussed in *Chapter II*, these factors are in turn influenced by a community's perceptions of the institutions and of their community and its representatives in the management of, in this case, a protected area.

Nevertheless, in the protected area context, further support and influence on the development of social capital can be derived from the natural environment and the economic capital resulting from the sustainable use of resources, and thus the environmental capital of the area. Under the wise management of these areas, a cyclical benefit (Powell et al. 2002), as depicted in Figure 4, amongst these capitals is asserted and '...is internationally accepted that sustainable communities exist where the three capitals, economic, environmental, and social coexist and are in balance' (Senior & Townsend 2005 p3). As further emphasised by the CBD, within this tripartite of capitals, protected areas '...constitute an important stock of natural, cultural and social capital, yielding flows of economically valuable goods and services that benefit human populations...' (CBD 2008 p2). Mindful of the imperative for sustainable development in the protected area, this development strategy is impossible, without each of the capital components being recognised (CBD 2008). As Powell et al. (2002 p 282) explicitly assert '...In principle therefore, we argue that circularity occurs where the

socio-economy contributes to natural beauty and amenity and the environment underpins community and prosperity.’

**Figure 4: The wheel of reciprocally sustainable fortune for social, environmental and economic capitals**



**Source: Author**

However, as previously discussed in the British context, it has also been argued that social capital is being reduced (Grenier & Wright 2005) and actions to increase social and political engagement and trust are being prescribed (Lyons 2006). Perspectives on the values of protected areas have also been reducing, caused by, for example, trends in urbanisation and aspirations for development (Senior and Townsend 2005).

As Senior & Townsend further state, 'while support for the principles of land being set aside for Parks is widespread in Western societies, the rhetoric is not always realised in practice when commercial pressure occurs...' (Senior & Townsend 2005 p6).

It may be argued that linked to this, is the disintegration that has been demonstrated towards attitudes to the natural environment with trends in public disengagement from nature. In part, this is associated with changes in employment, consumer behaviour, and a demographic change of rural communities moving to urban environments '...never have humans spent so little time in physical contact with animals and plants, and the consequences of this are only beginning to be explored.' (Senior & Townsend 2005 p3).

Conversely, there is a popularly agreed argument that the use of National Parks is growing due to the '...almost exclusive...use (of the areas) as a venue for leisure and sport or conservation protection...' (Senior & Townsend 2005 p3). Whilst not ignoring the negative impacts that can arise from tourism development (Goodwin 2000), the benefit of sensitively developed tourism is asserted to support the economic value of National Parks (Goodwin 2000) which as detailed above, can further encourage the environmental value of the area and additionally contribute to enhancements in social and economic capitals (Senior & Townsend 2005). Kuo (2001) notes further that associations and simply being in contact with the natural environment can also increase features of social capital, such as increasing social and psychological well-being which is further considered to assist in community cohesion and identification (Serageldin & Grootaert 2000).

These discussions would therefore strongly suggest that communities resident in a national park, if the Park is valued and the protected area authority is effective in the management of its natural and economic capitals, should have a positive relationship with associated enhancements in social capital. Indeed it is certainly argued that a physical environment has the power to effect social capital through the encouragement or discouragement it creates for social interaction. This is most easily identified in urban environments and the segregation of a community by for example, social-classes, and housing designed to accommodate various socio-economic groups. Socialisation and integration is developed through a 'bonding' (Putnam & Goss 2002) element of social capital, which integrates homogeneous societies through for examples groups and networks; further the 'bridging' element (Putnam & Goss 2002) is also relevant, with which to integrate diverse networks of collective action across the more commonly found socially and demographically mixed populations (Halpern 2005; McGrory Klyza et al. 2004). 'Th(is) same process affect(s) most environments...' (Halpern 2005 p265).

This claim is further evidenced through the use of social capital and its mechanisms of institution-community interactions through collective and collaborative models of groups, networks, fora and partnerships, as discussed further (see *Section: 3.3.5*), and is linked to the concept of the natural environment as a public good. In the context of forestry management with institutions increasingly responsible for natural resource management ‘...largely because of a mistaken assumption that these resources are mismanaged by local people...’ (Pretty 2003 p6), in recent years there is a ‘...growing recognition ...that (governments) cannot hope to protect forests without the help and involvement of local communities...’ (Pretty 2003 p23). In many cases this has called for joint partnerships and responsibilities with local communities ‘...for protecting and improving degraded land...’(Pretty 2003 p23).

### **3.3.3 The influence of cultural and community identification on collective action**

Social capital is additionally associated with ‘...a certain degree of common cultural identifications...’ (Serageldin & Grootaert 2000 p44) and related particularly to closed communities in which ties amongst the community, a common history, traditional values and unwritten codes of conduct are emphasised (Coleman 2000). However, as Portes (1996) and especially Coleman (2000) further assert, social capital, typically developed in small communities, as can be found in forest areas, can prove to be a negative mechanism. This is additionally highlighted through the work of Buchecker et al. (2003), as detailed in *Section: 3.4.6*, which suggests that networks of collective actions, can in themselves discourage some citizens from participating (Buchecker et al. 2003).

Nevertheless, where the collective is developed, trust amongst participants is encouraged which in turn improves the efficiency of the community (Witasari et al. 2006). From this, and leading to social trust, ‘...positive social relationships (are required and emphasised to develop and) rest on the ability to regulate your social interactions with others, so that you have some feeling of control over when, and how much, you interact with those concerned.’ (Halpern 2005 p265).

Positive outcomes of social capital development have been shown, through levels of civic engagement and volunteering to be higher in smaller groups (Wuthnow 2002) and in small towns (Putnam 2000). Associating this consideration with smaller geographical locations and a potential for homogeneous groups, a challenge is inferred in that it could be harder to ‘bridge’ diverse networks of heterogeneous and other neighbouring communities (Putnam and Goss 2002) perhaps due to the potential for a ‘closed nature’ of small communities (Witasari et al. 2006). This is demonstrated in some of the limited and disparate amounts of case studies found in this subject to date which focus more on

developing countries and on Forest Management and Marine Protected Areas. Amongst these it is shown that social networks and their interactions among stakeholders groups are essential and ‘...in protected forest management (classified as imperatives) to achieve both development and conservation objectives...’ (Witasari et al. 2006 p4). In addition, as Borrini-Feyerabend et al. 2006 assert, through the recognition of collective rights, provision is encouraged by the institutions for ‘...a strong basis for the building and functioning of community institutions.’ (Borrini-Feyerabend et al. 2006 p132).

### **3.3.4 Levels of participatory action and environmental concerns**

The work of Frey and Stutzer (2006) further emphasises that collective action is the action to address environmental concerns. However, this point alone provides a setting for non or limited participation for those who may simply be averse to collective action or may wish to be disassociated from conforming to a collective view on a given issue (Buchecker et al. 2003). These individuals could also be demonstrating their lack of intrinsic motivation to participate through a lack of dissatisfaction with participation processes and thus would not only be not contributing to social capital networks, but also would not be interested to do so for environmental reasons due to these collective style processes (Frey & Stutzer 2006).

A solution to this quandary cannot necessarily derive from external intervention or coercion as this is argued to reduce an individual’s intrinsic motivations to participate, (Frey & Stutzer 2006) and thus discourage further their satisfaction and potential for engagement. Rather therefore, the potential to encourage those not persuaded to engage or those who are of a limited persuasion to participate, may be found in alternative, more individualised forms of participation.

Nevertheless, for those who do participate collectively in protected area governance processes, participation is considered to encourage social capital (Burton 2003). This in turn is asserted to further encourage and sustain a community’s participation, through collaborative management frameworks.

### **3.3.5 Protected Area Governance – Approaches and collaborative management**

Building on the links of social, environmental and economic capitals, resulting in community participation and an assumption of a positive political will towards community participation, four protected area governance types are identified (Borrini-Feyerabend et al. 2006). The most appropriate to this case study of *co-managed protected areas*<sup>5</sup>, is highlighted below, in recognition of its suitability

especially in the UK context, associated with Category V protected areas, and considered to be ‘...quite inclusive..’ of all associated parties (Borrini-Feyerabend et al. 2006 p121). Approaches and principles emphasised for good governance and associated with partnership development are further highlighted and are viewed to counteract any criticisms of protected area governance.

As previously discussed, a major criticism of protected area establishment and management has been the development of such areas, to the exclusion of local communities (Lockwood & Kothari 2006). Dudley et al., (1999) suggest that, well meaning conservationists, and it is added, those of the ecocentric camp, have not intended to negatively disrupt or affect local communities. However, exclusionary ideals centred on the well-being of species and their environment have in some cases, resulted in the displacement of entire communities, creating local-resource conflicts, which ultimately, has proved to adversely affect protected area goals (Dudley et al. 1999).

Inclusionary principles fundamentally underpin the design for an integrated management framework. This acknowledges the range of stakeholders involved, whose interests ‘...may originate from institutional mandate, geographic proximity, historical association, dependence for livelihood, and from a variety of other capacities and concerns...’ (Borrini-Feyerabend 1999 p225)

However, by the very fact that private enterprises, NGO’s, institutions and local communities are involved, (to name but a few), the resultant diverse interests have the potential to create an imbalance of power and conflicts in agreements needed in the management of an area (Borrini-Feyerabend et al. 2006). The keys to such conflicts are seen in *participatory* and *collaborative* approaches.

Participatory approaches involve a shift from representative to participative democracy...’ where, as discussed in *Chapter II* (p58), ‘...citizens are actively engaged with ...processes of policy development and implementation.’ (Lockwood & Kothari 2006 p65). Methods are advocated to include individual and collective expressions asserted to ‘...improve the legitimacy of representative democracy...and the rights of citizens to be involved...’ (Lockwood & Kothari 2006 p65). The engagement of all stakeholders is emphasised, as are opportunities to be created with rights and access to information required (Lockwood & Kothari 2006). However, a marketing objective by government is noted which in practice results in the development of ‘...core policy agendas and frameworks...often largely remaining under the control of governments...’ (Lockwood & Kothari 2006 p65). Deliberative



democratic systems, through collective action, are viewed as more extensive and infer equality amongst the community and the institutions (Lockwood & Kothari 2006).

Nevertheless, over the past decade especially, collaborative approaches have emerged and through developments in joint decision-making, ‘...few national or sub-national protected area agencies operate under a model where government is the sole decision-maker (Borrini-Feyerabend et al. 2006; Kothari 2006). These more ‘recent’ approaches are considered to be more fundamental and extreme to deliberative democratic systems, creating opportunities for communities to be *central* to discussions as opposed to marginalised (Lockwood & Kothari 2006). Further, these approaches associate with a theory of communicative rationality whereby decisions are made on the ‘...quality of communication...’ and relate to underlying democratic and governance principles (Lockwood & Kothari 2006 p66).

A result of ‘collaborative management’, infers a partnership (Borrini-Feyerabend et al. 2006; Kothari 2006) is developed in which, to varying degrees due to widely differing interpretations (Kothari 2006), although final responsibility for an area rests with one agency, collaboration is expected (Borrini-Feyerabend et al. 2006). The weakest form of this approach is noted through informing and consulting with stakeholders; whereas its strongest model ‘...means that a multi-stakeholder body ... develops and approves by consensus a number of ...proposals...’ for presentation to the lead institution (Borrini-Feyerabend et al. 2006 p119). Further characteristics of strong collaborative management are associated with the length of time collaboration has occurred, clarity of roles, transparency and fairness of processes and the achievement of both social and environmental goals (Kothari 2006).

The framework for interaction amongst these partners includes an institutionalisation of groups and communities (Borrini-Feyerabend 1995). Through this, ‘...the social, political and institutional conditions that encourage partnership formation...’ may be expected (Long 2000 p342-343) Thus, the partnerships can aim to meet collaborative conditions founded on representation, accountability and equity in problem solving, access to resources and the distribution of power (Long 2000).

Although presented as a ‘new paradigm’, (Oviedo & Brown 1999), it is not a new concept and worldwide many agencies are ‘...embracing...’ collaborative management approaches (Lockwood et al. 2006 b p677). In Western Europe, for example, the philosophy for National Parks has been centred on the inclusion of local communities, private ownership of land is not unusual and as presented in the United Kingdom, local authorities are integrally and inherently involved in management planning (Borrini-Feyerabend 1999). Further as demonstrated in *Chapter V*, an institutionalisation of community groups and networks is well established (see p245).

This institutionalisation of community groups could be said to constrain at the least community influence and potentially their action. As Kothari emphasises in the European context a ‘...key struggle is to deepen (community) engagement – from pluralist management structures based on delegation to party officials, to participatory management structures based on direct involvement and fair political ‘weight’ for the social actors most directly concerned.’ (Kothari 2006 p544).

Nonetheless, the advantages to be gained from Collaborative Management for both protected areas and stakeholders, have been advocated since the 1980’s by both IUCN and WCPA; and ultimately, in 1992 at the IV World Park Congress, 1,800 protected areas adopted the concept (WCPA 1999). Opportunities are centred on providing support for protected area management...in the long-term...’ as it is recognised that ‘...unless it is accepted as a core part of a wider social, cultural, economic and political agenda...’ and associates with a more democratic context it will not be successful (Lockwood & Kothari 2006 p72).

The principles of collaborative management are centred on governance principles, the values of transparency, social orientation and the notion of participating for the common good and as such it is considered to be associated with the environment as a public good, respect and equity amongst partners, consensus and ultimately social justice. (Borrini-Feyerabend 1999). For this, support for the capacity building and empowerment of communities is asserted (Borrini-Feyerabend et al. 2006) to contribute to providing a form of management that is ‘...suited to expanding democratisation, restructuring of nation states and the integration of biodiversity conservation within planning for sustainable development.’ (Oviedo & Brown 1999 p100). Yet, regardless of support and aspirations for collaborative management, in practice it is complex to achieve and is not a panacea to cure all issues not least, as presented by Frey and Stutzer (2006) in holding a potential to deter people who do not wish to participate collectively.

### **3.3.6 Section III: summary**

Following a review of the associations of social, environmental and economic capitals in natural environments and the potential these have for both encouraging and discouraging community participation, the most favoured model of protected area governance is discussed. Collaborative management and planning shows all the key principles for supporting the development of governance and for encouraging community engagement, however, its collective design is not considered to attract members of a society who are deterred by collective action. The following section addresses this claim

further together with considering additional challenges and risks of community engagement that need to be overcome in the protected area context.

## *Section IV: Issues and complexities*

### **3.4.1 Introduction**

A clear parallel exists with issues in the general socio-political context as in a protected area. However, there are equally a number of additional challenges in the protected area context. These issues include and arise in part from the many institutions with responsibilities for these environments, together with the numerous communities expected to be included in protected area governance. This section also considers the negative effect of social capital's collective majority force as affecting wider community participation.

### **3.4.2 Issues in protected area community participation**

Prescriptive writings appear to totally support the need for genuine participation, however, in reality – what exactly occurs in terms of community participation and the collaborative management of a protected area?

From a community perspective, issues are similar to those found in socio-political contexts. However, further issues include the geographic isolation of rural communities and groups (Richardson & Connelly 2002); a lack of time to participate; perceptions of inability to get involved and ‘...genuine fears of intimidation or expulsion from their land...’(SDdimensions 1997 p7). Further, and purportedly as a result of strategies that are ‘...poorly conceived, inadequately resourced and developed far too late in the cycle to be very effective...’ enthusiasm for local activism can be destroyed (Burton 2003 p 28).

Focusing on the institutions, their perspective on the breadth and level of participation wanted can be of concern. For some lead partners, the concept and practice demonstrated is centred in general terms ‘...as a process that spans from token consultation practices through to active consultation of stakeholders on management decisions to full devolution of authority’ (Borrini-Feyerabend 1995 p8).

Clearly, there is a range of participation and of influence dependant on the political contexts, attitude to participation, personal and political agendas involved, and those of the community, individuals and any private sector representatives included. The outcomes may demonstrate that interests are included in a management plan, while direct community representation in a management body, may not ensure that community interests are represented regardless of a majority democratic vote ( H. Tidball Pers. comm.

2003). This is further exacerbated by the potential of a democratic deficit derived from the lack of genuine representation of a community's views due to their lack of participation (Buckingham-Hatfield & Percy 1999; Parker & Selman 1999).

Where genuine collaborative management does occur, it depends on consensus (Richardson & Connelly 2002). As such significant investments of human and financial resources are required (Sayer 1999). Economic conditions can change, reducing finances needed and with regard to time, environmentally driven decisions cannot always simply wait for consensual agreement (Borrini-Feyerabend 1999). Conflicts with local communities, viewing the protected area as a threat to their livelihoods or socio-economic development, are still apparent (Borrini-Feyerabend 1999) and it is argued, can contribute to a major criticism of collaborative protected area management, as arenas for political opportunism.

Clearly, local government authorities, with politics at their core, rely on their respective voting communities for their seat in power, acquired through the realisation of governmental objectives formed by community aspirations. However, consensus also requires an equitable sharing of authority, which can affect governmental objectives and agendas. This situation by itself has also resulted in conflicts amongst local authorities (Borrini-Feyerabend 1999). Jeanrenaud (1999) asserts that stakeholder participation can prove to be the arena where political power is asserted, (SDdimensions 1997), potentially creating a situation of unequal power amongst stakeholders. The situation is further compounded by changes in political parties and their respective administrations, presenting new stakeholders to the discussion table with further diverse interests, that potentially could prove to be incompatible with, perhaps, previously agreed protected area objectives.

This is also an area that can be reflective of the hierarchy adopted within a governance partnership. Varying levels of top-down and bottom-up arrangements affect the level of participation achieved, and arguably the take-up of the community to participate in policy or management decisions. This as emphasised by Weldon (2004) is exacerbated, in the European context, because of European and international agreements on sustainable development and a top-down approach to policy, together with an encouragement by the 1992 Earth Summit, of a '...scaling-up...' scenario, whilst devolution (processes) ha(ve) led to (a) 'scaling down' (process) to more local levels'(2004 p21). In addition, there is an overt lack of people indicators and appropriate objectives to reach in sustainability monitoring programmes which are frequently linked to funding initiatives. This suggests a potential for a people focus to be weakened with more attention paid to meeting funding criteria.

A further issue is caused by constant changes in institutions responsible for working with and leading on governance. Executive members of many leading authorities also hold political posts or are precisely political appointees. This political dimension in itself has the potential to influence the quality and consistency of governance practiced. Due to such concerns, there are strong demands for improvements in mechanisms to encourage active participation, better performances, greater accountability and removal of ‘...abuses which occur even in the best of institutions.’ (IUCN 2003 a and b p34). Durban has recognised that as such, ‘...success in the coming decade will depend in part on strengthening the governance of protected areas...’ in planning and management structures with as required, opportunities for communities to take ‘...leadership roles where appropriate...’ (IUCN 2003 a and b pp 34-35).

However, as seen in the UK with the establishment of regional level governing institutions, and purportedly more empowered local authorities and governance structures, concerns over encouraging community participation are further expected. Problems can occur in the reconciliation of conflicts of interest between national policies and various local practices and interests (Weldon 2004). In some instances therefore, participation and negotiation can only be developed within the parameters of that which national, European or international policies will allow.

Additionally, the involvement of relatively new decision-makers, such as, in the UK context, Regional Planning Bodies, has the potential to lead to the disempowerment of other stakeholders inclusive of the local authority and the local communities. This can at the least, be problematic to the objectives of schemes and the subsequent power that can be the control of purely ‘some’ stakeholders around a table (Weldon 2004). This situation can clearly have an influence on decisions taken, on participation levels and create an additional detrimental effect on those who do actually participate and the assertion or not of their views.

A further key institutionally derived issue is funding at a local level. Without the necessary resources ‘...new mode(s) of governance (cannot) be sustained.’ (Weldon 2004 p24). Certainly, as Weldon (2004 p23) argues, funds by themselves, can affect essential aspects of governance and lead to the mismanagement of an area which is demonstrated by ...’the level of dereliction and vandalism (occurring that) indicates the extent to which management may have failed’. Furthermore, concerns over the compromise of conservation goals can impede encouragement for community participation (H. Tidball pers. comm. 2003). With communities empowered to make decisions, there is a genuine fear, at the least concern, that decisions could be taken which are not conducive to the conservation objectives designated to a protected site (H. Tidball Pers. comm. 2003). This raises priorities in the

need to convert, persuade or encourage local governmental staff, charged with protected area responsibilities, to reach out to local communities and encourage their involvement. However, unfortunately, for many staff, the involvement of communities' carries with it, people skills, that many either do not wish or have to employ (H. Tidball pers. comm 2003).

An issue linked to conservation objectives and which can present a non negotiable complexity to protected area participation, is the legislation and directives governing the management of the environmental qualities of an area. Whilst such legislation does address a governance principle by providing a 'rule of law', any negotiations required between the community and the governing institution '...can become politically charged...', due to the sheer amount, complexity, and onerous nature of the legislation. This can potentially be perceived as a '...lack of respect ....for local needs...' (Graham et al. 2003b p13) and can be further perceived by the community as preventing development, growth and their participation in local decision making. As discussed in *Chapter II, Section IV* (p.90), this situation is currently a parameter in community participation which needs to be worked within in order to manage community expectations accordingly to what legally can or cannot be permitted (J. Plumley Pers comm. 2008). The regulatory system thus '....should be about managing and reducing risk to acceptable levels to protect the public and the environment...' making choices and exercising decisions (Graham et al. 2003b p13).

A further important issue of concern with potential reference to issues of tokenism, (Ledwith 2005), and rhetoric (Adger et al. 2003), is associated with the lack of participating members of the local community. As previously detailed, networks and associations are amongst the most frequently used modes of engagement. However, as also argued earlier, with an increasing individual representation of citizens or non-action demonstrated by individual citizens, the collective traditional options are not always attractive. Lack of participation suggests that the opportunity for increased awareness of conservation efforts and education of the public is negated without some form of outreach programme that could encourage wider community inclusion potentially through information and communication programmes. As Buckingham-Hatfield and Percy and Parker and Selman (1999) note, community attendance at meetings demonstrates insufficient representation of local populations, and thus more active citizenship is required. As also stated by the IUCN, many communities are not '...yet sufficiently engaged in the ...management of protected areas.' (IUCN 2003 a and b p5) and protected areas '...lack effective protection and management ...' (IUCN 2003 a and b p5) through an absence '...of formal engagement with the many stakeholders in all stages of protected area work...' (IUCN 2003 a and b p20). In addition, deficiencies in wider community participation as outside of traditional collectives, as in the general socio-political context, infer a democratic deficit in representation and in decision-making undertaken (Debicka & Debicki ca.2005).

Should institutions be genuinely interested in community engagement, as Ostrom (1990 pp39-40) states, ‘making the switch ...from independent to coordinated or collective action is a nontrivial problem... in which (the costs of transferral) can be quite high’ and can be guided by the ‘theory of the firm’ or of the state’<sup>6</sup>. This requires the organisation of collective action to be guided by one individual, an outsider who assumes responsibility ‘for supplying the needed changes in institutional rules to coordinate activities.’ (Ostrom 1990 p41). In light of such issues in community participation and the need to include all relevant stakeholders, questions do arise:

- Of those who do participate, to what extent can communities genuinely influence decision making in a protected area? Wight (2004) suggests that in the main, communities in protected areas have little influence.
- ‘Who is entitled to participate?...’ (Weldon 2004 p22). Who, in reality, represents the community’s views? How democratic are participatory processes using governance principles?
- And of those who do **not** currently get involved, what is preventing their involvement or discouraging their interest in participating?

As with all forms of governance practices in the environmental context, local partnerships are questioned in terms of who is represented, whose interests are being represented and the parity of influence and interests (Buckingham-Hatfield & Percy 1999; Lowndes 2001; Weldon 2004).

Furthermore, community participation does require resources - how much capacity do the institutions have to address challenges of community participation in protected areas? To what extent do practices and policies allow community participation to occur? What support is shown to communities to aid their participation? These questions are further complicated in the context of tourism developed in a National Park, and in more general terms, through the main methods of participation used and the level of influence they create for the public.

### **3.4.3 National Park Tourism and additional community engagement**

An aim and target, at an International level, is to encourage the use of protected areas under more ecologically sustainable forms of production and consumption. This includes the use of traditional and other knowledge in the environmentally sustainable use and management of natural resources for which action is often focused on tourism. (IUCN 2003 c)



This requires partnerships with local communities for the planning and development of Park Tourism which is particularly promoted in the UK context, in Category V protected areas. This situation presents two simultaneous challenges. Firstly, as detailed above and with regard to all forms of community participation, community involvement is multifaceted. Secondly, in recognition of all stakeholders' inclusion (Eagles 2002), a challenge is presented in widening community participation through a transient community comprising visitor inclusion (Countryside Agency 2005b; Richardson & Connelly 2002) and thus infers also the inclusion of the second home ownership community.

Eagles et al (2002), from the perspective of community engagement, argue for the participation of fundamentally four groups: local communities, park management, Tourism operators and Visitors/users. In addition, a fifth group, as emphasised by the IUCN, (Castro et al. 2001; IUCN 2003 c), includes the neighbouring communities of protected areas. These groups combined demonstrate the inclusion of a variety of agendas, implying issues of power imbalances, typical of public, private and voluntary sector partnerships and engagement processes. However, further complexities of different perspectives of tourist, visitors, and temporary residents and of neighbouring communities can prove to be difficult to manage with local residents' aspirations and needs of the protected area. This has implications for institutions as to how to engage with the diverse community groups, how to integrate their views and their representatives in participatory fora; and ultimately how these views affect the protected area objectives of conservation, recreation and of the local community objectives for the area (Richardson & Connelly 2002).

Nevertheless, an additional layer of institutions and community is inherent with a National Park. This designation demands that national aspirations be considered in decisions taken as to the Park's use, management and its development. This dimension of community and government inclusion addresses at the least an ethical dimension of engagement but does equally infer a complexity in the practice of community participation in protected area governance. This consideration does at the least hold challenges for the Protected Area Authority in terms of resources, capacity, innovation in securing national views on the Park and managing power balances amongst the Authority's many partners and governors. However, a further concern relates to the potential conflict of views on an area amongst the local, neighbouring and national communities viewed from a social capital perspective as potentially diverse. As previously discussed, the amalgamation of diverse communities and those from rural areas, considered as potentially closed communities, is a further challenge to consider.

### 3.4.4 The practicality of the extent of community influence

An environmental prerogative characterises planning in protected areas as encompassing two different elements, a technical and a public participation element into ‘...a single coherent planning process... (which can) place public involvement on a par with the technical planning processes.’ (Eagles et al. 2002 p49). However, in the context of a protected area, many policies, strategies and activities cannot be altered due to an environmental imperative and thus, some consultation processes, may only represent a category of tokenism, manipulation or therapy as designed to educate or obtain support (Arnstein 1969) for predetermined ecological or developmental objectives. Based on this context, Wight (2004) devises a continuum of participatory approaches. Figure 5 shows this as of varying levels of communication and influence.

**Figure 5 Range of stakeholder involvement approaches and selected techniques.**

Approach	Selected Techniques	Message to the Public
5. Joint planning	<ul style="list-style-type: none"> <li>• Consultation</li> <li>• Mediation</li> <li>• Negotiation</li> </ul>	You are fully committed to using the results in all but the most extenuating circumstances
4. Extended involvement	<ul style="list-style-type: none"> <li>• Advisory groups</li> <li>• Task forces</li> </ul>	You seriously expect to implement most of their advice
3. Consultation	<ul style="list-style-type: none"> <li>• Community Meetings</li> <li>• Conferences</li> <li>• Workshops/problem solving meetings</li> </ul>	You want to understand them and value their views and input
2. Information feedback	<ul style="list-style-type: none"> <li>• Briefs</li> <li>• Focus groups</li> </ul>	You want them to understand and support your programme
1. Public information/ education	<ul style="list-style-type: none"> <li>• Advertising</li> <li>• Newspaper</li> <li>• Posters</li> </ul>	You want them to know and understand about it

**Source: Adapted from Wight 2004 p56**

These are reported in consideration of previous discussions provided through Table 1, (p.79) as to the types of communication and influence that can result from the techniques used.

Levels one and two are predominantly of one-way dialogue, based on education and informing. Level three is of two way dialogue and founded in the provision of information from communities to institutions and vice versa. Levels four and five, infer two-way dialogue and the implementation of communities ideas and views of varying degrees.

In comparison with the model of community participation and influence shown in Table 1, p79 whilst two levels of community participation can be seen in terms of influence, Wight's continuum shows a void of community control and empowerment previously reviewed as strong levels of participation (Arnstein 1969; Pimbert & Pretty 1997). In fact, in the protected area context, Wight's continuum emphasises the institutional lead and infers institutional control over decisions to be taken and objectives to be considered.

This view implies a degree of contradiction to the governance principles of: equity of benefits, authority and responsibilities (IUCN 2003 a, b and c; Graham et al. 2003a and b), and subsidiarity in decision making processes (Borrini-Feyerabend et al. 2006), that are targeted to work towards a balance of decision makers and power (IUCN 2003 a, b and c; Graham et al. 2003a and b). In addition, whilst the importance of inclusionary principles (Borrini-Feyerabend et al. 2006) is evident, collaborative management is not. This, as presented in *Section: 3.3.5*, requires that a partnership is based on the **sharing** of management and authority (Borrini-Feyerabend et al. 2006).

As inferred by Wight's continuum (2004) and by Graham et al. (2003b), protected area values, invariably embedded in the rule of law, can conflict with the views of the local community. Thus, they have the further potential to contain the level of influence afforded to a local community requiring fair and judicious decisions to be taken by the national park authority and other appropriate agencies.

Moreover, Richardson and Connelly consider that in a rural area, additional influences can derive from externalities relating to political, social or economic drivers. These may initially appear to have no direct effect on the National Park or its community, but may hold the potential to influence decisions taken by the lead institution and by the stakeholder community (Richardson & Connelly 2002). These points emphasise a level of extra considerations between governance and community participation in

the general context with the protected area context and additional constraints on levels of community participation and influence. Also, further levels of contradiction in prescriptive literature in this subject are considered especially in terms of just how much influence can actually be exerted in a protected area by the local community.

### **3.4.5 The collective priority, the participants and wider community engagement**

As in general socio-political contexts, collective models of community engagement through community groups, networks and collaborative partnerships are predominant in protected area governance. Furthermore, limited information has been found on participant characteristics and reasons for their degrees of participation in protected areas and specifically in National Parks. However, as Lockwood and Kothari consider (2006 p51) ‘...socio-demographic variables such as age, residential location and wealth may be correlated with individuals’ attitudes and values for natural environments.’ In consideration of Parry et al.’s survey (1992) and respondents’ emphasis on environmental and planning interests, these motives may further encourage community participation.

Nevertheless, as previously discussed, due to the potential for the development of supportive communities and opportunities for enhanced social interactions in forest areas, (Morris & Urry 2006), a culture for collective action is suspected as social capital is viewed to be particularly strong in protected forest environments (Witasari et al. 2006). This suggests a further prospect for increased levels of collective participation in local decision-making. However, conversely, as also previously discussed, motivation to participate in sustainable agendas alone has proven to be minimal and therefore outcomes of the limited community participation created have the potential to have not been representative of the wider communities’ views (Buckingham-Hatfield & Percy 1999; Parker & Selman 1999) and to an extent question the democratic legitimacy of decisions taken. Ultimately however, in consideration of previous discussions as to public demands for alternative participatory processes and trends in individualism (see p.72), together with the evident extensive use of collective community engagement models used in protected areas, a fundamental question is raised as to just how realistic strategies in this context are for wider community engagement to be achieved.

### **3.4.6 The wider community and the pejorative effect of social capital and the collective majority**

One particular study which is particularly relevant due to the similarity of the context to that of this research, has introduced an alternative perspective on social capital and its collective force. This work

resulted in providing a typology of levels of participation. The research, conducted by Buchecker et al. (2003) has provided some enlightening perspectives of participants and non participants in village rural communities; the results of which parallel a debate that ‘...the same strong ties that bring benefits to members of a group commonly enable it to bar others from access.’ (Portes 1998 p15).

The research positively refuted that apathy was a reason for non participation. But it did equally conclude that although people may strongly identify with their local community and area, unlike aspirations of social capital asserting this identification, (Buchecker et al. 2003; Serageldin & Grootaert 2000) to be based on for example, cohesiveness amongst the community of social values and social trust, (Adam & Roncevic 2003) participation may still not result. Indeed Buchecker et al’s work showed that ‘...residents’ persistent identification with the village community (was) connected with a pressure to adapt to collective standards...’ and views (2003 p29). Thus, rather than encourage, it deterred some members of his typology of participants from engagement partly in fear of being ostracised from the village community, should their views be perceived to be different from the majority view on a subject. This situation was further argued to encourage and to be exacerbated by a detachment of these individuals from both their natural and social environments, from which it is asserted that the individual develops their own identity, values and needs (Buchecker et al. 2003).

The twist here is that Buchecker et al.’s argument, whilst supporting the genuine engagement of individuals in landscape development as a positive contribution to not only landscape management, but also towards increasing social capital in a rural community, shows, as considered previously by Portes (1998) a negative side of social capital and it’s key mechanism of collective action. Indeed, this key feature of community participation, associated with aspirations for the enhancement of increasing social capital and for operating governance, can ultimately contribute to the decreases in participation indicated by some members of a community (Buchecker et al. 2003).

## **Chapter summary**

The Protected Area provides numerous social, economic and environmental benefits contributing to biodiversity conservation and to both the communities residing within its border, the neighbouring communities and in the case of National Parks, for the national communities. However, a key vehicle to encourage sustainable development in National Parks is through tourism and leisure development. A further key stakeholder is therefore expected in the form of representing views of tourists whose opinions are rarely captured in participatory processes, but are acknowledged to also have a right in the vision and future of the National Park. Sustainable development is advocated to be the key with which

to address internal and external challenges to these areas and in contrast with past approaches for the planning and management of protected areas, (Lacerda 2003), a focus on community engagement and collaborative management is endorsed. This emphasis is clearly recognised in the numerous international directives, legislations, conventions and agreements designed particularly since the Rio Summit 1992.

However, whilst community inclusion is asserted to support protected areas and their values, (Davey 1998), it is also viewed as a challenge. Key issues include the dual operation of the governing frameworks, their legislative steer on what can and cannot be achieved in a protected area and governance processes derived from the institutions charged with protected area management and with leading on community participation strategies.

Yet equally there are concerns over the motivation and ability of a community to participate. This motivation is argued to be generated from levels of social capital. Through enhanced social capital, greater community involvement is argued to result which encourages an exchange of information between the institutions and the communities that in turn is hypothesised to result in increased community support for the natural environment, its values and objectives. Consequently, through the community's increased values of environmental stewardship, the natural environment, through the sustainable use of its resources, is asserted to have the potential to reciprocally provide benefits to the local community by contributing to increases in both social *and* economic capitals. With growth in social capital, wider community participation is suggested to increase further through citizens' traditionally democratic associations with forms of collective action.

However, aspirations for this wider community engagement through the practice of collective action are considered to be problematic and opportunities for collective action are not wholly appropriate to encourage more members of a community to participate. As discussed in a review of participant characteristics, the wider community prescribed for discursive participatory engagement, includes members of the public who may well choose not to be part of a local collective. Buchecker et al.'s work has shown an influence on the wider community, encompassing those who do not participate or do so independently, could derive from the collective sense of the community itself which is endorsed and emphasised through the prescribed and institutionally encouraged membership to networks and groups, which are in theory, associated with any social capital developed and governance practiced. Converse to the levels of trust which are purported to develop in this context, an alternative outcome for some members of the wider community is mistrust of fellow community members. This pejorative effect of social capital's collective dimension is demonstrated where community disengagement is

evident and results from citizens' fears of being ostracised from their local community should they express alternative views on a given issue and thus be seen to not identify with the collective majority.

These discussions have highlighted some of the complexities that can be experienced in encouraging community participation in decisions relating to the natural environment so as to attempt to harness the numerous benefits purported from encouraging community engagement in protected area governance. Yet, as equally discussed, further influences on and challenges with community engagement can derive from the institutions' non adherence to governance principles and from the types of relationships developed between the community and the institutions. These theoretical discussions are considered in the design of *Chapter V* which provides a macro contextual review of the English National Park network and at the micro level, of the case study area.

## Notes

1. International Union for the Conservation of Nature: Founded 1948. Recorded as the World's oldest and largest global environmental network. It is formed by democratic membership comprising government, NGO member organisations and members of the scientific community.

2. The World Heritage Convention, the Ramsar Convention<sup>1</sup> and other global and regional programmes (Green & Paine 1997). . At an International level: the Convention on Biological Diversity (CBD) and the Convention Concerning the Protection of the World Cultural and Natural Heritage (World Heritage Convention – WHC). Other advancements include the Convention on the Conservation of Migratory Species of Wild Animals (Bonn Convention), the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) and the Convention on Wetlands of International Importance (Ramsar Convention) together with Regional Agreements (IUCN 2003 b).

3. United Nations Economic Commission for Europe (Includes Asia, Israel, Canada and USA)

4. Commonly referred to as the Aarhus Convention.

5. The case study area could additionally be associated with traits of a government protected area that holds responsibility for the area and determines its conservation objectives however: 'it may or may not have a legal obligation to inform or consult with other stakeholders': whereas co-managed protected areas, 'share management authority and responsibility amongst a plurality of actors.' (Borrini-Feyerabend et al. 2006 p199).

6. See: E Ostrom Governing the Commons 1990

## *Chapter IV- Methodology*

### **Introduction to chapter**

This chapter explains the research approach, process, methods and tools used throughout this study which originated from an examination of the considerable literature available on community participation in local decision-making. These works quoted the importance of broad community participation but provided equivocal and contradictory reports on levels of community engagement and disengagement (see below *Section: 4.1.2*). In this context, the aim to explore what precisely was occurring in community participation in the setting of a National Park was developed.

Research in this subject area essentially requires an investigation of context (Graham et al. 2003). This, as shown in Figure 6 below, is achieved through the use of a single and intensive case study analysis of the New Forest National Park, Hampshire. The research examines the implications of theoretical and empirical debates and explores degrees of participation in local decision making and thus examines just how much engagement/disengagement is actually occurring and importantly, why? In order to achieve this aim, the amount of participation, levels of participation and non participation also need to be established in the case study area.

To complement secondary research analysis and as part of the background research conducted in the New Forest, observations were made of a series of consultative forums. From these, contact with community group leaders as forum members was facilitated, through which further topical information on the specifics of governance and social capital experienced in the New Forest was obtained. In addition, their responses informed the design of the subsequent Surveys and topic guides used with two additional series of interviews conducted with members of the local community and with representatives of lead institutions in the case study area.

Informed by Kemmis & McTaggart's stance on a Habermasian *structure*<sup>1</sup> for the study of modern society phenomenon, this research on community participation resulted in an investigation of three core features: i) the institutional 'system' as the dual operation of government and governance practiced; ii) of social capital which includes a community governance/governing 'system'; and, iii) the identification and examination of the views of '...ordinary people...' on community participation (Kemmis & McTaggart 2000 p568 ) who in this thesis are referred to as the 'wider community'<sup>2</sup>. This structure facilitated the opportunity to isolate the two concepts of governance and social capital which are interlinked in practice, in research<sup>3</sup> and in theory many of their key individual principles are identical<sup>4</sup>.

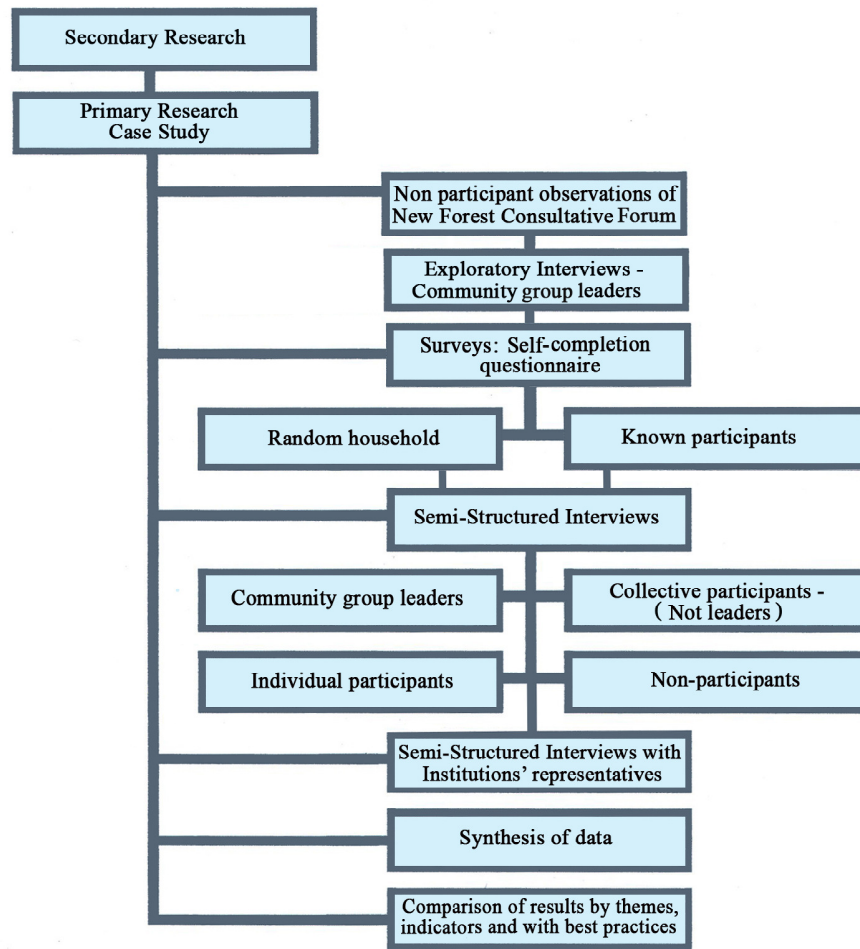


The research is placed in both the realms of political science, associated with governance and particularly a democratic government; and of social science, to encompass the community's views and the meanings that community participation has for those participating in this research. Inclusion of the political perspective has led to the use of indicative features of instrumentalism, political realism and communitarianism as paradigms. These indicators have further facilitated the opportunity to assess as contributory factors for participation/non participation, community perceptions of institutions and ultimately, examine just what 'community engagement' means for or is perceived as for members of the New Forest community involved in this research. These interpretations of community participation contribute to identifying reasons for community action or inaction (Parry et al. 1992).

A merger of ideologies results and is endorsed through the mixed methods approach used. For this an overall pragmatic stance is employed in the methods of data collection selected, the analysis and the interpretation of the results conducted.

The primary research commenced with a qualitative dimension of non-participant observations of the New Forest Consultative Forum. These provided current information as to the types of participatory processes practiced in the area, any overt evidence of governance principles used and current topics of community interest. However, an additional key aim of these observations was for the researcher to gain access to and network with community group leaders who were members of this forum so as to arrange the first series of semi-structured interviews of an exploratory design. The results of these interviews informed the work required for the positivist element of this mixed methods paradigm and the design of two self-completion questionnaires. Two concurrent surveys were conducted through both a random household survey of residents within the boundary of the New Forest National Park and a second survey of a group of *known* participants within the jurisdiction of the New Forest District Council. The results from these surveys, analysed quantitatively and interpreted, are further informed through the findings of interpretive research and the use of twenty semi-structured interviews with respondents from both surveys. These findings were qualitatively analysed and interpreted. As a final stage of research, semi-structured interviews were additionally held with representatives of the lead institutions in the New Forest.

**Figure 6: The sequence of research and data collection**



**Source: Author**

Analyses of both the secondary and primary data were guided by the development of 47 governance and social capital indicators drawn from the literature (see Appendix 1). The quantitative research encompassed descriptive and inferential statistics; and responses from all the interviews were analysed thematically.

Data generated from each of the methods used was synthesised and reviewed according to the governance and social capital themes and indicators used throughout the research. Results from the surveys and the interviews were compared with and interpreted against these themes and further discussed in consideration of theories and best practices advocated.

Discussions on each of these features are advanced in the following four sections.

*Section I* commences with a background review to the thesis, the development of the conceptual framework designed and the further development of the research questions. *Section II* discusses the rationale for the research paradigm selected in consideration of the research structure used to distinguish and analyse the key components of community participation in the case study area. *Section III* introduces the procedures taken. This includes details on the research approach of the single case study of the New Forest National Park and reviews the sample, the methods and analyses used. *Section IV* considers claims as to the validity, reliability and generalisability of the research in its entirety from which a brief acknowledgement of the limitations of this research is made due to the fuller discussion of these points in *Chapter VIII*. The section and chapter closes with ethical considerations and health and safety imperatives associated with this research.

## *Section 1: Review and overview*

### **4.1.1 Introduction**

This section discusses the rationale for the theories selected and subsequent formation of the conceptual foundation of this research. Gaps in research previously conducted in the field of community participation and especially in the context of protected areas and National Parks, are further discussed. This section closes with a review of the research questions developed.

### **4.1.2 Background review and the development of the conceptual framework**

The importance of community participation in local decision-making is particularly appropriate in the context of National Parks as it: supports objectives for social and economic development (Brundtland 1987; Ledwith 2005; Schuler 1996) through enhancements in social, environmental and economic capitals (Senior & Townsend 2005); is considered as a resource to contribute to the development of collective action (Stoker 2006); and is associated with both social and environmental justice (Ledwith 2005). Community participation is further asserted to contribute to providing opportunities to communicate and enhance the values of a protected area from the perspectives of key decision-makers. Through this, some degree of security is argued to be encouraged by which the concept of the protected area is asserted to be safeguarded (Phillips 2001). Influential parties are inclusive of politicians, government officials, other members of a financial or strategic direction, and essentially members of the local and neighbouring communities (Eagles 2002; IUCN 2003 c; Phillips 2001). Clearly, in the case of National Parks, objectives for increasing the perceived value of these areas must surely, in a democratic society, albeit in the case of the UK, a democracy fashioned on both a representative government and participatory ideals (DCLG 2008), further extend to the national community. Yet as Richardson & Connelly (2002) argue, whilst a range of stakeholders can be involved, this breadth of engagement and the integration of a local-national framework to balance a variety of stakeholder interests alone ‘...requires careful attention...’ and is in itself just one dimension of community participation that can be problematic (Richardson & Connelly 2002 p56).

There are many equally difficult facets of community engagement and participation including, decisions as to how capture the often wide-ranging views of a diverse range of communities. And, once engagement has been established, challenges arise in terms of building consensus amongst quite disparate members of, for example, participatory forums<sup>5</sup>.

These and many other components of community participation have been the subject of previous research, most of which, in the topic of protected areas, has concentrated on case studies centred on local communities in Less Developed Countries<sup>6</sup>. Far less attention has been paid on the European context, which is considered ironic, mindful of the established democracies and purported histories of both community participation and the National Park concepts in this continent.

However, of the research conducted in the UK, and focused on a primarily institutional perspective, research has predominantly derived from the Department of Communities and Local Government<sup>7</sup> (DCLG), the Home Office<sup>8</sup> and numerous publications are available that evaluate the quality of participatory methods and the process of community participation<sup>9</sup> in itself. Similar attention has been paid to community perspectives on participation. Again, key works in the UK have derived from the DCLG, the most notable of which has been conducted nationally since 2001 through the Citizenship Survey.

Whilst these particular works are notable in terms of their coverage of both governance and social capital principles, (the latter of which are categorised under objectives for social cohesion – Lyons 2006), they have not used the full range of principles advocated in theory<sup>10</sup>, and their use as an accurate review of local contexts is limited. As all authors associated with both governance and social capital research asserts<sup>11</sup> context is an imperative which necessarily requires attention to key sociological, political, economic, and in the case of a protected area, environmental features of a local area and its community. All of which to varying degrees are considered to be of some influence on levels of participation/non participation demonstrated.

Yet, an additional and equally important factor is wanting in these DCLG studies (2006). This associates with the definition on and subsequent reporting of only two of the four overarching levels of participation that can, as discussed in *Chapter II*, pp 78 to81, be demonstrated. Participation levels include leader and collective categories, as clearly investigated in the DCLG enquiry. However, a third equally important category of participation is of ‘individual participation’. Members of this category are amalgamated by the DCLG within the collective category. Given that a definition of individualism is denoted by an individual’s action *aside* from a collective group (Debicka & Debicki ca. 2005) this is a feature of the DCLG study that requires cautious consideration of its Survey’s findings. Further, non participation does not appear to be of direct consideration but inferred by the DCLG’s focus on potential characteristics and reasons for *participation*. Moreover, an alternative DCLG study considers non participants as those who *do* participate albeit infrequently and apart from, for example, traditional collectives and groups (DCLG 2007a).

Such anomalies of research in this subject could quite feasibly be considered to explain the degrees of contradictory reporting on the amount of participation occurring within the UK that are frequently apparent. For examples, the DCLG report of 2005 states that nearly seventy percent of the English population have participated at least once in the previous twelve months. Yet voting patterns, asserted as indicative measures of local participation (Parry et al. 1992), are universally demonstrated to be decreasing! (Debicka & Debicki ca 2005; Moran 2005; Mulvey 2003; O'Toole ca. 2004; Travis & Ward 2002). At the same time, the projected image of national government is of '...communities in control...' conveying visions and inferring achievements of '...communities helping to shape regeneration programmes...' and working towards developing '...a vibrant participatory democracy...' (DCLG 2008 p1).

These elements of research in and prescriptive documentation on community participation are considered to be examples contributing to the controversy that is evident in both governance and social capital research (Jacobsen 2007). Much of which could potentially be addressed, it is argued, through a universally agreed list of definitions on what levels of participation can be indicated; universal agreement on defining governance and in practice, distinguishing this concept from government (Frederickson 2004); and potentially further, and especially in quantitative research, there is an equal imperative for agreement on measurement tools (see for example, Roberts & Roche ca. 2001).

As such, the critique previously presented should not be considered to be exclusive to the DCLG studies and indeed can be claimed of other research worldwide (Krishna & Schrader 1999). As Burton (2003) asserts, ordinary and less formal methods of discourse and engagement, receive far less attention to the commonly, and universally practiced forms of collective participation.

What is especially interesting, given the importance of community participation in the protected area context, is, as presented in *Chapter I* (p28 - 29), the rarity with which literature in this field appears to have resulted from any form of in-depth research, of *both* a quantifiable *and* qualitative nature. Additionally, nothing has been found to date to have included a broad review of *all* levels of and reasons for participation *and* non participation in the National Park context. In so saying, existing reviews and good practice guides (e.g. Govan et al. 1998; Graham et al. 2003 a and b; IUCN 2003 a,b and c) provided starting points in this research with which to examine government, governance and social capital principles as of influence on community participation in the protected area, and specifically in the National Park contexts.

#### 4.1.3 The conceptual framework

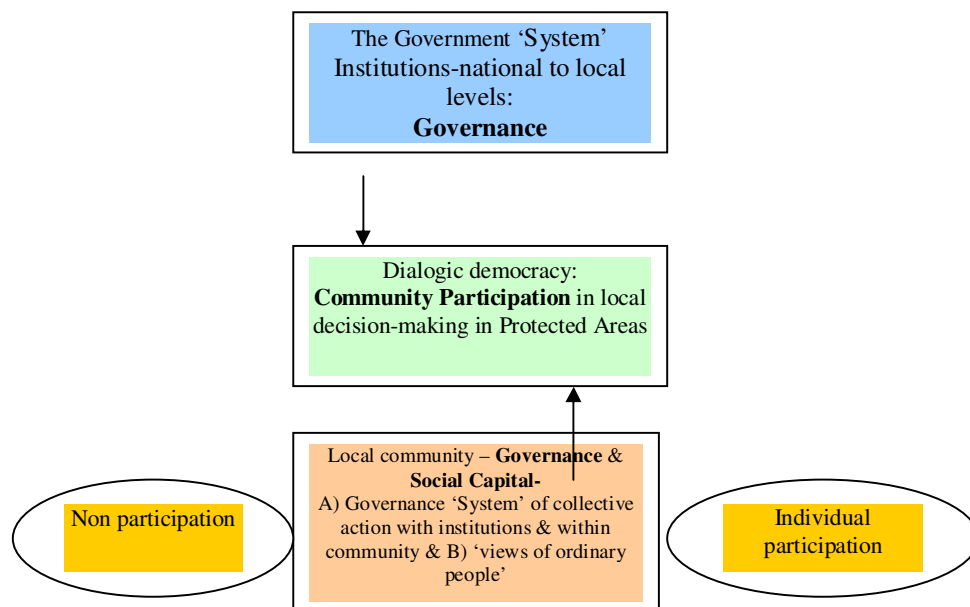
Given the paucity of published research available in the context of National Parks and protected areas, the DCLG 2005 Citizenship Survey was regarded as the most suitable work to consider in this thesis: a) it provides the most recent, academically robust review as to levels of and contributory factors for community participation in the UK; b) it was equally clear that the two streams of practice and of theory of governance and of social capital, initially highlighted by the literature review of this subject, and in the UK context through an examination of the politically revered Lyons Inquiry, were equally adopted in research by the DCLG as of influence on levels of participation. As such, these theories were further considered more than appropriate for use in this thesis; c) by using similar research methods and indicators used by the DCLG of governance and social capital, a further level of comparability of this thesis' findings with those of the national benchmark data is provided; and in turn d) with the findings of the DCLG being highly comparable with those of this thesis, a degree of verification as to the reliability of the results interpreted in the case of the New Forest was provided.

Thus, the theories of governance and of social capital were selected and comprise the conceptual framework used in this thesis as shown in Figure 7 below. These concepts are argued to provide the foundations for the development of a contextual environment founded on a 'dialogic democracy', amongst government and its institutions through governance, and with communities through enhancements in social capital. The resulting two way exchange of information emphasised through forms of collective participation, is considered to: create opportunities of both solidarity, demonstrated by collective action, and autonomy; provide greater transparency in government; encourage trust so as to communicate effectively and afford an interchange of views; and ultimately, to create order through dialogue amongst institutions and communities in local decision making with which a 'democratizing of democracy' is advocated (Giddens 1994 pp16-17). This Giddensian pattern of democratisation is evident in the concept of New Labour and its Third Way (Giddens 2000) and as discussed above, its principles are emphasised in the Lyons Inquiry 2006.

Lyons' seminal document asserts the dual operation of government as the institutional lead and political structure and of governance which is not defined by Lyons but seemingly aligned primarily to local level government, structures and processes, and institutions' engagement with communities. Through the further unquantified level but prescribed forms of both governance and community participation, key government objectives are ultimately and essentially asserted to achieve objectives which include: '...building and shaping local identity...'; of improved representation of community views; improved comprehension of '...local needs and preferences...', and in so doing, improvements are foreseen in the prioritisation of local resources (Lyons 2006 p43).

As such, this form of democratisation results from a fusion of governance, within government creating both representative and participatory structures and processes driven from the ‘top-down’ by lead institutions and their ‘systems’. However, Lyons equally asserts decisions to be informed from the ‘bottom-up’ with community engagement and a focus on primarily a further governance system of collective action. This second dimension is supported by the use of social capital principles of networking within the community and with institutions, which is facilitated by trust amongst participants (Lyons 2006). This framework is further endorsed through social capital literature as providing the foundations for a synergetic review to researching community participation (Grooatert & Van Bastelear 2002).

**Figure 7: Conceptual framework**



**Source: Author**

As Lyons states local government working practices must, for examples, include an ability to ‘...maintain...the cohesiveness of the community and support debate within it, ensuring smaller voices are heard...’, focus on ‘...working to make the local economy more successful, to support the creation of new businesses and jobs in the area...’ and ultimately work towards ‘...building ...local identity...’ essentially by encouraging opportunities for communities to want and to be able to participate (Lyons 2006 p39). Indeed, the concept of social capital is singled out as of crucial importance to the government’s vision of its modernization agenda and unlike governance is more clearly defined as



comprising collective action through ‘...social networks, shared norms and co-operative relationships that help us get along together as a society.’(Lyons 2006 p47).

This third dimension of the conceptual framework draws attention specifically to the local community level, which whilst depicted as separate from government, includes an element of a system associated with governance and government structures of collective action, led and comprising of members of the local community. Equally a parallel feature at this level includes a separate entity of the group classed by Kemmis & McTaggart (2000 p568) of ‘...ordinary people...who are interpreted in this thesis as those members of the general public as the wider community that are not associated with the formal community engagement models described by government of for examples, local partnerships and key forums.

The outcome purported of the connection of these three dimensions is the development of a participatory democracy, (Heywood 2000), advocated to be founded on collective action at grass-roots levels (Beausang 2002; Ledwith 2005; Putnam 1993). However, in recognition of concerns over a lack of wider community participation<sup>12</sup> (i.e. Burton 2003; Melville 2005), which further includes those who are not regularly if ever, involved in collective action, the conceptual framework includes people who either participate independent of the collective, as individuals, in recognition of increasing trends in individualisation (Barnett et al. ca. 2006), or those who do not engage at all. As discussed above, this component of this research is unlike other previous research conducted whereby non participants appear to be not of equal focus to the participants if even of any attention and data on individual participation is subsumed with data on collective action (see for examples, DCLG 2006a; LGE 2007; Melville 2005; Parker & Selman 1999). This feature of this research is depicted in Figure 7 above with the non and individual participants existing outside of the dominant democratic practice of collective forms of engagement.

#### **4.1.4 Questions of research**

The conceptual framework highlights three overarching dimensions to community participation. But as discussed in *Chapter II*, there are within these dimensions, varying degrees of discourse demonstrated amongst institutions and communities. These will be strengthened or weakened according to the levels of participation demonstrated by an individual and associate further with the methods of participation selected and categorised as of collective or independent forms of participation (Burton 2003; Moran 2005; Parry et al. 1992; Vetter 2007). As additionally discussed in *Chapter II, Section:2.3.5*, previous research conducted in the socio-political context has also demonstrated that levels of participation/non participation are not only affected by a citizen’s psychographic, socio-economic and demographic

characteristics but also by their perceptions of governing institutions, of governance, and by their perceived levels of influence on decisions to be taken. These are demonstrated by degrees of cynicism and can be associated with political efficacy which in themselves are further exacerbated by the methods of participation selected by a citizen (Moran 2005; Parry et al. 1992). Associated with these features, evaluative research as to the quality and extent of participation is additionally viewed as in need of attention (Burton 2003). Leading academic arguments in the protected area contexts also point or infer these features as contributing reasons for action or inaction<sup>13</sup>.

However, these influences on participation are taken from findings of nationwide studies<sup>14</sup>, and/or multiple case studies<sup>15</sup>, have concerned a general socio-political context, have, as discussed above, especially focused on the citizens who *do* participate and action is emphasised if not targeted on predetermined categories of people in a community considered as underrepresented in participatory processes. Far less emphasis appears to have been concentrated on the general public or on wider community engagement as a whole and even less appears to have been conducted on individual and especially non participation. What is especially notable is that nothing has been found to date that specifically addresses reasons for community action and inaction and the range of participation and non participation that can be demonstrated in the National Park context of both an in-depth quantifiable and qualitative inquiry and that encompasses research on both the institutions and the community. This study addresses these weak areas and gaps in research in the context and research approach of a single case study of a National Park and addresses the principal enquiry as to “*what is actually occurring with community participation in the case of the New Forest?*” As such, the following questions need to be addressed:

- What are the amount and types of participation being indicated and, just how much non participation is occurring? Cautions over community disengagement are emphasised by numerous authors (see for examples: Burton 2003; Kothari 2006; Melville 2005; Parker & Selman 1999). Yet knowledge, in the protected area context, appears not to have been quantified to any great extent.
- What are the characteristics, reasons for and contributory factors affecting both the range of participation and non participation that can be indicated? As such, can, for example, arguments that support the view that political efficacy and cynicism influence levels of community participation/non participation be identified in the case study area? (Almond & Verba 1963; Parry et al. 1992; Vetter 2007);
- And, how do community participation practices in the New Forest compare with the best practice guidelines advocated? Ultimately, through a comparative review and examination of institutions’ actions with best practice advocated (see IUCN 2003 a, b and c), a form of

context-specific measurement is provided. Through this, the emphasis and extent of community participation practiced, potentially wanted and if so, challenges arising that may prevent deeper and broader community engagement from occurring can be assessed. In effect, a perspective of the reality of the realms of best practice prescribed is introduced from which, as with the cautions on community disengagement noted immediately above, conclusions can likely be drawn as to the reality of practising community engagement in the case study area.

Finally, given the importance of increasing community engagement in the National Park context, the sum of this information not only addresses existing gaps in research, thus has the potential to affect theory in the protected area context, but equally has the potential to provide practical advantages. These result by providing data to institutions from which their selection and design of community engagement methods and approaches may be improved.

#### **4.1.5 Section I: summary**

As detailed in *Chapter II, Sections: 2.2.2 and 2.2.5* and reiterated in this section, a paramount feature of community participation from which achievement of its advantages can become at the least, active aspirations, is discourse between and amongst the institutions and the community. However, with the varying degrees of discourse, associations can be made with the range and levels of participation and of non participation indicated. These levels, as discussed in *Chapter II, Section: 2.3.5*, are additionally reported as derived from peoples' perceptions of the governance practiced and of their local community and have in other studies been further indicated to associate with people's characteristics. This means that in order to address the key research questions the approach to this research has required consideration of several ideologies. Indicative variables derived from these ideologies and comparable with those used in previous research undertaken comprise a research database with which to consider responses to these indicators as contributory reasons for participation/non participation. The amalgam of these ideologies together with requirements to address the research questions detailed above, both derive from and support the research paradigm and approach used and are discussed in the following section.

## *Section II: Approach and Rationale*

### **4.2.1 Introduction**

This section discusses the research paradigm used in this thesis. In so doing, it presents the ideological, philosophical, ontological and epistemological stances taken and considers debates as to alternative views of research associated with the subject of community participation.

### **4. 2.2 The Research Paradigm**

As previously discussed, community participation has both highly subjective *and* quantifiable features which combined, contribute to investigating why people do or do not participate in local decision-making processes. These features warrant that the research paradigm selected can support the range of data and methods required. As such, research in this subject from a general perspective, has encouraged a variety of approaches and perhaps also reflective of the political dimension inherent in this subject, a diverse range of worldviews on the subject are equally evident.

Two such paradigms, postmodernism and feminism, have been especially associated with researching this subject. In recognition that a range of opinions on topics of community interest and views on institutions are apparent, post modernism ‘...is sensitive to the different ways social reality can be constructed...’ (Bryman 2004 p267). This philosophical worldview questions the ‘...dispassionate social scientist...’, and accepts that the researchers’ view is not ultimate ‘... but one version of ...social reality.’ (Bryman 2004 p498). However, postmodernism tends to associate with disorder (Ledwith 2005) and results in a degree of uncertainty over any research conducted (Bryman 2004). This element of disorder is not considered to be an appropriate view on community participation as it is designed and organised within powerful structures of the governmental regime, of institutions who develop and encourage ‘systems’ of community order and within the ‘rules of law’ (Kaufmann 2005) which are of influence on community engagement. Further a degree of certainty is argued through previous research conducted which asserts that levels of participation can be associated quite clearly according to socio-economic, demographic, personal characteristics and according to levels of perceptions as to *political efficacy* and *cynicism* (see for examples: p63; pp81 to 84).

The second paradigm of feminism, although it recognises a predominant ‘system’ of government, appears to align its stance more with encouraging governance, less institutional emphasis and arguably relates to a more humanist perspective that relates the ‘...personal (to the) political...’ (Ledwith 2005 p 3) and emphasises ‘...cooperation and participation (as) respect (for) diversity...’ (Ledwith 2005 p

173). Ecofeminism further draws on this view and extends its values to include both environmental with social justice. This stance does therefore accord with consideration for the context and the value of protected areas, of their communities and *their* views ethically expected and demonstrated in Human Rights' decrees, especially with communities '...having a say...' in how their locality is managed (IUCN 2003 c p42 and d).

However, feminism is considered of concern for the level of prejudicial stance it can take on, in this case, the practice of community participation. This includes a feminist view that participation in the name of community development can prove to be superficial through its use by a patriarchal society as an exploitative instrument of the '...vulnerable...' and is especially considered in the context of the less developed world (Ledwith 2005 p174). These points are not directly of debate in this research. In addition, the use of this paradigm was considered to provide a particularly clear element of subjectivity to an already highly subjective topic. It further holds the potential to have prejudiced this work which has determinedly attempted to concentrate on the spirit of democracy in the western context and *not* to focus on any predetermined socio-economic category nor be unnecessarily drawn on political biases.

As such a paradigm was sought that: i) recognised community participation was governed and ordered by institutions; ii) with this ordering came opportunities to quantifiably investigate the amount and levels of participation being achieved; iii) public perceptions are of influence on levels of community engagement and as such, a need is emphasised to research often intangible but clearly subjective dimensions inherent in this subject; and iv) ultimately, a paradigm was required that could focus on both environmental and social imperatives **but** did not predetermine the research findings in terms of political biases nor specific socio-economic groups of a community. In recognition also that governance, social capital and ultimately community participation were all affected by the dynamics of time and politics (Hyden 1992), a structure was warranted with which to assess a snapshot of the current situation as to community participation in the New Forest regardless of any predetermined social or political classification of the respondents or indeed of the institutions. Thus, an objective view of this research was warranted together with a need to consider a wide variety of often subjective community viewpoints. As such, both a positivist and an interpretivist stance were considered to be necessary.

Most research in this subject has concerned a general context and at a national level, has taken a primarily positivist and quantitative research approach. As highlighted by Krishna & Schrader (1999) in the social capital field, the majority of research concentrates on positivism and the quantification of large data sets. However, this is to the exclusion of, or has the potential not to consider, contextual data at a local level. With governance, as is exemplified with DCLG 2006 Citizenship Survey, this

again at a national level, no doubt due to practical considerations and aims for large samples, equally takes predominantly a positivist approach.

Whilst these works provide for the breadth of responses and ultimately, extent of views on participation that can be reported, the findings do not provide for deeper insight and rationale for precisely why people do or do not act engage with participatory mechanisms. In so saying, an alternative approach of an interpretative and qualitative design cannot necessarily by themselves, easily provide for the number of responses warranted so as to fully evaluate the situation in the New Forest, paying due regard to the full range of participation and non participation that can be demonstrated in a community.

As such, a design of mixed methods and a pragmatic philosophical approach was considered the most appropriate approach to be taken. This afforded, as detailed below, opportunities to recognise that several methods would be required in order to i) attain a quantity of responses and ii) deepen the quality of the research and investigate research participants' responses (Creswell & Clark 2007) and iii) ultimately work towards reducing bias on the research by any form of predetermined view. Further, as the emphasis of this research is on real-world practice and the expediency of outcomes is asserted (James 1995; Roberts & Roche ca. 2001) the premise of this approach, as detailed further, addresses the original research inquiry to explore degrees of participation in local decision making and thus examine just how much engagement/disengagement is actually occurring and why. Thus, this inquiry has required the use of methods from both quantitative and qualitative paradigms.

This view considers that the research questions are the most important aspects of the investigation and therefore warrant the use of '...multiple paradigms to address research problems...' (Creswell & Clark 2007 p15). A practical stance is taken that '...embraces pragmatism as the best philosophical foundation for mixed methods research...' (Creswell & Clark 2007 p15). As further stated by Creswell & Clark 2007:

*'the focus is on the consequences of research, on the primary importance of the question asked rather than the methods, and multiple methods of data collection inform the problems under study. Thus it is pluralistic and oriented toward "what works" and practice.'* (Creswell & Clark 2007 p23).

The 'mixing' of methods that results within the pragmatic context, retains a form of order derived from pragmatism's central themes of context imperatives and practice (James 1995). As such, the paradigm and philosophical view themselves, associate with governance and social capital's own theoretical imperatives for context (Hyden & Court 2002; Graham et al. 2003 a and b; Parry et al. 1992). Further pragmatism associates with the importance of meanings (Dennet 1998) related to perceptions and

linked to actions on beliefs (James 1995 after Peirce 1878) which connects with key variables of influence on community participation associated with perceptions of for example, *political efficacy* (See Almond & Verba 1963; Parry et al. 1992; Vetter 2007). As intangible indicators, meanings and perceptions are argued to assist with how an individual ‘...makes sense of their world...’ (Edgar 2006 p107), recognises that ‘...people interpret the world differently...’ (Stoker 2006 p18) but also highlights the ambiguity of features of governance alone (Frederickson 2004). This concern is addressed in this thesis through the use of tangible and intangible indicators derived from the literature on governance and social capital. These indicators are representative of an amalgam of associated ideologies due to an implausible task of selecting one all-encompassing ideology or theory (Giddens 1994) to investigate in this case, community participation in local decision-making.

#### **4.2.3 Structure and distinctions of ‘institutions’ and ‘community’.**

This mixture of paradigms and ideologies extends through the similarities of the underlying principles of the two concepts of social capital and governance. This initially provided a dense and almost impenetrable review of the literature in these areas, exacerbated not least by the intangible nature of the sociological and political dimensions of community participation. This necessitated a research structure to be able to identify, examine and comprehend these and other associated facets of community participation.

Incorporating the social and the political, Besecke asserts that in the area of contemporary sociology a ‘...crisis of meaning (is considered to exist) in modern society...’, that communication is important and especially treats political processes such as democracy (Besecke 2001 p2). Of this school, Habermas, singled out for his views on the importance of communication and ‘...understanding the interests of others...’ (Bloomfield et al. 2001. p502), theorises that to comprehend contemporary society, it needs to be considered firstly from the perspective of the ‘system’ and secondly from the society’s perspectives (Habermas 1981a & b). Adapting these distinctions further, Kemmis and McTaggart’s (2000 p587) stance on Habermas, provides the structure for this thesis from which governance and social capital principles can be identified and community participation can be examined. As such participation is analysed synergetically<sup>16</sup>, from both society’s and institutions’ ‘...perspectives of (the) system....(constituting government and governance represented by) institutions, (regulations), structures and their functions...’; and in turn, from their perspectives of society and ‘...of the local settings in which we relate to others, making sense of ourselves, our co participants, and our relationships in the settings of family, workplace, neighbourhood and so on...’. All of which fundamentally warrant the views of ‘...ordinary people...’ (Kemmis & McTaggart 2000 p568).

This view critiques alternative approaches to research in the subject of community participation which considers either elements of the system primarily **or** that focus more on a social perspective. As interpreted further by Kemmis and McTaggart (2000) to provide a perspective, in this case of community participation, based on either the system's **or** based on the community's views, is not substantive enough to explain a phenomenon. Instead each perspective has the potential to complement the other (Kemmis & McTaggart 2000).

However, participatory processes are based on communication, advocated as a two-way process (IUCN 2003b) amongst parties. This results in communicative processes of engagement and discourse amongst the institutions, and in democratic contexts, extends further to and within a community. Associated with pragmatism (Joas 1993), the importance of this communication is adopted to consider a 'communicative rationality' amongst institutions and society members as a '...process of problem solving and conflict resolution through open discussion' (Edgar 2006 p. xvi).

As interpreted further by Buchecker et al. (2003) this discourse and process of negotiation extends to a system of collective groups developed within a community that can be shown to influence community engagement. From a positive perspective this community system has the potential to encourage opportunities for direct participation amongst society members through which '...identification, socialisation and social integration...' within a community can occur (Buchecker et al. 2003 p33). It additionally relates to key elements of social capital (Putnam 1993) *and* to the structures and governance opportunities facilitated by institutions and within communities (Parry et al. 1992) for the development of, for examples, community groups, societies and networks.

Whilst this aspect is positive in terms of its potential to encourage community participation, it does highlight that two systems function to encourage and/or discourage community participation. The first is the system of government and institutions and the second, a system within a community is developed of formal community groups and networks. These collectives encourage discourse amongst society members *and* further facilitate a community's views to be conveyed to institutions through interactive decision-making processes. However an alternative view is that communication can be impeded due to a 'system' and its restraint on the community; and through its rules and order, has the potential to '...colonise ...' a community through '...rules of (a) social system...', which can further undermine individual freedom and restrict society's actions and communicative skills (Edgar 2006 pp xvi- xvii). These negative features have been shown through Bucheker et al's research (2003) to pejoratively affect rates of participation with some members of the wider community being discouraged from taking part in community groups if not from participating at all.



Therefore in this thesis, research is on both the ‘system’ within the community, most evident through for example ‘community groups and networks’, and on the ‘system’ of participation placed on the community by the institutions. Yet in consideration that society also needs to be understood from the perspective of ‘...ordinary people...’ (Kemmis & McTaggart 2000 p568) the research additionally examines the perspectives and experiences of the wider community who exist *outside* of formal engagement processes and interactions between community groups and the institutions.

The ensuing result highlights distinctions can be made between the two ‘systems’ at the institution and community levels of the participation processes, ‘...so that each may bring relevant resources to the overall problem of understanding and explaining modern society.’ (Kemmis & McTaggart 2000 p589). To apply this perspective further to this research, the two concepts of governance and social capital are distinguished and their associated ideologies are used to characterise and investigate the ‘system’ of governance practiced by institutions’, the second governance ‘system’ of formal community groups derived from potentially positive levels of social capital, together with an examination of the views of the general public as the wider community on community participation.

#### **4.2.4 The qualitative and quantitative dimensions**

As discussed above, with the type of data required to address the research questions, a qualitative *and* quantitative dimension had to be further considered. The qualitative component meets with an emphasis on communication, the subject of community participation, as part of the ‘...social world, is one of meanings, not of causal relationships...and relies on the capacity of (an individual) to make sense of their world...’ (Edgar 2006 p107). As such to research this subject in a positivist manner ‘...is in error...’ (Edgar 2006 p106) thus, requiring the qualitative and inductive dimensions taken throughout the research framework designed.

Nevertheless, in recognition that society is steered or at least influenced by the political environment and institutional structures on governance (Serageldin & Grootaert 2000; Uphoff 2000) community participation can also be viewed as part of a natural and scientific world, requiring the social world to cooperate.

An equal debate concerns the epistemological stance taken. As discussed above, one argument serves to support the interpretative, inductive, and primarily qualitative method used to collect and analyse data on the outlook of respondents on community participation. However, it may not necessarily provide for the breadth or number of views required to achieve a primary function of this research and to test the theories, as part of a deductive process, through the working and statistical hypotheses

designed from the literature review. In addition, as Bryman asserts with interpretivism and primarily associated with phenomenological inquiries, research demands that the objectivity of the researcher should be addressed requiring ‘...the philosopher (to) bracket out preconceptions of his or her grasp of that world...’ (Bryman 2004 p13). In the subject of participation, which is influenced by a number of factors not least potentially informed political biases, this is likely to be controversial.

The number and breadth of views associates with the quantitative element of the research for which forty-seven indicative features of governance and social capital are adopted in this research (see Appendix 1). Whilst some of these characteristics are tangible as part of organizational structures and ‘systems’, many others are not. Those of an intangible dimension are founded on values, the meanings of and perspectives on governance-social capital features. As such these are further investigated through additional research layers of a qualitative design.

These considerations draw attention to the ontological perspective on community participation as both a social and political entity. This again is considered inclusive of efforts to address both an objective view and a subjective dimension to the research of which the latter is derived from respondents’ perspectives and fundamentally as to what participation *means* to respondents.

This focus on meaning and importantly context and the dynamics of time, as previously discussed, are key considerations for any review of community participation. As such, a constructivist element is clear accepting that ‘...social phenomena and their meanings are continually being accomplished by social actors...’ (Bryman 2001 p538). Thus, in consideration of the views of those researched, this research constructs ‘...a depiction of the reality...’ of community participation in the case study area at a specific time (Bryman 2001 p370).

Yet, as previously discussed there is an external world of influence on community participation which requires an examination of the institutional and community structures and systems that are argued to either encourage or negate participation. This element accepts that ‘...organisation has a reality that is external to the individuals who inhabit it...’ and that culture represents ‘...widely shared values and customs...’ in which people are socialized so that they function as ‘good’ citizens or as full participants...’ (Bryman 2004 p16). This perspective additionally considers that the *status quo* of the ‘state’ and its institutions has not been seriously challenged (Ostrom 1990). Institutions reign supreme as the lead on participatory opportunities created and control the level of influence which can be exerted by an active public; and within a community, a system of networks, as a key feature of social capital (Van Schaik 2002) further can affect wider community engagement. Thus a fixed structure and

rules have the power to encourage or deter community participation which can be measured in terms of both the numbers and the range of participation/non participation indicated.

This emphasizes the objectivist element of this research. A positivist stance whilst well-used<sup>17</sup> in the general socio-political context is still considered as 'naïve' in political science (Heywood 2000 p101). However, it does facilitate an opportunity to conduct an extensive study of community participation which by its nature, can be considered as a 'woolly' and vague concept (Frederickson 2004 p12). Additionally, it allows a deductive element of the research to be addressed in order to be able to examine the research findings, to test governance and social capital theories and working and statistical hypotheses developed so as to contribute to an assessment of the reasons why respondents do or do not participate in local decision-making and provide explanations for their behaviour (Bryman 2004). This feature contributes to the fundamental requirement of objectivity taken towards the data collected, its analysis and further in its interpretation, working to reduce concerns over bias on the part of the philosopher (Bryman 2004) on a topic which can be both politically sensitive and potentially contentious.

#### **4.2.5 Section II: summary**

The mixed methods approach and pragmatic philosophical stance taken in this research draws together elements of key ontological and epistemological considerations and the appropriate ideologies required to investigate both the governance 'systems' and society's perspectives on community participation. Furthermore, fully recognizing that this research subject is value-laden and taking a pragmatic stance on the research process, the inclusion of a positivist view *and* the interpretivist stance taken, contributes to acknowledging the multifarious nature of community participation and any associated concerns over the research process and its findings.

From this largely theoretical discussion, the following section presents the procedures implemented to conduct this inquiry. This includes details on the three key politically related ideologies selected that provided for some of the key indicative features used to analyse governance, social capital and ultimately, through an analysis of the practice of these concepts, community participation.

### *Section III: The procedures*

#### **4.3.1 Introduction**

Following a review of the origins of this thesis, the research strategy is discussed and the operational processes and the rationale for their use are presented. This section additionally discusses the indicative features of governance and social capital used through the research and the ideological and theoretical support for their use.

#### **4.3.2 Origins and aim of the inquiry**

The questions raised and the limited research in the context of National Parks, informed this research inquiry and its aim which is to: *'rigorously analyse community participation in local decision making in the New Forest, Hampshire, England'*. To achieve this aim, the following research objectives were developed to address the fundamental questions derived from the review of the literature.

Research objectives:

- To identify the degree of participation in respect of four categories: non participation, individual participation, collective and leadership participation;
- To critically examine and determine the characteristics of these four groups and the reasons for their engagement or disengagement in local decision-making;
- To identify what participation in local decision making means to the New Forest community;
- To investigate the context of the governance and participation opportunities established in the case study area and to examine the influences of these upon community participation;
- To compare and critically assess current governance and participation practice in the case study area with the guidelines and best practices recommended for protected area governance.

#### **4.3.3 Research approach**

A key approach to previous research in this area has been of a nationwide study and in the majority of such cases research has not paid full regard to the local context. This is considered to be particularly relevant in the context of protected areas (IUCN 2003 a, b and c). This is due to the high levels of environmental, economic and social capitals advocated to be found in protected areas (refer to *Chapter*

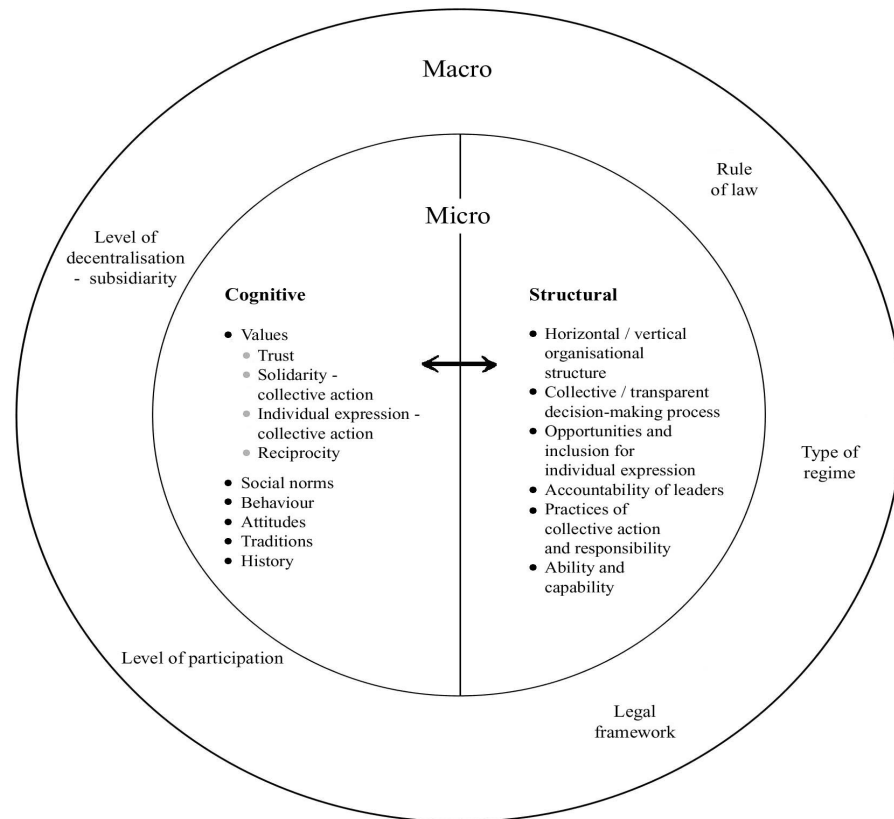
*III, Section III*); the complexity of practice in these sites encouraged not least by the diverse consultations required and numerous communities with whom the institutions need to engage (Refer to *Chapter III, Section IV*); and the potential for increased community engagement policies that could at the least, derive from the relatively recent focus on protected area governance (IUCN 2003 a, b and c).

The suitability of the ‘case study’ as a valid method is founded where theoretical concepts are embedded in the research as in this thesis, aiding the development of a ‘...rigorous...’ case study (Yin 2003 a p3). As Bryman further asserts, associated with ‘... the detailed and intensive analysis of a single case...’ the case study as an approach is well-used contributing to the collection of ‘...some of the best known studies...’ (Bryman 2004 p48). Its use in this research is further driven by the concepts of governance, social capital and their combined results for encouraging community participation, the latter of which is ‘...not readily distinguishable from its context...’ (Yin 2003a p4) and can be complicated due to temporal influences alone. Indeed, the element of context is argued to be a virtue in social capital and governance studies as it is: politically and socially constructed; demonstratively encouraged by institutions through a project based approach<sup>18</sup> to community engagement; is demonstrated in participation; and infers interpretation on a context case-specific basis (Adam & Roncevic 2003; Hyden 1992; Hyden & Court 2002; Kelly 2001; Graham et al. 2003b; Putnam 2002; Sarantakos 2005) .

This approach means that the relevant institutions and communities at the local level have needed to be of focus as both interviewees and specifically concerning the communities, as respondents to the surveys in gaining their views on their community and on the institutions and governance practiced. Nevertheless, in consideration that the democratic political framework, institutions, their regulations and legislation will either support or negate and thus influence governance and community participation in an area, the national level of government also needs to be reviewed. These areas of local and national influence on participation and ultimately, on reasons for action or inaction, are depicted in Figure 8 below with an investigation of the micro, as the local context, and the macro level representing the national and international context of government. This research model, asserted by Grootaert & Van Bastelaer (2002) and Krishna & Schrader (1999), supports an investigation of each of the components comprising the conceptual framework previously presented (*Section: 4.1.3*) by distinguishing the key features of government, governance according to the national or local context and associated with communities, of social capital. Initially, this research model visually depicts the macro level as the institutional context in which local institutions and communities operate. The micro level treats the aspired objectives of governance and social capital and the structures of local level institutions and of the local ‘system’ of communities indicated by formal community groups and

networks. The cognitive elements refer to the intangible aspects of governance and social capital (Krishna & Schrader 1999) and are investigated through both secondary case-specific documentary research and within the various stages of primary research conducted.

**Figure 8: Method for assessing Governance, Social Capital, and Participation in National Parks (MaGSPiN)**



**Source: Author** (Adapted from: the World Bank SCAT model - Krishna & Schrader 1999 after Bain & Hicks 1998; Uphoff 2000)

*It is important to note that the assessment made of governance and of social capital in the case study area does not equate nor aim to compete with some of the grander scale nationwide or international assessments and their numerous variables (e.g. World Bank<sup>19</sup>). This is due to a key aim of this thesis to adhere to an emphasis on local context and thus, only key contextual variables of influence have been selected on the basis of theoretical debates appropriate to the protected area and especially National Park context.*

#### **4.3.4 Comparative case studies versus the single case study**

Comparative case studies are not uncommon in this subject, although they tend to be secondary to national quantitative studies<sup>20</sup>. These studies are invariably associated with the subjects of governance or of social capital, on specific aspects of the processes or techniques and therefore, as Bryman (2004) states, tend to take a cross-sectional design rather than that of an intensive case study analysis<sup>21</sup>. Furthermore, there is a tendency to use secondary official statistical sources for data collection which as Parry et al. advise (1992 p32) tend to provide aggregate forms of results which say little ‘...about individual choices other than the overall result.’ Resources are also an issue, and complications can arise in terms of genuine comparability and an ‘...insensitivity to specific...contexts...’ (Bryman 2004 p53).

The subjects of governance, social capital and community participation are central concepts to this research and could have suggested that a cross-sectional comparative study took place. However, of equal importance to this thesis is the influence of the context of a National Park. In researching these concepts, an emphasis on context is advocated (Hyden & Court 2002; IUCN 2003b; Graham et al. 2003b; Krishna & Schrader 1999; Parry et al. 1992), due to the attributes of community participation, of social capital and of governance such as for examples, key subjective principles founding these concepts of ‘trust’ and ‘experience’. As discussed earlier, these elements are affected by the integrated, reciprocal influence of the three capitals of economics, environment and social, (Senior & Townsend 2005) which are in turn influenced by history, traditions, social norms and practices (Adam & Roncevic 2003; Hyden & Court 2002; Putnam 1993) all of which are individual to an area. As Richardson and Connelly (2002) emphasise particularly in the case of rural environments, there is no one framework wholly suitable in all areas. It is perhaps, no surprise therefore, that in terms of protected areas and National Parks, much of the literature reviewed to date is concerned with a single case study<sup>22</sup>.

#### **4.3.5 Rationale for the selection of the National Park**

Numerous forms of protected areas exist, however the National Park is selected as the most suitable of the range of protected areas in the UK for this study in terms of its complexities, practices, objectives and requirements for community engagement. This is due to: its unique environment and landscape, traditions developed, forms of economic reliance on this environment and culture and the inclusion of its numerous communities; its use as a tourism and leisure destination and the potential this holds for

conflicting objectives of development and access with those of conservation; the endorsement of community participation in decision-making practices including engagement with national and tourist communities; it being a protected area which is commonly inhabited, developed and managed; and in the UK context, an environment which is covered by increasing statutory rights to endorse community engagement in local governance. The result of this context has implications for the practice of governance and for the local communities participating and therefore, has the potential to highlight the advantages and issues expected in these areas with community participation. These are considered in terms of the conflicts that can arise in these areas over multi-use, multi political, community and individual agendas and perspectives. Decisions are formed and can be complicated by the planning and management objectives for the area and infer a multitude of perspectives on what is best. However, actions can be led by positivist management objectives (Pimbert & Pretty 1997) and steered by potentially conflicting directives based on social and environmental imperatives. In this environment, therefore, there is a potential for only so much influence and participation on the part of the community (Wight 2004) which could suggest that less rather than more participation could be demonstrated.

However and conversely, more participation than non participation may be seen. This is considered through the potential for increased levels of social identification with the area and the community, (Lyons 2006) with the National Park and its inherent environmental values as contributory factors to society and cultural identification (Lyons 2006). These are in turn considered to contribute to social capital and advocated to further encourage community engagement (Grenier & Wright 2005). Furthermore, the importance of governance and participation is emphasised in the National Park context due to the sheer amount of uses of the National Park, the importance of communities advocated in contributing towards biodiversity management and towards the sustainable management of the National Parks. Thus, it could be expected that on these points alone, unlike results from socio-political research, in the National Park context, more participation maybe evident.

#### **4.3.6 The New Forest National Park, Hampshire, England**

The outputs of this research represent the results of an intensive analysis of the single case area of the New Forest National Park with which to test theory. Thus respondents have been selected who live within or outside of the Park boundary but within the New Forest District Council's jurisdiction<sup>23</sup>. The MaGSPiN model shown above (Figure 8) is used for assessing the case study area and meets with the need to define a unit of analysis (Yin 2003 b). This is supported through the definition of the New Forest National Park's purposes which are aligned to a governance-social capital orientation (NFNPA 2005) thus is connected with the conceptual framework (see *Section: 4.1.3*). Subunits of analysis are



provided through an examination of the macro as the national and micro, as the local governmental influences on governance and social capital principles, and interests and motivations of the case area community. Therefore this case study represents an embedded single case study design (Yin 2003 b).

Whilst only designated in 2005, the New Forest has in effect, all but in name, been treated as a National Park by the community and institutions at a local, national and regional level (see *Chapter V* pp232 to 233). As also presented in *Chapter V*, this is demonstrated through for examples, the primary uses of the area including tourism, recreation and nature conservation, which is endorsed through the numerous statutory protected area designations awarded to this area during the 20<sup>th</sup> and 21<sup>st</sup> centuries. Furthermore, this area has a long history of influential public participation as demonstrated since the approval of the New Forest Act 1877; of more recent times, through public inclusion at numerous stakeholder groups, panels, in decision-making fora<sup>24</sup> (Refer to *Chapter V, Section:5.3.7*); and through recent public demonstrations against future plans for the management of the Forest<sup>25</sup>. In addition, as the most recently designated National Park<sup>26</sup>, and therefore with the most recently formed National Park Authority, it could feasibly be considered that its governance structure would follow best practice guidelines and therefore possibly more participation could be shown.

The potential for discrepancy in determining whether the research is of case study or of cross sectional design is not viewed in this work as the case area itself ‘...is the focus of interest in its own right...’ (Bryman 2004 p50). Further, as claimed in all governance and social capital theory, (Hyden & Court 2002; Graham et al. 2003b), the community’s views are in part influenced by the context of the area and considered as such in the context of the New Forest rather than this area itself being incidental (Bryman 2004).

#### **4.3.7 Validity, reliability and generalisability – Case study**

With regard to validity and reliability Yin asserts (2003 b), that these criteria can be applied in case studies; although Bryman states the value of these research criteria ‘...depends in (a) large part on how far the researcher feels that these are appropriate for the evaluation of the case study research...’ (Bryman 2004 p50). In this work the value is placed on the key indicators of governance and social capital in the case study area, the patterns of results indicated by participant group, and in full comprehension and support for governance and social capital theories and research considerations, context is emphasised and an intensive case study in this area is warranted.

One area of particular concern can be of *generalisability* or *external validity*. Case study researchers do not ‘...delude themselves that it is possible to identify typical cases that can be used to represent other (communities or areas)’ (Bryman 2004 p51). A case study and its sum of findings in themselves would not be generalisable to other areas. Nevertheless, an intensive analysis of the case study area has taken place. This is founded in the analysis of the appropriate theories, in testing the hypotheses, and ultimately, in associating the research findings with the concepts and their theoretical features.

However, the conceptual framework and research design, its models and analytical tools, comprised of governance and social capital indicative principles, can be transferred to alternative locations both in the UK and overseas. Thus, the case study is set in suitable research literature, addressing Yin’s stance on the case study approach that asserts ‘...that lessons from the case study will more likely advance knowledge and understanding of ...’ a topic (Yin 2003 a p3).

In addition, from the institutional perspective, the documents that have been sourced and institutional representatives interviewed, have comparable equivalents in other National Parks in the UK. These documents and representative roles will all have been influenced at the national level of government. Thus, whilst as previously discussed the Protected Area Authorities have a duty to work with communities, they do have some autonomy in terms of their community engagement strategies. Outside of this area, findings on the macro and national governmental context will be similar and therefore to an extent generalisable, on the proviso of consideration for the unique social and environmental distinctions of an area, and the dynamic nature of politics and its influences (Hyden 1992). This information links to the micro and local level of the case study area. Results from this aspect cannot be made generalisable as the local context will be of influence on the community’s perceptions of governance, on participation and on key features of social capital in the area.

#### **4.3.8 The use of both Quantitative and Qualitative methods**

In the protected area context case studies are commonly found to be of a qualitative format which, as with this research, does take a prominent place in the mixed methods approach taken. However, a quantitative dimension is equally evident.

This quantitative element and its deductive approach tests key aspects of the theories that suggest that where governance and social capital is enhanced that community participation will be overt (Hyden 1992; Hyden & Court 2002; IUCN 2003b; Putnam 1993); that perspectives matter (Parry et al. 1992; Vetter 2007), and constitute a reality of community participation for the participants (Kelly 2001).

These assertions were investigated further through a critical review of previous research and the indications that whilst governance and social capital are needed to encourage participation, perceptions on features of governance and on elements of social capital influence participation levels (Parry et al. 1992; Vetter 2007). Additional investigation in the socio-political field also demonstrated that socio-economic, demographic and potentially psychographic characteristics were also of some influence; as were also interests as motives to participate, particularly those based on planning and environmental issues (Parry et al. 1992). These claims led the inquiry to test the combination of these theories. As such, the working alternative hypotheses<sup>27</sup> used to test these theories are:

- i. *'levels of participation are not influenced by socio-economic, demographic and psychographic characteristics';*
- ii. *'levels of participation are not related to the respondents' perceptions on governance and social capital';*
- iii. *'apathy and disinterest are not reasons for non or limited amounts of participation' and*
- iv. *'local environmental concerns do not encourage community action'.*

The inclusion of a positivist dimension to the research, the hypotheses and the indicators of governance and social capital further contribute to address concerns over issues of ambiguity associated with the community participation concept. In addition, concerns as to researcher bias, which maybe considered deriving from the equally important qualitative dimension taken, can be minimised.

Given that an analysis of a person's participation is not only to understand their behaviour by quantitative means but also the reasons for their actions and that personal perceptions of political efficacy, for example, are highly subjective, a qualitative research dimension is equally emphasized. This component recognizes that the topic of community participation *'...is complex, diverse and pluralistic...'* (Sarantakos 2005 p2) derived from the breadth of the subject and its inherent often intangible features of social capital, of governance, government and democracy; the need to be context specific; the essential inclusion of community perspectives and their effect on participation; and ultimately, that there are complexities in measuring both governance (Santiso 2001) and social capital (Adam & Roncevic 2003; Van Schaik 2002). The mixed methods approach used in this research acknowledges that there are weaknesses in all research reviewed to date in this subject, which no doubt is exacerbated by a lack of universal agreement as to just how the subject can in fact be researched!<sup>28</sup>

This approach has resulted in a number of qualitatively oriented research layers encompassing: non participant observations; exploratory interviews to facilitate (Hammersley 1996) and inform the design of self-completion questionnaires and to assist in the clarification of terminologies and concepts; and a series of semi-structured interviews to access a deeper level of inquiry than could be achieved purely

from conducting the surveys. This qualitative dimension has ultimately resulted in a richer depth of inquiry and especially enhanced investigations as to community and institutions' perspectives on and reasons for participation in the case study area.

The research design resulting from this qualitative and quantitative approach, further supports the use of multiple sources to 'strengthen...' a case study (Yin 2003 a p83). Yet, it also provides for the antithesis to the argument that emphasizes a divide amongst qualitative and quantitative methods as paradigms and according to an epistemological position. As Bryman emphasises '...it is by no means clear that (they) are in fact paradigms (as features of each) overlap and (show) commonality between them.' (Bryman 2004 p453) and combined opportunities are created to facilitate each method used (Hammersley 1996).

This research design displays both similarities and differences to other research conducted in this subject area<sup>29</sup>. However, the work of Parry et al. (1992) has been particularly influential in this case. This is due to its positivist and quantitative features whilst also recognizing the importance of local contexts to participation which led to their use of six case studies and a series of interviews to enhance results from their surveys conducted and deepen their inquiry (Parry et al. 1992).

#### **4.3.9 Secondary data: theory, research framework, indicators and context imperatives**

From an initial review of community participation in both the socio-political and protected area contexts, and in support of the Kemmis & McTaggart's structure of researching the institutions, society, herein inclusive of the formal community groups *and* perspectives of ordinary people (see *Section:4.2.3*), attention was drawn to governance and social capital as isolated units of research. Taken from academic, government and institutions' sources, a further comparative review of each concept provided the opportunity to separate the key distinct and comparable principles of governance and of social capital. These formed the sum of key dependent and interdependent variables as indicators used to select relevant literature for each of the concepts, to select and analyse appropriate case study documentation, to inform key aspects of investigation and ultimately, to assess, through the methods and tools employed, community participation (See Appendix 1). A comparative assessment of these variables with research conducted primarily in the socio-political field and especially, with the studies of DCLG (2006a –g inclusive), Kelly (2001) and Parry et al. (1992), confirmed their suitability. These studies, incorporating indicative statements used in the Citizenship Survey 2005 and socio-political research conducted since 1992, guided the subsequent development of the exploratory interview topic guide, the Surveys, the Likert statements, and informed the questions and topics presented in the semi-structured interviews.

Overall the imperative for context, generally agreed by all authors in both the research fields of socio-politics and the management of protected areas has been consistently addressed. This is evidenced through the review of the national governmental context, its affects on national community engagement (*Chapter II* Section IV), through the local case study review (*Chapter V*) and as discussed further, has been enhanced through the selection of the research methods and tools used. In addition, an examination of working documents on for example topical issues of relevance to the National Park context was conducted. This is emphasised through the examination of Defra's research and policies on the affect of current planning reforms on the management and development of National Parks (see *Chapter V, Section:5.1.9*) and additional, location specific research commissioned by the Forestry Commission on an evaluation of existing consultation and forums practiced in the New Forest (see *Chapter VII, Collingwood 2007*) .

#### **4.3.10 Measurement and interpretation**

Associated with the quantitative dimensions of this research, with regard to measurement tools, whilst little has been found to date associated with defining 'good' governance, more examples can be found regarding social capital measurements. Nevertheless these are heavily debated as to whether or not this concept can actually be measured (see for examples, Adam & Roncevic 2003; Jacobson 2007; Robert & Roche ca.2001; Van Schaik 2002). As such best practice guidelines, findings from other recent research conducted in the general context, especially through the DCLG (2006a) and Parry et al. (1992), and institutions' adherence to governance and social capital principles derived from socio-political and protected area literature, have been consistently used to review activities in the case study area. These points of reference have provided a benchmark as to, for example, the effect of perceptions on levels of participation, and following the use of recognised analytical techniques of both the data originating from quantitative and qualitative research, they have further assisted with the interpretation of the data.

#### **4.3.11 A database of indicative features of governance and social capital**

As discussed above, the use of the governance and social capital concepts contributes to the structural framework used to assess community participation and discourse between the institutions and the community. This has facilitated the literature review of these two vast subjects and considerations of each of these concepts' influence on community participation. Furthermore, in consideration of the contextual study required, whilst this has afforded the opportunity to consider the subject from each of its aspects, the resultant sheer amount of literature has '... meant that the ensuing study has more

variables than data points...'; and as such, has further created the '...use of multiple sources of evidence...' (Yin 2003 a p4).

Managing this wealth of information and the analyses has been facilitated through the design of a number of indicative themes, variables and statements associated primarily with the two theories of governance and social capital. The development of this listing (provided in Appendix 1), resulted from a review of all relevant literature, through which an identification of variables asserted to be of influence on community participation, i.e. levels of political efficacy and cynicism, could be made. A database of these variables in both the socio-political and the protected area contexts was compiled and results were compared to further identify variables common and distinguishable to both contexts. Subsequently, previous research conducted was examined to investigate the use of these variables.

It is apparent, that all research in this subject uses identical variables to varying degrees, albeit slight differences were found in terms of the statements used to indicate i.e. the degree of social trust indicated by research participants. Further it was also apparent that regardless of whether a quantitative or a qualitative design/method was used, these variables were still used as indicative statements in the former case or as indicative topics in the latter, to varying degrees. These statements and variables were adopted in this study due to a consideration to compare this research's findings with research previously conducted by other researchers so as a) to provide a form of measurement and b) to develop a comparative discussion. Thus, a measurement tool developed, a deeper argument could ensue and a context and perspective resulted which otherwise, in recognition that no other comparable research in the national park context had been found, could not have easily nor perhaps feasibly, been made.

Additionally, as shown in Appendix 1, this database of indicative principles associated with community participation, hereafter referred to as the '**Database of Indicative Principles**' (DoIP), further was used to make a constant association of primary and secondary research findings with the indicators associated with governance and social capital theories. Again, as the two concepts are extensive in terms of their dimensions, this constant referral to the indicators ensured that the research fixedly remained on track working towards the specific research objectives and aim. As such, the DoIP supported the qualitative and quantitative analyses, processes and their interpretation.

This database was complemented with an additional exploration as to the origins of the key variables. These were traced to the key philosophical debates of Arnstein (1969), Putnam (1993) and Giddens (1994) and previous research conducted especially, by Parry et al. (1992). Parry's work led to the

additional use of demonstrative features of communitarian, realist and instrumental theories, discussed below.

The result has been the development of a comprehensive range of characteristics required to encourage community participation comprising forty-seven dependant and interdependent variables used as either indicative themes or statements of views on community participation. The full range of variables is presented in the database and are categorised according to six themes and 36 sub-themes reflective of their association with either the community or the institution (see Appendix 1).

#### **4.3.12 Communitarianism, realism and instrumentalism**

Three theories additionally supported the design of the DoIP and provided for a more comprehensive review of indicative governance and social capital themes and variables. The first of communitarianism is demonstrative of the style of community participation advocated in the UK and is focused on collective action and informed by a partnership approach of state with community (Giddens 1994). The second perspective of realism highlights an institutional view that extensive participation is a destabiliser of democracy and that most citizens are simply disinterested (Parry et al. 1992). Whilst this view derives from a previous era, it is still evident today with institutions who view a lack of public involvement due to disinterest and associated with apathy (Richardson & Connelly 2002).

The third stance entails an instrumental view and concerns motivations to participate. Unlike communitarianism, this perspective considers all levels of participation inclusive of those classed as averse to traditional collective action. It acknowledges that ‘...a number of social forces...’ are emphasised as affecting the will to and perception of participation that affect an individual’s confidence to participate (Parry et al. 1992 p9). These influences include levels of *political efficacy*, constituting a citizen’s view on their level of influence on decisions to be taken; of *political cynicism*, referring to a person’s views on institutions and their business (Parry et al. 1992; Vetter 2007); and both are associated with *trust* of institutions (Parry et al. 1992). Further features include an individual’s background, skills and resources and contribute to a socio-psychological perspective of instrumentalism. An additional, economic perspective emphasises the influence of context. This considers that the range of participation levels is influenced by the direct interests of individual needs as opposed to the ‘...broad civic orientation...’ shown through collective action (Parry et al. 1992 p10). Whilst this view associates with communitarianism and its collective focus, it is considered to extend further to include the range of participatory processes, interests and reasons for and perspectives on participation from those who do and those who do not choose to participate.

#### **4.3.13 Social capital: *trust* and *socialisation***

Social capital, although comprising numerous features, is arguably difficult to develop into any form of tangible construct from which indicators can be easily identified. This is due to the intangible nature of its features (Jacobson 2007) but also the evident use of its principles in discussions on and theories of governance which whilst emphasising the importance of for example, social trust and networking, do not directly and consistently appear to attribute these features to ‘social capital’. Furthermore, a debate is more than evident in terms of its measurement, (Adam & Roncevnik 2003; Van Schaik 2002). However, two particular themes informed the indicative statements devised in this research and were selected due to their attributes aligned to this research design and imperatives to study participation inclusive of the community systems and the wider society’s perspectives (see *Section: 4.2.3*); their evident use in the literature reviewed and especially in key socio-political research used in this thesis to provide comparative discussions and a benchmark/measurement tool (see DCLG 20056a). The first was of *social trust* amongst the community (Adam & Roncevnik 2003; Putnam 1993; Van Schaik 2002). The second concerns *levels of socialisation* (Van Schaik 2003) and participation in civil society (Buscheker et al. 2003; Putnam 1993) most commonly researched through the availability of and membership to networks and groups (Buscheker et al. 2003; DCLG 2006 a; Van Schaik 2002). Both of these themes are especially singled out in research on this subject ( Adam & Roncevnik 2003)

#### **4.3.14 Personal interests and motivations**

Associated with an instrumental ideology, personal interests and motivation to act on specific issues can also play a part in encouraging community involvement (Kelly 2001; Parry et al. 1992). This was indicated in previous research highlighting community, political, personal and environmental interests could be of relevance (Parry et al. 1992). As such, each of these areas are included in this study and considered to be particularly appropriate given the National Park context.

#### **4.3.15 The range of participatory processes and their effect on participation**

In recognition that methods of participation can also affect the range of participation indicated and is depicted in levels and patterns of participation, (Arnstein 1969; Parry et al. 1992; Pimbert & Pretty 1997; Wight 2004) the most commonly used types of participation were identified and examined through the design of two further research tools: the ‘Scope of Participation’ (Table 1) based on participation in a general context; and the ‘Range of stakeholder involvement approaches and selected techniques’ in the protected area context (Figure 5). These tools combined, consider the characteristics of the participatory method, its objectives, the level of participation aimed for and the level of



influence it can provide for the participant. The development of the former comparative tool was achieved through a review of two participation models, Arnstein's Ladder of participation (1969) and Pimbert & Pretty's more recent 'Typology of Participation' (1997). The model used in this study is a combination of these ranges of participation and has been updated to include levels of *individual* and non participation.

#### 4.3.16 Levels of participation

Following the design of the 'Scope of Participation', (Table 1) and through a series of non participant observations undertaken of the New Forest Consultative Panel<sup>30</sup> meetings, it was apparent that Schuler's (1996) principle for community leadership, (p.40) was exercised with each form of collective community action invariably being led by a community group leader. This resulted in two levels of participation as leader and collective denoting membership to a group but not in a leadership role. Equally, non participation was evident informed at the least by reports of community disengagement (Burton 2003; LGE 2007; Melville 2005). The individual level was informed by personal and working experiences but primarily developed in consideration as to debates of increasing trends in individualism' (Debicka & Debicki ca. 2005 p1; see *Chapter II, Section: 2.2.6*). These levels are identified in Box 1 and are the result of adapting UK Government definitions, primarily derived from the DCLG and the leading reference of the Citizenship Survey, informed by theoretical discussions and the literature reviewed.

#### Box 1: Definitions of levels of participation:

**Collective participation:** *the involvement of citizens in decision making in public services be that for the benefit of others and themselves or for their own benefit; to have participated once or more with regard to single issues or for long term objectives in the most recent 12 months. This includes traditional, collective participation through: citizen juries, consultative meetings, decision making committees, public meetings, members of forum, demonstrations, picketing; and of collective outcomes but demonstrative of independent action, citizen panels and signing petitions.*

**Individual participation:** *is marked by non collective action, such as through contact with a local MP, council officers or councillors.*

**Non-participants** *are those not involved in directly influencing decisions in community groups, partnerships, clubs, societies, religious bodies, faith groups, consultation processes or such collective forms of action for the benefit of others and themselves or solely for their own benefit; to have not participated with regard to single issues or for long term objectives; nor to have participated as an individual over the last 12 months. (Adapted from DCLG 2006a & d; DCLG 2007a<sup>31</sup>; DCLG 2007b).*

A need to adapt the DCLG's definitions was considered imperative as for example individual levels of participation were, in the DCLG research, amalgamated with collective action (DCLG 2006 a p.). And in a further associated report, non participation was defined as those who do participate but '...at a low level, such as ....contacting an MP on a particular issue.' (DCLG 2007a p 5). These two points alone were considered to have a strong potential to have inflated the amount of participation that could be identified in the case study area.

As discussed above, the definitions finally devised were influenced in their design through the literature reviewed, and the listing of key indicative statements and variables. They are simplistic but considered as most appropriate as they relate directly to the subject of community engagement in the UK context and its policies on community engagement. The interpretation of these definitions in this thesis is: *non-participants*, *individual participants* that is those demonstrating action but not as part of a collective group<sup>32</sup>; *collective participants*, associated with at least one form of community group and finally, *community group leaders*. As group leadership in traditional participatory forms in the UK, relates to some formalised form of group constitution, leadership has been equated to forms of committee membership.

For the levels of collective participation and leadership, there were at least 27 known and distinctive formalised groups in the case study area<sup>33</sup>. This required a further research definition to distinguish the most appropriate types of community groups for this research and is detailed below in Box 2.

#### **Box 2: Community group definition**

*Community group in this thesis excludes those groups which purely result in community participation demonstrated by 'voluntary hands on work or participation in a neighbourhood watch scheme, as these are not ordinarily a decision making fora nor are they undertaken strictly speaking, for political reasons. Furthermore specific contexts are not included with a focus on education, health and/ or volunteer input in implementing activities as these are not commonly demonstrative of schemes of influence. Rather they are a means of help to individuals or to a specified group'. (Adapted from DCLG 2006a; Wuthnow 2002)*

#### **4.3.17 Primary Data Collection - the selection of methods**

The key aim and objectives of this work required gaining access to a wide variety and number of people so as to capture the varying ranges of action or inaction that could be demonstrated in community engagement. Yet it also needed to include the broadest variety of community perspectives that could feasibly be expressed as to reasons for participation or otherwise. Nevertheless, nine further

fundamental considerations had to be borne in mind and were used to select the research methods, and subsequently the interviewees and design the sampling framework for the surveys conducted. These derived from:

1. a basic requirement to gain access to individual communities of participants and residents in the New Forest;
2. a need to access the databases of the NFDC and the NFNPA which permitted contact with residents in the case study area and a sample of known participants. Thus Data Protection Act 1998 regulations prohibited direct access to these groups and essentially required assurances of anonymity;
3. recognition that a culture of political discussion and engagement in Britain, is still, considered to be of the minority<sup>34</sup> and limited if compared with practices overseas (Moran 2005). Therefore, a further consideration of assured anonymity was considered to potentially result in greater responses of whichever research method was selected;
4. the subject is inherently concerned with meanings and interpretations of a potentially highly emotive subject area. Thus in discourse, and through the interviews, there was a potential to digress from the key research objectives and points of reference of this study;
5. a requirement that research in governance and social capital needed to be studied in context essentially in recognition of temporal, society and geographical factors (Parry et al. 1992);
6. a political ‘spin’ could have been contrived within the institutions’ literature;
7. a conscious need to incorporate a balanced view on the subject of community participation and thus contribute to a valid and more objective study;
8. consideration of people’s characteristics as likely to be of differing levels in terms of their self-confidence, ability and/or motivation to express (his) views; a situation highlighted by Buchecker et al.’s studies (2003) (see *Chapter III Section 3.4.6*);
9. and fundamentally, a research aim required to test a number of hypotheses.

All these points to varying degrees together with the requirement to test hypotheses derived from the literature, meant that this work, has included a quantitative element for which a key method selected was of a Survey and the design of two self-completion questionnaires. This design accommodated objectives to reach a broad number of residents and thus capture a breadth of perspectives on the subject. In addition, as a random household postal survey was essentially included, this survey also contributed to addressing concerns over anonymity, of a structured design, maintained focus on the core subjects and prohibited a potential for digression. However, it was also recognised that whilst the survey provided valid and appropriate data, further instruments were also required to consider especially point 4 above, focused on capturing the community’s interpretations of community

participation, and fundamentally elicit deeper information than the survey responses alone were considered to be able to achieve (Gillham 2000a).

Research previously conducted in this area was examined. This showed the use of a variety of surveys, and of a qualitative design, structured and semi-structured interviews and in more recent years, the use of Participatory Action Research and its aims for problem-solving through, for example, the use of focus groups (Bryman 2004; Kemmis & McTaggart 1994). However, this thesis has never had an aim to solve problems of community engagement but to purely investigate reasons why people do or do not participate in the National Park context. Further, with regard to focus groups, a key concern was for the potential for interrelational issues within the groups to develop (Bryman 2004). As personal characteristics and levels of assertion could have been an influence on a citizen's engagement, the potential of a dominant group member, cautioned in the use of focus groups, could have undermined another less vocal or assertive group member to contribute to group discussions. Thus, in consideration that non and individual participants in the case study area could have represented Buchecker et al.'s forms of anti-collective citizens, (2003) a) they may well not have attended the group meetings, and b) if in attendance, may well not have contributed or done so openly, to group discussions.

These considerations resulted in the selection of: a series of interviews that were conducted with representatives from each of the four categories encompassing participants and non participants; interviews with representatives from the key lead institutions in the New Forest; and as a first stage of exploratory study to address concerns over current information and assist with the design of the surveys, a number of observations of participatory forums and interviews with a sample of forum members representing community groups engaged in formal participatory processes with the institutions. These forum member interviews facilitated the additional opportunity to gain current information on community participation and potential reasons for community engagement in the New Forest.

The rationale for the use of these methods is detailed further in three parts, the exploratory stage, the surveys and a final research dimension of qualitative interviews. This is ordered according to the selection of the research method, its design, the sample, processing the data and the method of analysis used. As the analysis for each qualitative stage is identical, to avoid repetition, this is explained on pp 204 to 206.

### *Exploratory stage*

#### **4.3.18 Observations and exploratory interviews**

In consideration that community participation can be politically associated and is not only highly context but also time specific (Hyden 1992; Parry et al. 1992), a key initial exploratory period of research was conducted. This commenced with the researcher's attendance at three New Forest Consultative Panel forums<sup>35</sup> between November 2006 to May of 2007. This forum is the key vehicle through which communication is made between the NFNPA, the NFDC, and other governing institutions with community group leaders and parish councillors. Attendance at these forums was arranged on request to the NFNPA who provide the Forum's secretariat.

The aims of this attendance were four-fold: a) to acquire up-to-date knowledge on topics of participation and community engagement in the New Forest (particularly important in consideration of the dynamics of politics and an imperative to be case specific); b) to observe the governance and government processes used in action<sup>36</sup>; c) to address later concerns over access through networking with forum members in order to invite these leaders to a series of interviews; and d), through results from exploratory interviews with community group leaders, to use these responses to inform the design of the context-specific self-completion questionnaires. The first two aims necessitated the use of observations.

Also classed as of ethnography (Bryman 2004), of the merits of observation techniques and in consideration of the observation objectives, a key advantage achieved was of gaining access to the key form of consultation by the NFNPA and of community engagement in the New Forest. This forum created an opportunity, first-hand, of viewing the world of participation in situ and secondly, provided additional information as to '...what is happening in a particular (context) and situation and to suggest further ideas as to what is happening and why...' (Clark et al 1998 p140). However, this research stage could not be suggested to represent a full ethnographic study. Quite the contrary, the time period of researcher involvement through observations was only 6 months, involving attendance at a series of meetings, and other than contact with a small group of leaders from the institutions and the community groups, was not further extended to collate views of other forum members. Notably the research excluded investigating views of parish councillors who also attended these forums. This was due to the level of political bias that was considered could have the potential to develop in the later series of interviews, thus having a further potential to skew and bias the research unnecessarily.

The third objective of the observations was squarely focused on networking with forum members to access a relatively small but important and influential group of the New Forest participatory community. Following on from the forums, invitations were made to the researcher by a sponsor and gatekeeper (Dayman & Holloway 2002), to meet with Forum members and consider issues raised at the forums in an informal social setting. These invitations were accepted and provided opportunities at a later date to arrange a number of exploratory and semi-structured interviews with community group and institutions' leaders as discussed further below.

However, prior to the forums and these social events, decisions needed to be taken as to whether a covert or overt participation approach would be pursued. The institutions leading the forums were advised of my presence and the nature of the research. But as these meetings were open to all members of the public and the media, all of whom could make handwritten notes,<sup>37</sup> further notification of researcher presence to other members of the forum was, on balance, not considered appropriate nor necessary. The key advantages of taking a relatively covert stance meant that time was not lost in trying to reach all eighty plus forum members to seek their agreement on researcher attendance. Equally important, by conducting a degree of covert participation, those being observed were considered to be '...less likely to adjust their behaviour....(Bryman 2004 p296) and the researcher did not betray principles of sociological enquiry (Denzin & Lincoln 1998).

Disadvantages of covert participation, concerning taking notes and researcher anxiety, were also considered not to be relevant (Bryman 2004). All observers of these forums were able to record in manuscript format their notes of the forums' proceedings. However, it is recognised that there are ethical issues with covert participation. In so saying, as the forums were fundamentally public meetings, the principle of privacy was not invaded and the institutions organising the forums had been notified. As such, the practice of ethical research was not considered to have been compromised (Bryman 2004).

Thus, the design of observation selected was of a degree of covert and overt design and as Clark et al. 1992 assert a continuum does actually exist in real practice whereby '...approaches merge into each other.' (Clark et al. 1992 p139). A further consideration was whether to use participant or non participant observation for which the latter was chosen. In effect, this was a decision that simply put, did not need to be made. Not being a member of the Forum nor asked to speak at the meeting, automatically meant that participation was not invited, nor was it wanted or needed. It is recognised that '...this is perhaps the least satisfactory ethnographic form (of observation) in ethical terms...'

(Clark et al. 1998 p139). However, as stated above, instrumentally it was an appropriate dimension of the research design to address the research aim, and was not considered to affect the practice of research, as a) the lead institution was aware of the research being conducted and b) the forum is an open public meeting from which a record of each meeting is formally made and agreed by the participants.

As a formal public meeting, the choice of where the researcher sat, was largely removed from the research design as this was predetermined by the prearranged seating arrangements devised by the the NFNPA. Nevertheless, the seating arrangement of the forums was of a circular design affording full advantage to hear what was spoken, view the behaviours of forum participants, including facial expressions and consider the vocabulary used and tones of voice expressed (Spradley 1980). Each meeting lasted for up to 2.5hours and took place at the NFDC's offices.

Whilst numerous topics were discussed, only those relevant to the research were noted. This form of selective sampling was informed by findings from the literature review and indicative topics/themes and principles comprising the Database of Indicative Principles (see *Section: 4.3.11* above). In addition, the researcher had been a resident on the border of the National Park for ten years and had worked for local neighbouring local authorities since 2001. As such, 'hot' topics were already known. These concerned the management of the New Forest, and thus naturally included topics associated with nature conservation, recreation, access and as currently commonly found in many areas, topics associated with planning reforms and strategies, and specific case area topics associated with for example, support provided for the New Forest community, especially those of the Commoning community. Any key consultations, in terms of results and those being planned, were further noted. This is particularly important in the New Forest area, where numerous consultations are arising (see *Chapter V Section: 5.4.2.5*). These were considered to hold implications on the success, in terms of responses, for the primary research conducted for this thesis in consideration of problems over consultation fatigue that can arise (Richardson & Connelly 2002) and the effect that this could have had on survey response rates.

As digital recordings were not permitted in Council offices, notes of these observations were taken with pen and paper and a condensed account resulted (Spradley 1980) from key words used during the meetings by forum members. The analysis of notes taken was made thematically, as with subsequent interviews conducted (see pp 204 to 206 below), and by discerning evident subjects raised through the meetings. These were further collated into distinguishable themes.

During the transcription and analysis stages, these notes were expanded upon following the forums, and revisited to maintain familiarisation with the key topics and to refine understanding of the topics<sup>38</sup>. In addition, the interpretation of these observations was compared with other previous research conducted to consider how the Forum and other participatory processes could be improved (see Collingwood 2007). This comparison afforded some verification of interpretations made. These observations further informed topics included in the exploratory interview guide that focused on the level of influence felt by the community group leaders over decisions made at these forums; and questions as to the amount of consultations available to groups and implications that these had on group resources.

#### **4.3.19. Exploratory interviews**

More in-depth information on topics and questions arising from the forum observations were enabled through exploratory interviews. These lasted a maximum of two hours and were held with seven community group leaders<sup>39</sup> representing eight community groups associated with the New Forest Consultative Panel<sup>40</sup>. These interviews provided the first opportunity to examine in detail and according to the Database of Indicative Principles (see Appendix 1 and *Section: 4.3.11*), community perceptions and experiences of community engagement in the New Forest. This was viewed as an imperative as whilst common features are indicative of community participation from case to case, as previously stated the subject is context specific. Thus for examples, ‘social’ and ‘political trust’ of neighbours and of institutions, interpretations of current and past experiences of governance and government activities may relate to what meaning these have for an individual associated with how that person interprets their world<sup>41</sup>. As Parry et al. (1992) further suggest, these ‘views’ affect a persons *political efficacy* and level of *cynicism* thus their level of participation or *non* participation. Therefore, the results of these exploratory interviews were fundamental to gaining current case study information which further informed the design of the subsequent questionnaire and survey.

There were three aims of these interviews: a) to further investigate current topics encouraging/discouraging participation and community engagement in the New Forest; b) to gain perspectives on governance and government processes; and c) to inform the design of the self-completion questionnaires.

Although, interviews can be highly time-consuming, (Veal 1992), this method of collating further data was considered wholly appropriate as the prime research interest was in gaining ‘...the interviewees



points of view...' on community participation in the New Forest (Bryman 2004 p319). As the topics of conversation were all politically associated to some degree, discretion had to be assured and at the interviewees request, a degree of anonymity. Further, as in-depth conversations were encouraged, the researcher's previous interviewing skills were utilised to create a relaxed and flexible environment (Mason 2002) Interviewees were encouraged to ramble so '...insight into what the interviewee sees as relevant and important...' could be encouraged and '...rich, detailed answers...' could result (Bryman 2004 p320).

The interviews were of a semi-structured design, utilising key topics of interest in the New Forest and associated with governance and social capital principles used to guide the course of the conversations. Although an interview guide (see Appendix 2) was used, questions did not necessarily follow the order prepared. In addition, some questions discussed were developed during the course of the interviews following on from interesting points raised by the interviewee. However, '...by and large, all of the questions (were) asked and a similar wording (was) used from interviewee to interviewee.' and the focus was placed '...on how the interviewee framed and understood issues and events...'. (Bryman 2004 p320).

The **interview guide** was designed to essentially allow for a flexibility of discussions but also a '...certain amount of order on the topic areas...' was provided (Bryman 2004 p324). The interview questions were formed by introducing topics, follow-up, probing, specifying, indirect and by interpreting questions (Bryman 2004). In addition, open question techniques were employed to encourage full responses (Clark et al. 1992), and any leading questions were avoided.

To provide contextualisation of the interviewee, background information on all participants was noted as to their name, position in their group, gender, age, number of years they had held their post and their length of residence in the New Forest. In addition and prior to each interview, desk research was conducted on each of the groups that the interviewees represented. This further facilitated a contextualisation of the interviewee's work and the aims of the groups they represented (Bryman 2004).

Each of the interviews was digitally recorded following permission from the interviewee and transcribed verbatim by the interviewer as soon as feasibly possible (Bryman 2004). Whilst this was time-consuming, transcribing the work personally meant that the interviewer became even closer to the

data (Dayman & Holloway 2002) and a more comprehensive transcription could take place inclusive of for example, the tone of the interviewee's voice on a given subject (O'Reilly 2005). As O'Reilly (2005) advises, interviewers skills are imperative to remain attentive, responsive, flexible and be sympathetic to views that may not only verbally be conveyed but equally, conveyed by eye contact, body language and the tone of voice used.

During the course of the actual interviews, some interviewees were taciturn on certain subjects associated with their views of for examples, just how much influence they felt they had on decisions being taken, and in articulating their views as to how motivated they felt the institutions were in encouraging community engagement. This was overcome by the interviewer reemphasising the confidentiality of views, and discretion used in reporting on the interviews. In addition, each of the interviewees was offered the opportunity to review their transcript prior to any publishing of the thesis. This opportunity was not taken by any interviewees but discretion was requested to omit any particularly contentious points raised by the interviewee.

A consideration on the research design associated with these interviews was that all but three, at the request of the interviewee, were held in the interviewees' own homes. The advantages of this environment implied that the interviewee could be more relaxed in the privacy of their own home, thus, have the potential to provide information more freely. However, a key consideration concerned the safety of the researcher. Any risk was minimised by notifying colleagues of the researcher's whereabouts and time due to return to home/office. Two other interviews took place at the interviewees' work places and the third, in a local hotel bar. The first two interviews addressed any concerns over safety issues, though did have implications for the length of time allocated for the interview. In these cases, the interviews lasted maximum of one hour. With the third interview in the hotel bar, again safety concerns were addressed as in a public place. But there were implications for freedom of speech on the part of the interviewer and the interviewee, implying a level of constraint on at the least the level of voice used. In addition, the digital record of this interview was of concern as background noise could have been picked up and therefore affected the later transcription process. This was overcome by additionally taking hand-written notes as with all of the interviews conducted. Following each interview further notes were made as to how '...talkative, cooperative, (or) nervous..' the interviewee was and any points raised of further interest on community participation requiring later investigation (Bryman 2004 p325). Full details on the analysis of these interviews are provided in *Section: 4.3.36*, however suffice to say at this stage the analysis was thematic following a coding and categorisation of responses.

#### 4.3.20. Gaining access to community groups and group selection

The selection of the interviewees was based on the practicality of gaining access to community group leaders for the 27 known and formal groups in the New Forest who to varying degrees were known to participate in decision-making processes. The one key collective of these groups was the New Forest Consultative Panel. Contact with group leaders was facilitated through a *gatekeeper* (Dayman & Holloway 2002) who was previously known to the researcher in a social and working capacity as a lead member of the Panel. This gatekeeper introduced the researcher to group members attending the forums and in doing so, endorsed indirectly both the researcher and the nature of the research to the group leaders.

Members of other groups who did not attend the forums, were contacted directly by phone, email and/or letter (see Appendix 3 for example), from a list of groups and contacts provided by the NFNPA as the organising body for the Panel. From these introductions and correspondences, 7 interviews were finally made. One of the interviewees represented more than one group which, as reported in *Chapter VI*, is not uncommon to find in the New Forest (Section:5.4.3.4).

It is recognised that ordinarily details of these groups should be revealed, however, for reasons of confidentiality and at the request of the interviewees this cannot be done. As such, in line with ethical research, respect for anonymity and protecting the interviewees' interests, (Holloway & Wheeler 2010), these requests have been complied with. However, this omission of groups researched could be considered a disadvantage in at the least not providing further contextualisation to and background of the interviewees and their responses. Nevertheless, it is not considered to have affected nor biased the research to any great extent as regardless of the groups represented and following transcriptions made, there was a relatively consistent common thread of views and comments offered by interviewees and identified by the researcher.

These comments and responses addressed the first and second aims of the interviews in ultimately providing views and experiences of community group leaders on community participation, government and governance processes used in the New Forest. However, responses also informed the design of the surveys subsequently used in the primary research. The key points derived from these interviews, corroborated the governance and social capital indicators previously developed for the DoIP and considered to influence community participation. These included the topic of 'trust' of Forest

organisations', 'social trust' within the community, 'socialisation' and membership to community groups and a person's 'length of residence in the area'. All of which were notable in distinguishing the levels of participation/non participation in subsequent stages of the primary research conducted.

### *The surveys*

#### **4.3.21 The surveys and the self-completion questionnaire**

Community participation includes a political dimension and can, therefore, be considered a sensitive subject to approach. Of equal consideration to this research, a key aim has been to capture a broad number of both participants' and non participants' views. A structured self-completion questionnaire was considered the most appropriate tool.

The potential for a respondent to digress from the subject was minimised through the survey's design founded on governance and social capital indicators used in previous research conducted especially by the DCLG. The use of this questionnaire enhanced the quality of the research by reducing any concerns over interviewer effects and bias that could have been inadvertently exercised. It is also considered to have encouraged a greater expression of views, potentially perceived as politically associated, sensitive or controversial (Bryman 2004). A further key advantage of the Survey was the practical objective to gain a quantity of responses (Gillham 2000a) and to capture the breadth of the various forms of participation and non participation that could be practiced in the New Forest. In light of debates as to testing social capital alone, (Roberts & Roche ca. 2001), the use of a questionnaire, informed by the theoretically based indicators, (Adam & Roncevic 2003) many of which are similar to previous research conducted, has '...ensured that a wide spatial coverage (of the subject was) achieved...' (Roberts & Roche ca. 2001 p6). This breadth of respondents informed the reasons identified for community participation in the New Forest. These were associated with: communities' views on features of governance, participation and social capital in their area; the levels of participation demonstrated; data on the characteristics of the sample according to level of participation; types of participation most commonly used; and interests and motives to participate.

Survey research is ordinarily concerned with being able to generalise findings (Bryman 2004). However, by the very nature that the context of the work alone is case specific, the extent of this generalisability can only be considered with any degree of validity in the case study area itself (Bryman 2004). Although, as discussed above, it is appreciated that findings, associated especially at the national, macro level, may be similar to other National Park contexts in England.

#### 4.3.22 Design of the sample

Two research populations in the case study area comprised the total sample. The two key criteria used to select the sample were: a) to capture a range of respondents who displayed varying levels of participation including non participation and b) concerned with capturing data on respondents resident in the boundary of the National Park, and those resident within the jurisdiction of the NFDC.

In order to capture views of the wider public, a sample derived from a random selection of households resident within the Park boundary were surveyed (Sample A) to determine their views and attitudes towards community participation in the case study area. A decision was made early on in the research design process to additionally capture data from a known participant group as random postal surveys can result in very poor response rates and there was an initial expectation that there would be far fewer participants than non participants. This was facilitated through the use of the New Forest District Council's Citizen Panel (Sample B).

As previously detailed in the literature review, in previous studies non participation has been amalgamated with data on participation (see p174) and much of the focus on community engagement in the UK is targeted on specific socio-economic groupings and/or the hard to reach communities. These research designs are argued to provide inaccurate readings of at the least, community inaction and be potentially exclusive and may be argued as undemocratic in terms of not also targeting those classed as the hard to engage with communities.

With sample A, the likelihood of this sample to be representative of the New Forest population, is from a qualitative stance, considered to hold potential due to: the development of the sampling frame; there being a relatively homogeneous population in the New Forest; the timing of the survey; the use of a random household postal questionnaire; and the reduction of researcher bias (Bryman 2004).

However, caution is acknowledged as the representativeness of this sample has resulted in a hefty debate on sampling and population estimates as work in this context and area has not been conducted before so there are no previous studies to use as benchmarks. In addition, in terms of the need to have a characteristic group of participants, the NFDC would not permit a pilot which would have helped assess sample size. Therefore a relatively arbitrary figure of 1,500 questionnaires being sent to the random households was selected informed by previous studies conducted in this subject<sup>42</sup>. Nevertheless, given this context, a consideration regarding the accuracy of any sample size attained is associated with debates deriving from Godwin (1793) and of more recent times concerning the use of *government* and the practice of *governing* the community as opposed to *governance* that aims to

encourage a community to participate and claims to provide citizens with a degree of influence over decisions to be taken (Frederickson 2004; Graham et al. 2003; Parry et al. 1992; Santiso 2001). In practice, however, Government is the all powerful context over governance and as such, as Debicka and Debicki (ca. 2005) assert, it effectively has a strong potential to remove any responsibility of the public to participate and inhibits any degree of influence the public may have over decisions to be taken. If this is the case, community participation and motives for action/inaction is an area difficult to quantify and measure with any accuracy.

The result of these debates is that the samples have been worked in a quantitative format, using quantitative characteristics, but reliable estimates cannot be predicted and the measurement of this subject remains heavily debated (Barnes 1999; Jacobson 2007; Hyden & Court 2002; Roberts & Roche ca. 2001). Thus, a representative sample cannot ultimately be argued in the area nor outside of the case area itself<sup>43</sup>; however this is not the purpose of this research. Further as Bryman argues in the context of case study research, we cannot actually generalise beyond the research population itself and should not do so (2004).

With sample B, the respondents, derived from the NFDC citizen panel, cannot be put forward as representing the New Forest community as these individuals are voluntary members of the Panel, are regular participants of the New Forest community and have not been selected as a randomly selected representative group. The use of this sample is purely to consider whether or not there are differences or similarities in terms of responses made to statements posed to different participant types recorded in the two samples, and to consider the effect that these may have on the varying levels of participation.

#### **4.3.23 The sampling frameworks**

The framework for the random household sample A had to derive from the NFNPA. Due to the relatively recent establishment of the New Forest National Park Authority (NFNPA)<sup>44</sup>, and early issues with the development of the definitive boundary of the National Park, no existing map was available at this time nor could access be made available to relevant sources in order to create such a map. With full support from the New Forest National Park Authority, a map was designed specifically for this research with a GIS tool to intersect existing household data<sup>45</sup> held by the NFNPA so as to provide the sampling framework needed for the random household survey to take place. This survey focused solely on the 34,000 residents within the National Park Boundary. Following removal of any obvious addresses which would not be relevant to this research such as, for example, businesses and known derelict dwellings, a data base of 20,344 addresses was received and imported into SPSS. This database required further screening as incomplete addresses were included, and due to anomalies in the

NPLG database<sup>46</sup>, some addresses were unusual in the fact that they did not have a street name nor number but were only denoted by a landmark. From this, 1,500 households were randomly selected, further screened for imperfect address data and finally, 1,244 questionnaires were actually sent to the Householders.

A concurrent survey aimed to capture the known participant group (sample B). These 950 participants derived from the New Forest District Council's Citizen Panel<sup>47</sup>. An almost identical questionnaire to that forwarded to the random household sample<sup>48</sup>, was sent to the Citizen Panel, via NFDC. Due to restrictions created through the Data Protection Act (1998), access to this database had to be made through the Corporate Consultations and Support Officer of the NFDC. This meant that the contents of the questionnaire and its covering letter were negotiated during 2 meetings with the NFDC officer and numerous emails, finally gaining approval by the NFDC Executive. This sample of known participants encompassed residents living in the boundary of the Forest, on the border and outside of the Park boundary but all resided within the New Forest District Council jurisdiction.

Responses received from this sample were cross-referenced to the data held on the random household participants. The aim of this cross-reference exercise was to ensure that a member of the citizen panel could not also be represented in the database as a member of the random household survey. As the addresses for the citizen panel were not initially made available, this examination had to rely on other distinguishing characteristics of a given respondent. Thus, all the random household respondents who had stated their use of the citizen panel were selected and a manual comparative check was made to see if their precise data also appeared on any of the citizen panel questionnaires returned.

The combination of the members of the random household and the citizen panel surveys resulted in 2,194 questionnaires being distributed across the case study area of which 950 comprised of members of the new Forest Citizen Panel. A total of 744 questionnaires were returned of which 497 were from the Panel members<sup>49</sup>.

#### **4.3.24 Determining the sample size – Samples A & B**

As Bryman highlights (2004) there is no definitive answer as to the size of the sample, influenced by resources, the need of accuracy, and how much sampling error is to be accepted. However, Bryman equally asserts that most survey research aims to result in collating a multitude of approximations which means it is difficult to predict a precise sum prior to conducting the research (Bryman 2004).

As sample B respondents comprised of the total amount of people on the NFDC Panel database, the sampling fraction is purely associated with sample A. This sample was based on 34,000 (total population within the NFNP)/1,244 (total questionnaires distributed for sample A) which equated to 1 in 27 ratio of the population within the New Forest National Park being selected.

Consideration was given to how feasible it would have been to increase the number of participants and to re-contact the households of both samples A and B that did not return a questionnaire. With sample B, contact was fundamentally prohibited as the NFDC retained the household addresses under their commitments to the Data Protection Act. With sample A the random household, whilst addresses were retained by the researcher this would have meant the researcher visiting each house in the area. In consideration of the time this would have warranted and more importantly, considerations for the personal safety of the researcher, an impromptu house visit was not pursued. Following further debate, to have re-sent the questionnaires a second time to these households was also not considered an option. This was in part due to cost but primarily due to the amount of time this would have further taken<sup>50</sup>, and the potential for this second distribution of the questionnaires to conflict with local authority public consultations concurrently taking place in the New Forest. Thus in consideration of cautions over consultation fatigue (Richardson & Connelly 2002) these competing questionnaires/consultations had a potential to affect the amount of responses that may have been achieved for this research. Ultimately, however, and especially with no pilot being permitted, there was no assurance that an additional round of questionnaire distribution could have resulted in a greater number of responses. Furthermore, whilst there are multiple communities in the case study area, the New Forest Park population can be considered to be a relatively homogenous society. As such, this sample size was considered adequate as, taking Bryman's (2004) perspective on the designs of sample sizes, the amount of variation amongst the characteristics of the sample was considered to be minimal. In addition with the response rate of 247 questionnaires received on sample A (in sum, approximately 20% of the total questionnaires distributed to sample A), analysis to address the research objectives was considered adequate to consider through descriptive and inferential analyses and to make a comparative study amongst the four participant levels.

#### **4.3.25 Questionnaire design**

As shown in Appendices 4 and 5, the questionnaire sent to both samples was identical barring one filter question for the random household questionnaire, and the instructions on the covering letters (Appendices 6 & 7). The design of this questionnaire was informed by the database of principles and indicative variables constructed (see *Section: 4.3.11*). However, as also discussed above in *Section:*



4.3.18, it was further informed by findings derived from exploratory community group leader interviews. Another factor contributing to its design was the need for senior officers at NFDC to approve both the content and design of the questionnaire distributed to the NFDC Citizen Panel. A second opinion on the construction of the Questionnaire, language used, scales considered and topics presented, was also sought from an applied psychologist who had in-depth knowledge in the area of governance<sup>51</sup>.

The development of the questionnaire occurred during March to April 2007. This entailed trialling the questionnaire with friends, family and work colleagues to test for errors, omissions, difficulties on completion, adequacy of instructions, length and layout; and to review results in determining characteristics of participants and reasons for participation or not in local decision making. The results of this test informed changes to: the instructions and the description of community participation to 'get involved in local decision-making'; greater comprehension of how to select the appropriate socio-economic grouping; contributed to the refinement of the instructions on how to complete the questionnaire; and reduced the time for self-completion of the questionnaire to an average of 8 minutes.

Although it is fully recognised that a piloting process is important (Bryman 2004), this was not permitted by the New Forest District Council. As such, associates, work colleagues, and other committee members of the community groups, completed 25 pilot questionnaires. Nevertheless, the design of this questionnaire was similar to recognised surveys of the DCLG in both format, themes used and constructs of statements indicative of perceptions on governance and features of social capital.

Specifically of use with the random household questionnaire, for those who never participate or have not participated in the last 12 months, a filter question (Bryman 2004) was used to categorise non participants from participants. In addition, this avoided a respondent unnecessarily completing this question, thus reducing the potential for the respondent to be discouraged from responding to the research.

Open, closed and structured questions were presented in ordered themes according to the governance and social capital principles. Structured questions were presented in a horizontal format.

With the random household survey, and to be able to encourage the non participant to respond, opportunities were also created whereby the full scale of responses could be encouraged. As

commonly used in other research in this area, three-scale responses and five-scale Likerts were used ranging from levels of ‘agreement’ to ‘disagreement’ or ‘satisfaction’ to ‘dissatisfaction’ with the statement made. Responses of ‘undecided’ as to a particular question were also offered.

#### **4.3.26 Levels of direct measurements and indicators**

The decision to include a positivist dimension to the research called for considerations as to how community participation could be measured. The extent of participation is quantifiable as a direct measurement of the type and frequency of participation that the respondents reported and in turn addresses the second research objective ‘*to identify the degree of participation in respect of the four categories of non participation, individual participation, collective and leadership participation.*’ However, to address the third research objective and consider reasons for varying levels of participation/non participation, measurements required of the governance and social capital concepts and their features are at the best challenging to find and are more typically designed on a case-specific basis (Krishna & Schrader 1999). Furthermore, due to the subjectivity of these concepts, their interrelationships and their context specifics, Hyden and Court (2002) show that unlike economic or social development, governance **is** difficult to measure. This also infers implications for the measurement of social capital for which features of governance are included and can be viewed as indicative measures (Hyden 1992; Putnam 1993).

However by its very nature, ‘good’ governance is subjective and dependent on the perspectives derived of individuals, based on their personal experiences, interests and agendas (UN HABITAT 2002). As Parry et al. (1992) and Vetter (2007) demonstrate, these perspectives, associated with *political efficacy* and *cynicism*, are strongly related to levels of participation. To examine this concept and that of social capital, as presented in *Section: 4.3.11*, their characteristic principles were itemised, adapted from other research constructs<sup>52</sup> and tried and tested tools, and provided indicative variables with which to assess respondents perspectives (de Vaus 1991) in context and on community participation in relative terms (See Appendix 1). Through this assessment of perspectives, consideration is given to the respondents’ beliefs and feelings ‘...which may lead to particular behavioural intents...’ (Oppenheim 1992 p175). In addition, linking instrumentalism and political science with governance and attributes of social capital, and further corroborated as potentially important influences on community engagement through the exploratory interviews, three key themes centred on *trust* amongst the community, *trust* shown towards the institutions, and individuals’ levels of *political efficacy and cynicism*.

The respondents' perspectives on these variables were investigated using Likert scales as multiple-indicators of intensity of feelings towards statements based on governance and social capital principles. These have been used to assist in the indirect measurement of the governance-social capital principles, in turn of community participation (Bryman 2004) and contribute to testing the hypotheses.

Due to a requirement to place the variables in relative context and the importance of investigating a grouping of attitudes, (Bryman 2004; Oppenheim 1992), Likert Scales were considered the most appropriate and were used on 5 point scales. All items related to the key concepts. Questions were included that tested responses from different perspectives, although the testing of identical questions phrased in both a positive and negative manner (Bryman 2004) were not used. The rationale for this was in part driven by the collaborating partners wish that the questionnaire be of a certain length, the need to review certain principles and conditions, and the considered decision, that the length of the questionnaire could negatively effect the response rate particularly of the *non* and *individual* participants.

Statements of inquiry were structured towards the positive throughout the survey (Presser et al 2004). Whilst it is acknowledged that a design of both positive and negative constructs of the questions is advisable (Gillham 2000 b; Oppenheim 1992), this decision was further formed fundamentally, to consider the views of political collaborating partners and their approval required to distribute the questionnaire to the NFDC Panel group of participants. In addition, as the first group of questionnaires went to participants and people who had chosen to be involved in participation, intuition suggested that these people had some level of satisfaction or agreement with their chosen method of participation. Secondly, to be able to encourage the non participant groups to respond, opportunities could be and were created whereby the full range of responses could be encouraged.

Whilst acknowledging that the neutral point of a scale may not necessarily be the midpoint, (Oppenheim1992), the benefit of interpretation on the part of the respondent was facilitated (Oppenheim 1992) and neutrality on the statement was denoted by 'undecided'. Foddy (1993 after Holdaway 1971) asserts that the category neutral is more likely to be selected by a respondent than undecided. Thus, as Foddy (1993 p161) further argues '...there is a need to use response categories that clearly establish the basis or lack of a basis, for respondents' opinions' and through this the researcher is more clear of the answer which affects interpretation.

Concerns over the interpretation of levels of satisfaction or dissatisfaction are noted with Likert scales (Foddy 1993) and that respondents can interpret these levels in different ways. This consideration is particularly associated with this research, due to the influence of context on responses indicated (Foddy

1993). To contribute to addressing these issues, Foddy suggests specifying the evaluative standards of comparison with the respondents (Foddy 1993). However, as reflected in similar research in this area, this defining process is not apparent. This perhaps reflects the practicality of just how much and in what way perspectives on the range of governance and social capital principles can actually be predefined in a postal questionnaire. Nonetheless, issues highlighted in theoretical discussions and trends could be distinguished and were verified resulting in comparable results from the survey, the interviews conducted, the observations made and the documentation reviewed.

How many response categories should be offered to respondents in these scales is a matter of debate. Whilst Foddy (1993) suggests that at least 7 points are of best use, Gillham states that that 'there is often a limited use of scale...' (2000 b p26), thus the 7 point scale is usually 'redundant' (Gillham 2000 b p32). Furthermore, Oppenheim (1992) takes the view that the number of items in a Likert scale is arbitrary and, as with this study's perspective, the pattern of responses is more interesting. Likert scales are commonly used to analyse patterns of attitude (Bryman 2004) and Oppenheim asserts that the pattern of responses is what is important and that through 5 point scales, a '...rough...' grouping of attitudes and opinions can be made '...which will effectively separate people within the same group...' (Oppenheim 1992 p200). The quality of the Likert is developed further with the use of computer software, improving '...the quality of survey research ...and (therefore), the five-point Likert ...has become widely accepted.' (Oppenheim 1992 p207). The five-point Likert has equally been adopted in this thesis.

'Age' was presented in bands as it was felt that it made the question clearer for response (Gillham 2000 b) and could be seen as more attractive; and thus, more likely to get a response. The minimum age accepted was decided by the political voting age of 18 years.

Socioeconomic groupings and their classifications caused some concern at the initial test of the questionnaire stage due to respondent confusions as to which category their current or previous work would have come under. Discussions were held about the potential use of ABC1 methods and also ACORN. ACORN threw up issues in terms of the potential it could give on the basis of knowing postcodes<sup>53</sup>. ABC had some restrictions in terms of types of jobs prelisted, however did offer the opportunity to categorise social classes. Standard Occupation Classification 2000 (SOC 2000)<sup>54</sup> provided a listing of positions which were developed and used in the questionnaire.

The final question asked all respondents for their contact details and for the respondents' permission to contact them directly for further research assistance. This overcame the obstacles presented by the

Data Protection Act 1998 in terms of approaching Citizen Panel respondents but also with both samples, created an additional database of potential interviewees.

All the questions were associated with a numeric coding system which linked to the SPSS database.

#### **4.3.27 Conducting the survey**

Mindful of temporal influences on community participation derived from political changes, (Parry et al. 1992; Hyden 1992) a time limited period of research was needed within which time to conduct, analyse and interpret the survey. This was selected at 12 months<sup>55</sup>.

Questionnaires were distributed to both sample A and sample B households during May to June 2007. This time period was selected on the intuitive decision that more people were likely to respond outside of the peak holiday season, but it was close enough to the season to potentially include householders of second homes. In addition, particularly important in the New Forest (Refer to *Chapter V*), the date of distribution was chosen so that this research period did not coincide with any key public consultations being conducted in the area. A letter of instruction, explaining reasons for the research, assuring anonymity and Data Protection Act guarantees, was included with each questionnaire and designed to suit either the random household or the known participant samples (Refer to Appendices 6 and 7). Any respondent who held a political post was not invited to respond. The method of distribution and return was by post, essentially due to practicalities of time, man-power resources and the large area to be covered. Each questionnaire was individually labelled, to avoid the appearance of junk mail, sent first class and included a SAE.

#### **4.3.28 Processing the data – the survey**

A total of 744 usable questionnaires were received from both the random household and the Citizen Panel questionnaires<sup>56</sup>. These were input onto SPSS according to a coding system which initially differentiated the respondents amongst the two samples, and then according to their responses to 21 questions including multi-responses. In addition, to support the analysis, a unique code was allocated to each respondent to protect their anonymity. Each of the structured questions and the responses were also coded according to either the frequency of participation, type of participation, point selected on the multiple indicators created through Likert scales on perspectives on governance or social capital principles, and according to background characteristics of each respondent reported.

The database was cross-referenced and checked with the raw data at initially random intervals and then a further review was made at intervals of every 5 questionnaires. In addition, a fellow student researcher used the code book to randomly select entries, cross reference these with the raw data so as to verify the accuracy of the data input. Errors were corrected. Frequencies were examined to check the values were in range and that missing values had been coded correctly.

#### **4.3.29 Analysing the survey and addressing research objectives**

With the ultimate aim of this thesis to '*rigorously analyse community participation in local decision making*', of the five research objectives designed, the Surveys **directly** contributed to:

- *identifying the degree of participation in respect of the four categories: non participation, individual participation, collective and leadership participation; and*
- *critically examining and determining the characteristics of these four groups and the reasons for their engagement or disengagement in local decision-making.*

The first objective was achieved through identifying the total amount of participation and non participation demonstrated in the New Forest from which the numbers of participants in each of the three levels of participation were further established. With the second objective, an examination was conducted of the potential to distinguish participants/non participants of both samples A and B, on variables associated with: socio-economic, demographic and psychographic characteristics; and with perspectives on governance and selected components of social capital. In so doing, the surveys' findings contributed to interpretations of the research to address two additional research objectives '*to identify what participation in local decision-making means to the New Forest community*' and *to investigate the context of the governance and participation opportunities established in the case study area and to examine the influences of these upon community participation*' (See: Section: 4.3.2).

Descriptive and Inferential statistics were used to analyse the results from the surveys.

#### **4.3.30 Descriptive statistics: initial exploration, screening and description of the data**

As with previous research conducted in community participation (DCLG 2006 a and b), with the aim of the surveys to '*...essentially...fact-find...and describe...*' (Oppenheim 1992 p 12), initially, frequency analyses were calculated from the SPSS database to screen, summarise and describe the data (Field 2005; Rowntree 1981). Results are presented in frequency tables on the total amount, the levels of participation and the 'frequency of respondents' use of participation methods'. With governance and social capital variables, these figures are provided in contingency tables. This design facilitates

reporting on responses of each of the four participant levels' and further supports where notable, a comparative description and discussion of the responses of the participant levels of sample A and those of sample B. The sum of these descriptive tables results in providing information on total respondents by sample, by participant level and against each variable. All results are shown in percentage values<sup>57</sup>, due to the variability in group sizes and the advantages foreseen of using percentages to show the distribution of responses. The results provide a description of the characteristics of each sample and by participant level. These data gave an early qualitative indication aligned to the working hypotheses especially, in terms of evident patterns of participation and responses according to levels of participation and non participation.

#### 4.3.31 Inferential statistics

With aims to examine the associations and differences between the participant levels of each sample, responses of the four participant levels of sample A<sup>58</sup> and the two levels of sample B<sup>59</sup> were initially compared on several dependent variables. These variables were developed from thematic concepts derived from theory and the literature review as Roberts & Roche (ca. 2001) emphasise, research in this subject must be founded in theory. All but one of the variables was discrete ordinal and as the tests fundamentally '...involved rating scales...' non-parametric tests were indicated (Clark et al. 1998 p211).

As generally reported in research of this subject (eg: Hyden & Court 2002; Roberts & Roche ca. 2001) these variables could feasibly be considered to be developed subjectively as they are primarily, qualitatively derived indicative variables of latent concepts. A prime example, frequently used in research of this subject<sup>60</sup>, includes '*level of influence*' as the latent concept, assessed through the indicator, '*I believe I can make a difference*'. Therefore, so as to attain some clarity of results by which the findings can be further discussed in *Chapter VII*, each indicative variable is individually assessed, interpreted and reported.

When dependent variables were nominal, measures of association and inter-level comparisons were made using Pearson's Chi Square ( $\chi^2$ ) and a  $p \alpha = 0.05$ <sup>61</sup>.

In the case of the discrete ordinal dependent variables, an initial aim was to assess if any statistically significant differences existed amongst the participant levels in terms of median values.

As non parametric tests were indicated, the initial test for differences amongst the participant levels could have been made with Kruskal Wallis (Field 2005). However, due to an informed expectation

that the medians of the levels of the grouping variable were ordered in a particular direction (Field 2005), (i.e. strong participant levels, collectives and leaders were expected to have higher median scores than those of the individual and non participants<sup>62</sup>) the more appropriate test selected was the more powerful<sup>63</sup> Jonckheere Terpestra, as it ‘...incorporates information about whether (this) order of the groups is meaningful.’ (Field 2005 p735). This expectation was informed and is supported through theoretical debates and previous research conducted that asserts that levels of participation and non participation **are** aligned with degrees of positive or negative perspectives on a topic(s)<sup>64</sup> (Almond and Verba 1963; DCLG 2006a; Parry et al. (1992); Vetter 2007). The examination was conducted on the random household survey participants, analysing asymptotic values, with  $p \alpha = 0.05$  and essentially, as a one-tailed test (Field 2005).<sup>65</sup>

Jonckheere-Terpestra alone was not sufficient to explain where the differences existed amongst the participant levels. Therefore, comparisons were made between all pairs of the participant levels in both samples A and B employing the commonly used Mann-Whitney U test (Field 2005)<sup>66</sup>. Although Wilcoxon rank-sum test could have been used<sup>67</sup>, Mann-Whitney U was considered more appropriate. This decision was made as the number of observations in each participant level are not equal<sup>68</sup>, ‘...the analysis, (as detailed further) is carried out on the mean ranks rather than the actual data...’ (Field 2005 p521), and whilst all respondents are associated with the same population<sup>69</sup>, the samples of data are treated independently (Clark et al.1992).

Seven paired-wise comparisons were conducted in total. Six of these were made amongst the:

i) non and individuals, ii) non and collectives, iii) non and leaders; iv) individuals and collectives, v) individuals and leaders, and vii) collectives and leaders of *Sample A*. A further series of pair-wise comparisons was made amongst the group of two participant levels of collectives and leaders of *Sample B*. The  $H_0$  for the Mann-Whitney U pair-wise comparisons is that ‘the pair of medians is equal’. The ( $H_1$ ) is that the median of the higher level group is greater than the median for the lower level group (therefore, it is a directional one-tailed test).

Typically an Alpha probability of 0.05 would be used in a single Mann-Whitney U test (Field 2005) but with repeated tests among groups in the same family, there is an increased chance of making a Type I error thus rejecting  $H_0$  when it is true (Clark et al. 1992). Following much deliberation, this risk was mitigated to some extent by using an approximate Bonferroni correction which makes it harder to reject the  $H_0$ <sup>70</sup>. In this case nine pair-wise comparisons are made and the approximate Bonferroni correction would be  $p = 0.05/9 \sim = 0.007$  (Field 2005). This figure was arbitrarily increased to  $p = 0.01$  to reduce the risk of Type I error to some extent, whilst maintaining adequate power in the test. This relatively subjective decision-making, was founded from a number of debates that



considered with the analysis of both samples, the sheer amount of comparisons and series of tests to be made, carried a serious risk that there would in effect, ultimately be **no** significance or interest highlighted anywhere in any of the tests conducted (see note 65).

The expectation, as discussed above and previously in *Chapter II, Section: 2.3.5*, informed by theory and previous research conducted in this subject, (Almond & Verba 1963; DCLG 2006a; Moran 2005; Parry et al. 1992; Vetter 2007) shows that levels of participation can accord to degrees of positive/negative perceptions and views on governance and social capital principles. This expectation founded the development of the both the working and the statistical hypotheses. Thus the  $H_1$  considers that as the distance between the participation levels increases so does the Mean Rank Difference (MRD), which as discussed below, is considered the most appropriate figure to use. Thus, for example, the distance between non and individual participants is but one step on the four levels on the participation scale, between non and collectives equates to two steps of distance, and between non and leader participants results in three steps of distance. Therefore, a comparative examination of these distances amongst each participant level was required.

Results are expressed as the overall mean ranking within participant levels rather than in participant level medians on the scale of the original variables. This original scale of five levels derived from the Likert statements designed to capture respondents' degrees of, for example, satisfaction or dissatisfaction. Whilst recognising that the medians could distinguish differences amongst the respondents, they were not the most powerful form of analysis that could be used to distinguish the more subtle differences resulting from comparisons amongst the participant levels and the samples. Instead the Mean Rank Differences amongst each pair of participant levels and in the two samples were calculated and analysed providing a better resolution of the more subtle differences that could be expected.

In order to consider the importance of the significances highlighted through the Mann-Whitney U pairwise comparisons and to create a '...standardised measure of the size of the effect...observed...' (Field 2005 p531), effect sizes were calculated. Many effect size calculations are available but of these, one of the most commonly used of 'Cohen's' was selected (Field 2005):  $r = .10$  (small effect explaining 1% of the total variance);  $r = .30$  (medium effect -9% of the total variance); and  $r = .50$  (large effect - 25% of the variance). These three levels of effect were considered to be a simple but effective way to consider the importance of effect sizes calculated for significant Mann Whitney Us. These calculations were facilitated by using the derived  $-z$  scores from the previously conducted Mann-Whitney U tests with  $N$  values.

#### 4.3.32 Reliability and Validity of the survey – A qualitatively informed interpretation

The practicality of quantitatively assessing just social capital alone has been frequently debated according to whether a positivist or interpretivist academic stance is taken (Krishna & Schrader 1999; Roberts & Roche ca. 2001). In addition, as previously discussed, governance as both a concept and a theory is considered to be difficult to measure with any accuracy (Hyden & Court 2002) which is no doubt exacerbated by a lack of universal agreement on its definition (Frederickson 2004). However, with the inclusion of the positivist stance taken and adapting previous research designs, a number of statistical tests were conducted in this research which provided an initial, statistically informed, quantitative interpretation of community participation in the New Forest.

Nevertheless, not least informed by previous research<sup>71</sup>, the stance taken in this thesis is that ‘...there can be several possible accounts of an aspect of social reality...’ (in this case on community participation) and as such, ‘...the acceptability...’ of the research in terms of how credible it is ‘...determines its acceptability to others...’ (Bryman 2004 p275). Of equal consideration the view is taken that complete objectivity is not possible in social research (Holloway & Wheeler 2010) especially as with a study of community participation the personal merges with the political (Ledwith 2005), perceptions are of essential influence on participation (Parry et al. 1992) and contribute to a person’s reality of community participation (Kelly 2001). These considerations created implications for the quantitative validation of the surveys designed and following debate, a qualitative validation of the survey design ensued. .

As Roberts and Roche (ca. 2001 p 9) support, a questionnaire survey of these concepts can be achieved as long as the indicators are ‘...rooted in theory...’ This condition has been met in this thesis through the examination of the literature for indicators and variables (See *Section: 4.3.11*) and in turn the use of these variables and indicators is evident in the design of the questionnaire. Furthermore, these indicators were additionally compared with statements and questions used in previous comparable, appropriate and well-recognised research undertaken and tried and tested research constructs<sup>72</sup> within these studies were adopted in this thesis. This use of previously devised constructs and comparability with research previously conducted addresses *external reliability*, and thus the study can be replicated (Bryman 2004). Indicators and constructs were additionally extensively confirmed through the checking processes and endorsed through the NFDC’s and the governance expert’s reviews of the questionnaire. Furthermore, all indicators are associated with the database of the governance and social capital principles (Bryman 2004). Bearing in mind the surveys findings were discussed and agreed within the research team of student and supervisors and also were comparable to previous research conducted, a form of *internal reliability* can also be argued (Bryman 2004).

Taking an increased qualitative stance and regarding how *credible* the research findings are, which is equated to a quantitative form of internal validation, (Bryman 2004), the *triangulation* technique was used. This resulted in cross-checking the surveys' findings with observational notes made, with case studies and research previously conducted, and through interview responses resulting from meetings held with community group leaders<sup>73</sup> and institutions' representatives.

An additional cross-checking process was made with the responses of interviews conducted with the 'wider community' derived from a random selection of each of the participant levels in sample A and sample B. Whilst these responses in many cases, reported similar views expressed through the surveys findings<sup>74</sup>, the *degree* of negativity displayed by the interviewees was emphasised, although as with the surveys, the leaders did tend to express a more positive than negative stance (see e.g. p373). An example of this difference amongst the survey and interview findings concerned a more negative than positive view emphasised by the interviewees and *across* the participant levels on views on institutions and the degree of mistrust expressed (see p365). But again, the more negative expressions are indicated by respondents in the non to collective levels (see *Chapter VI Section: IV*).

Further, with regard to expressing views towards the local community (see pp372 to 373) a relatively negative view was indicated by almost all interviewees in each of the participant levels excluding the leaders – converse to the generally more positive view indicated through the surveys. Broadly speaking therefore, the survey credibility is supported, although with the non, individual and collective categories, based on their interview responses, the degree of survey credibility could be potentially questioned on this variable.

It is possible that the interview responses in these cases aimed at enriching survey responses and eliciting interviewees in-depth views, may well have affected this situation. Alternatively, this result may be reflective of the fact that the interviews were conducted 3 months after the survey. Given that the dynamics of politics and time influence participation and perceptions of i.e. political efficacy and cynicism (Hyden 1992; Hyden & Court 2002 : Graham et al. 2003a and b; Kothari 2006; Parry et al. 1992) these features could be considered to have affected the interview responses, resulting in more negative views expressed in comparison with the surveys.

*Authenticity* is addressed through the relatively<sup>75</sup> *fair* representation of members (Bryman 2004) of the New Forest community who, with sample A, were randomly selected from the most accurate database of households held at the time of the primary research conducted. Further forms of authenticity such as *ontological*, *educative*, *catalytic* and *tactical* cannot yet be proven however, the findings of this

research will be shared amongst key research partners such as the NFDC and the NFNPA from which it is hoped that further community engagement strategies can be informed.

This practical advantage of this research is related to the importance, from a qualitative stance as to the *relevance* of this work (Bryman 2004). These findings and their review contribute to enhancing research in the context of protected areas, of a National Park and ultimately in the western political context.

However, as Bryman asserts (2004) these and other forms of reliability and validity, are not always used, and to varying degrees considered from a qualitative viewpoint as ‘...not desirable...’ (Bryman 2004 p277). Thus from a quantitative stance, most ‘...measures are simply asserted...’ (Bryman 2004 p74) or of the qualitative mindset, research findings are ‘...treated as one of a number of possible representations rather than as definitive versions of social reality.’ (Bryman 2004 p278).

### *The final qualitative dimension*

#### **4.3.33 Enriching survey responses**

Following the surveys, twenty semi-structured interviews were conducted between September and December 2007. As previous authors and research had shown that responses and perceptions could be aligned according to participant level (see for examples, Almond & Verba 1963; DCLG 2006a, Moran 2005; Parry et al.1992) a cross-section of each of the participant/non participant levels across both samples was taken. This was facilitated by a random sample of representatives from each of the participant and the non participant groups. These interviewees derived from a final question posed in the surveys which asked survey respondents to indicate their further interest in participating in this research. Of those who had shown interest, a random selection process was conducted across the two samples and dependant on contact details supplied, these individuals were approached by phone or email to arrange an interview. As a result five interviews were held with respondents in the leader category, five from the collectives, and purely derived from sample A, five from each of the individual and non participant categories<sup>76</sup>.

Although additional numbers of interviews were considered, responses from the interviews were resulting in the same information being conveyed both across the participant levels and both samples. This was evident with regard to for examples: a) reasons for participation/non participation, b) actual and perceived barriers to information and c) views towards the local community. As the number of

interviews progressed across the participant levels, no new data emerged and the responses from these interviews accorded with results derived from previously conducted research (Bryman 2004). Thus, mistrust of institutions was considered of influence<sup>77</sup>, and a sense of not belonging to a local community was further evident especially amongst the interviewees who did not or rarely chose to participate<sup>78</sup>. As such, the data collected was considered to have reached theoretical saturation (Glaser & Strauss 1967).

The aim and values of these in-depth interviews was to gain additional and richer information (Gillham 2000a), contributing to address the third research objective as to '*what participation means to the New Forest community*' (See p160). As such, an investigation of the interviewees '.....feelings, attitudes ...motivations...' and perspectives on and experiences of community participation (Clark et al. 1998 p100) was facilitated. In so doing, an opportunity was created to gain insights into '...how individuals ... (thought) about their real world...' (Clark et al. 1998 p132).

Semi-structured interviews were designed based on a requirement to create a flexible environment for discussion, and as such be able to vary the sequence of questions to investigate responses further. All questions were framed openly to allow the respondent to freely express their views, no challenge to responses was made and questions were worded to accommodate personal views and perspectives, paying attention not to lead the respondent in any way. Nevertheless, where experiences of participation were discussed, probing and specifying questions were used (Bryman 2004). The technique of 'rambling' was encouraged '...to give insight into what the interviewee (saw) as relevant and important' (Bryman 2004 p320).

An *interview guide* was created based on: themes and issues derived from: the literature review; in consideration of the surveys' findings; notes made from the initial observations of forums attended; and further topics derived from the first set of exploratory interviews conducted with the community group leaders (see *Section:4.3.19* and Appendix 8 for sample guide). Thus, ultimately, the interviews amounted to a deeper enquiry than could be gained through the surveys alone. For example, the surveys findings showed that perceptions of governance, of political efficacy, and of levels of influence were indicated according to participant level with leaders tending to show a more positive view or less negative view than the non participants. However, in the interviews conducted, it was evident that in many cases and excluding at the leader level, similar views were conveyed across all participant levels on each of the themes discussed. This result supported research theory that qualitative interviews can enrich survey findings and facilitates investigating survey findings further through a qualitative

approach of semi-structured interviews (Bryman 2004). Additionally, with regard to ‘trust of institutions’, the interviews provided further contextual information as to interviewees’ views on the NFNPA, the Forestry Commission and the Verderers which in the case of the NFNPA especially, additionally tended to be more negative than had been portrayed through the surveys alone.

Some topics associated with these institutions raised particularly emotive views. These included: discussions as to the placing of the National Park boundary, which was generally considered to have been the result of a process of deception (See *Chapter VI*, p.365); views on parish councillors and their perceived aims to address their own personal objectives; and a generally perceived inequality amongst the community as to those who were able to have some influence on decisions taken and those who considered themselves as unable to affect decisions. However, what was especially notable and contrary to survey findings, was regarding interviewees’ opinions of their local community. The surveys had reported across the board, a relatively high positive level of how much the local community could for example be trusted, how well people got on in the community and how much community spirit was perceived. Conversely, through the interviews with non, individual and collective participants, an overtly negative stance was indicated in many cases, and concerns were conveyed over some interviewees simply not feeling part of their local community, as they felt they were considered as ‘outsiders’.

The interviews took place in the interviewee’s home, an environment which was considered to create a relaxed situation for the interviewee. Health and safety concerns were addressed as with the exploratory interviews (see p.211). The interviews were of approximately 50 minutes duration. All the interviews were digitally recorded and transcribed verbatim. Again at the interviewees’ requests, anonymity was assured and discretion requested in reporting/publishing transcripts. Full details on the thematic analysis used with these interviews are provided below in *Section: 4.3.36*.

#### **4.3.34 Balancing responses**

In consideration that governing frameworks do not encourage community participation on their own and that the attitude of those charged with community engagement is a vital element to consider (Govan et al. 1998 p vi; Lockwood & Kothari 2006; Richardson & Connelly 2002; Weldon 2004), semi-structured interviews were held with five representatives from four of the lead institutions in the area. These interviews, of approximately one to an hour and half duration, took place between

January and March 2008, at the institutions' offices and represented the final stage of primary research conducted. The choice of institutions selected was relatively simple guided purely by a requirement to approach all institutions that had responsibilities for the New Forest area together with their further roles as lead organisations of key consultative governmental and governance processes in the area. As a result the NFDC, the NFNPA, the Forestry Commission and a representative of three bodies, Natural England, the Secretary of State and the Verderers were represented. Due to the varying range of responsibilities held by the NFDC both the democratic officer and the community planning officer were interviewed.

The aim of these interviews was to capture a current institutional view on community participation in the case study area. As such a greater comprehension of '...different elements of the social (and political) system...' (Bryman 2004 p281) in the New Forest could be achieved.

As with all other previously conducted interviews, these were guided by a schedule of topics (see Appendix 9). These were generated through: the literature review and points especially noted included the political will of institutions to engage with communities (UNDP/UNESCAP/ADB ca. 2004); the observations made of the New Forest Consultative Panel, especially associated with questions concerning the level of influence and access communities have to affect decisions taken; and through the surveys' findings notably as to community levels of trust/mistrust conveyed towards institutions. Furthermore, topics were designed to investigate specific concerns raised through the twenty semi-structured interviews held with members of the sample A and B over: the level of control perceived to be exerted by the Verderers; feelings of deception created by the placing of the Park boundary; and the effect that the historical mistrust conveyed towards the Forestry Commission had on its current role as a lead organisation on community engagement in the New Forest.

All interviews were digitally recorded and notes were taken during the meetings. This recording was facilitated by the interviews being held in the representatives own office thus any distractions were kept to a minimum and the private environment created, in turn facilitated a degree of freedom as to the discussions held. However, it is equally recognised that as the interviewee was presenting an official view on community participation, a degree of bias could be considered and as such there is a degree of caution required with both the views expressed and the interpretations made of these interviews.

The analysis of the interview transcripts was conducted thematically and is provided below in *Section: 4.3.36*. Key themes that emerged from these interviews were: the historical problems the institutions had experienced in wider community engagement; resource issues considered as a key impediment in encouraging greater community engagement; and a general recognition that the sheer amount of consultations taking place in the area had a potential to detract rather than attract a greater number of people to participate.

Following the analysis, the results of these interviews were compared with those of exploratory interviews previously conducted with the community group leaders. This final stage of the data collection has provided a comparative discussion based on the perspectives of Kemmis and McTaggart (2000) of institutional system and a 'system' (see p 155) within the community depicted by collective action and community groups. These results have been considered in comparative discussions developed in *Chapter VII*, with the views of the general public as 'ordinary people' (Kemmis & McTaggart 2000) and representative of the wider community that exists outside of formal participation and community engagement processes designed by government and its institutions.

#### **4.3.35 Maintaining anonymity**

All interviews were digitally recorded. The subsequent transcriptions documented results in full. However, in order to maintain interviewees' anonymity and in consideration of some information that was considered by the interviewee to be either too sensitive or too revealing to publish, some sections of the text were omitted. Further, each of the interviewees was allocated a unique code for identification. The formation of the coding system used for interviews with institutions' representatives and those of community group leaders is explained in *Chapter V, Section: 5.4.2* and *5.4.3* and for interviews with the wider community, in *Chapter VI Section: 6.4.1*.

#### **4.3.36 Analysis of interviews**

'The essence of any analysis procedure must be to return to the terms of reference '...conceptual framework, and questions...' of the research being conducted (Veal 1997 p135). This principle was followed by maintaining focus on the research aim and objectives and on the content and views articulated by interviewees on topics constituting the interview guides. These topics derived from the literature review, previous research conducted and further developed from findings resulting from each stage of the primary research inclusive of additional themes that emerged from each series of



interviews conducted. As such, an interpretive and inductive element is therefore further introduced in the mixed methods research approach taken.

Following the full transcription and screening of each interview<sup>79</sup>, the transcripts were printed. Using one of the simplest methods of thematic qualitative analysis after Brewer 2000, each transcript was analysed to investigate any distinguishable sections and subjects by each topic according to the interview guide (see Appendices 2, 8 & 9). As this analysis process developed, common themes emerging from interviewee responses were additionally noted in the right hand margin. Using a schema based on colour coding<sup>80</sup>, views towards the emerging themes were additionally noted. These notes were further categorised according to each theme that emerged. Thus, for example in the wider community interviews, associated with the topic of ‘trust/mistrust’, the distinguishable section and themes were:

<i><b>Topic: Trust/mistrust –Governance principle</b></i>		
<b>Distinguishable section</b>	<b>Emerging theme</b>	<b>Negative/positive/not much of a</b>
Placing of park boundary	Deception	negative
<i><b>Topic: Trust/mistrust –Social Capital principle</b></i>		
Community	Feeling of not belonging	negative
	Characteristics of ‘them and us’	negative
<i><b>Topic: cognitive reasons for participation/non participation</b></i>		
Views on Institutions	Sense of pointlessness in	Negative
	Participating	

Associating these responses with institutions for example, they were further linked to variables of ‘political efficacy’ and ‘cynicism’ highlighted and evidenced by Parry et al. (1992) as directly grouped with levels of trust/mistrust shown towards such government agencies.

This thematic approach was additionally used with exploratory interviews conducted with the community group leaders and the semi-structured interviews with institutions’ representatives. Each of these interviewees was asked their views on the same subjects, for example, with regard to their views on reasons why people do or do not participate. This is a broad question, which framed openly, was specifically designed to encourage the interviewee to respond equally as extensively. Themes that derived from this topic included responses associated with personal characteristics, the influence of other members of the community on an individual’s engagement, and the amount of opportunities made available to the public, perceived as having the potential to negatively affect the numbers of people who are able or may want to participate.

Regardless of whether the interviews were with community group leaders, members of the wider community or institutions' representatives, following analysis and the collation of responses by themes, exemplary statements are reported in the main text. These comprise of the most commonly expressed views towards each theme and representative by participant level.

#### **4.3.37 Interpretation of the qualitative data**

The act of interpretation is, in all research, but especially qualitative research, an act of bias to varying degrees. Responses from research participants and the researcher can be affected by gender, age, ethnicity and political views (Holloway & Wheeler 2010). The researcher's personal preconceptions have been considered in all interpretations made of both the qualitative and quantitative work conducted. These biases associate with personal political beliefs, ethical values and working ethos, and through extensively working in the public sector in participatory processes, have further been informed by research and working experiences developed since 1998. These elements have led to a personal passion and genuine belief that community engagement in decision-making practices is not only practical but ethical and *crucial* for encouraging a degree of futurity for safeguarding the concept of the protected area, its natural and cultural heritage. In the Western context of focus in this thesis, this concept and vision is most aligned with the 'National Park' concept and objectives for conservation and access.

Mindful of these biases, the interpretation of the data constantly was referred back to topics derived from the literature review and case study reports conducted in both the socio-political and protected area contexts (*Section: 4.3.11 pp.169 to 171*). Thus, for example, a key finding was a concern of the interviewees from the wider community about being newcomers and not feeling part of the New Forest community. This finding was considered to reflect a similar finding reported in the literature review and through the work of Bucheker et al. (2003) that also concluded that levels of participation could be associated with how well a person felt they belonged or wished to belong to the majority of people in an area and be associated with the majority views on a given subject. A further finding emerging from both community group leader and institution representatives' interviews indicated concerns over the amount of consultations taking place and a lack of community group resources to participate. This was again associated with literature review findings which had argued that too many consultations can lead to consultation fatigue, deterring participation (Richardson & Connelly 2002); and where it does occur with a potential for fewer numbers of people engaging, have implications for the amount and breadth of views that can be indicated.

Moreover, with the process of triangulation which ensued, comparisons with the quantitative research conducted could be made which crucially, mindful of the biases reported, informed any interpretations made.

Nevertheless, whilst the findings can be additionally compared to similar results deriving from previous research studies conducted, an act of subjectivity is still recognized as; a) a passion for community participation is reported and b) an alternative researcher could interpret the findings differently (Hollway & Jefferson 2000).

#### **4.3.38 Validity, reliability and representation – the interviews**

Qualitative research is not concerned with generalization or representation although an aim is to get representation of views from different groups. This element of *authenticity* includes *fairness* and the inclusion of ‘...different viewpoints among members of the social setting...’ (Bryman 2004 p276). As such, this principle acknowledges a need to get in-depth information from small groups of people whilst accepting that a) interviews are open to bias of interpretation; and b) it is not possible to claim that responses are representative of the general population. In this thesis, representation of appropriate groups of interviewees is addressed through the selection process of these interviewees who, in the case of the community group leaders and the institutions, were chosen on their experience of community engagement and on their ability and knowledge in the case study area and of their institution or group. Relating to the wider community, these interviewees were randomly selected from sample A, the random household respondents and from sample B, and members of the NFDC’s Citizen Panel.

In addition, qualitative research is not interested in reliability. This is due to the role of the researcher and the interviewee in the research process. As Hollway & Jefferson (2000) state, even if identical methods, principles and tools are used, an alternative researcher could invariably get different data, due to an alternative interpretation used with the interview responses.

Furthermore, as previously discussed on p166 case studies do not lend themselves to generalization but the research framework can be transferred to similar settings and situations. This *transferability* is provided through the intensive case study analysis producing a ‘...database for making judgments about the possible transferability of findings to other...’ areas (Bryman 2004 p275). In this case, research undertaken in other National Parks, such as the Peak District would serve well to demonstrate the transferability of the research approach, methods and tools used.

Nevertheless, Bryman highlights (2004) of Guba and Lincoln's work (1994) that with regard to the areas of *validity* and *reliability* alternative criteria for qualitative analysis can be asserted. These concern firstly, the *trustworthiness* of the research which includes how *credible* the research and its interpretation actually are and again the principle of *authenticity* as an accurate representation of the researcher's experience (Bryman 2004):

- *Credibility*: This is met through using verbatim quotes. Key results were validated by respondents and responses were echoed across research sources used including the literature review, observations, interviews and even in the surveys. This verification of results across multiple sources resulted in triangulation. Thus, the results from the interviews are not the only source of the findings, rather as with other research in this subject, results were cross-referenced to other data sources<sup>81</sup>.
- *Transferability*: a rich description of the interview responses can be provided as a database of information '...for making judgments about the possible transferability of findings to other milieus...' (Bryman 2004 p275);
- *Trustworthiness*: this included the development of an audit trail – where the interviews were held, with whom, what happened and why and was further extended by verifying the interpretations made with respondents so as to authenticate the representation of the findings (Bryman 2004);
- *Authenticity* and *fairness* are addressed through aims to capture the institutions, the formal community groups and the general publics' viewpoints on community participation in the case study area.

Ultimately, however, according to Williams (2003) the main criterion to judge all research, especially qualitative, is as to how *relevant* the research and its findings actually are, to both society and to practice and industry. With an increasingly evident government drive towards public consultations, demonstrated with i) an increase in public sector workers engaged in associated projects, ii) changes to planning reforms and at a practical level the sheer challenge of finding open spaces for development iii) the design of the Sustainable Communities Act (2007) and other forms of legislation iv) together with concerns and arguments over an equally increasing disengaged society, the research conducted here is *relevant*, timely and of interest.

#### **4.3.39 Synthesis of the quantitative and qualitative data**

A final challenge involved synthesising all appropriate research findings. This was facilitated by the analysis of each piece of research according to the topics derived from the literature review and

additionally according to the emergent themes derived from the interviews conducted (see Appendix 1). This was conducted in five parts:

- a) A comparative discussion presented in *Chapter VI* of exploratory interviews with community group leaders and with institutions' representatives. These findings informed an evaluation of key participatory processes and governance principles used in the New Forest and views commonly held as to why the general public does/does not participate in decision-making processes;
- b) and c) a comparison of results from interviews amongst the participant levels and with the Surveys findings. The surveys findings introduced the wider community's views as to participation. The views conveyed were investigated through the interviews subsequently conducted. In turn, the combination of these findings informed discussions presented in *Chapters VII and VIII*;
- d) The assimilation of the surveys findings and interview responses according to topics derived from the literature review. The analysis of topics and themes derived from the interviews is presented in *verbatim*<sup>82</sup> and created opportunities to select exemplary data to illustrate the main views of the research community that emerged. This brought life to the research and in the spirit of participation, gave a voice to the research participants (Holloway & Jefferson 2000);
- and e) Finally, following a synthesis of the key findings derived from the entire primary research conducted and derived from and comparatively verified through the triangulation process used, a holistic and informed discussion is developed according to the research aim and objectives in *Chapter VII*.

#### **4.3.40 Section III: summary**

This section has detailed the arguments for and discussed weaknesses of the research strategy, processes and tools used and designed in the collection, analysis and interpretation of findings from the range of primary and secondary sources used. To enhance the advantages of the research approach and address potential weaknesses, emphasis has been placed on rigorous activities to adhere to theory and a key principle, underpinning research of governance and social capital, of **context**. This principle is extended further in the subsequent and final section which considers causality and the verification of the findings.

***Section IV: Causal explanations and verification of the research; limitations of methods; considerations and presentation of the findings.***

#### **4.4.1 Introduction**

This final section initially considers causality and the verification of the research conducted. Limitations of the research are also acknowledged although are fully reported in *Chapter VIII*. This section and chapter closes with considerations for the research, for the researcher and for the presentation of the research findings.

#### **4.4.2 Causal explanations**

This work has been concerned with explaining reasons for levels of participation including non participation in the case study of the New Forest. However, explanations for causality have been made in a fundamentally qualitative and not quantitative manner in acknowledgement of debates as to issues with measurements of social capital and with just what constitutes ‘good’ governance (Krishna & Schrader 1999; McAllister 1999; Roberts & Roche ca. 2001). Nevertheless, this primarily interpretivist stance taken (Bryman 2004 after Weber 1947) considers an additional focus of this research to understand the behaviour of the research participants, expressed in the forms of action/inaction they have selected and as such, fundamentally accepts that there can be more than one interpretation made of what community participation can actually mean for a community (see *Section: 4.2.2* above). However, with the quantitative dimension of this research, through the advantages gained in the random sample process and the opportunity created to use statistical tests, ‘...inferences can be made about the sample...’ (Bryman 2004 p90). This has resulted in making associative patterns of results between the frequencies of distribution, amongst the pair-wise comparison tests, in consideration of interview responses across four groups of research participants<sup>83</sup> and further, in interpreting results by cross-referencing this research’s findings with theory and previous research conducted (Bryman 2004).

#### **4.4.3 Triangulation and verification of the combined qualitative and quantitative data**

In the further quest to support the validity and trustworthiness of this research, the corpus of data derived from the multiple sources, and from primary and secondary qualitative and quantitative research were compared. This resulted in a cross-checking process of data derived from the quantitative and qualitative research comprising of interviews, observations, the surveys and secondary sources constituting the literature reviewed, case studies in protected areas and previous socio-political

research conducted. Thus the validity of the research was further enhanced through triangulation. This as Yin argues provides for robustness with which the ‘...most desired pattern for dealing with case study data...’ can be demonstrated (Yin 2003 a p83) and in this thesis, contributes to the reliability and validity of the data and results discussed.

#### **4.4.4 Limitations of methods**

It is acknowledged that there are some limitations to the research conducted. These relate to and include: the use of the case study and the concept of generalisability; the intricacy of the subject; and especially associated with the quantitative dimensions of this research, the ‘validity’ and ‘reliability’ of the questionnaire; the difference in the number of respondents of the two samples, and the limited numbers of respondents in the non and especially in the individual participant categories. Each of these points has been addressed where feasible and valid and a discussion on these points is presented in the concluding *Chapter VIII* (see pp 412 to 414).

#### **4.4.5 Considerations**

Prior to any interviews being conducted the interviewee’s permission was requested to transcribe the interview and include details in this study. In addition, a commitment was made as to retaining their anonymity. Participants had the right to refuse an answer and to request that the tape be stopped. Some of the interviews have not been wholly transcribed. This has been either at the request of the interviewee or to further protect their anonymity.

With the questionnaire, householders were also advised of this information and further, emphasising the implications of the Data Protection Act 1998, that they could withdraw their details from the database at any point. Furthermore, participants’ names were not maintained on the SPSS database and through the analysis and interpretation it is not possible to identify participants.

As a condition of use of the NFNPA household database<sup>84</sup>, all records need to be retained for a minimum of five years and are for the sole use of the researcher.

#### **4.4.6 Health & Safety**

Preceding any field work undertaken, a Risk Assessment was duly completed. The main risk areas included interviewing the public in their own homes. Therefore there was an associated potential for malicious intent. This was viewed as a very small risk as part of the interviewee community database was comprised of known group leaders and the citizen panel respondents. However, to minimise risk a

diary was kept of the interviewee's name, address and telephone number which was left with a friend and a family member together with the researcher's expected time of return.

#### 4.4.7 Presentation of Findings

The following *Chapter V* provides Case Study information and thus commences the report on research findings contributing to the MaGSPin previously presented. This includes information derived from secondary research conducted and also presents findings from the initial exploratory interviews conducted with community group leaders and semi-structured interviews conducted with representatives from key institutions in the New Forest. *Chapter VI* presents further research findings derived from the Surveys and semi-structured interviews conducted with the surveys' respondents. The subsequent *Chapter VII* discusses the total research findings in relation to the research aim and objectives. The interpretation of these findings is finally discussed in *Chapter VIII* in relation to researching this subject, the practice of community engagement and importantly in terms of the contributions to knowledge that this thesis makes.

#### Notes

1. As opposed to using the overall phenomenological research approach which also requires the researchers' preconceptions of a world to be bracketed out of any research conducted and its resulting interpretations (Bryman 2004)
2. The wider community: denoted in this thesis as those members of a local community who do not participate in formal groups, networks, fora or partnership processes with lead institutions. This section of the local society constitutes the non participants, individual participants, collective and some members of the leader participants in both sample A and B who are not part of the traditional forums and formalised partnerships/networks with institutions. This term includes members of the 'hard-to-engage with' community.
3. See DCLG 2006 a-g; Grootaert & Van Bastelear 2002 and reviews from Krishna & Schrader 1999
4. For examples in a democratic context: the use of networks and groups; trust of institutions; a historically participatory culture; equitable and inclusive decision-making; and legitimacy (see Figure 1 p 64).
5. See Richardson & Connelly 2002
6. See for examples: IUCN 2003 a,b and c and associated conferences
7. See DCLG 2006 'Local Strategic Partnerships: shaping their future'
8. See Home Office 2004 'Facilitating community involvement: practical guidance for practitioners and policy makers'
9. See Studd 2002 'An introduction to deliberative methods of stakeholder and public participation'
10. For examples: appraisal of self-confidence, political will of institutions to encourage participation, and forms of socialisation are not as apparent as views on for example, mutual trust amongst a community (Buckner et al 2003; Dorsner 2004; Pretty 2003; UNDP/UNESCAP/ADB ca. 2004)
11. For examples see: Coleman 2000; Graham et al. 2003; Hyden & Court 2003; IUCN 2003 a, b, c; Parry et al. 1992; Putnam 1993.
12. Chapter I p27; Chapter II, p87 & pp92-95; Chapter III p131.
13. See for examples, Graham et al 2003; IUCN 2003; Lockwood et al. 2006
14. See DCLG (2006a) Citizenship Survey 2005; ODPM 2002 Public participation in local government
15. See Parry et al. 1992 & Buckner et al. 2003
16. After Grootaert & Van Bastelear 2002
17. See DCLG (2006a) Citizenship Survey 2005 and its positivist approach.
18. In itself, any project is argued by Engwall 2003 to demand consideration of history and context.



- 19.(World Bank 2008). Governance Matters III: Governance Indicators for 1996-2007
20. Parry et al. 1992
21. For examples see research review, Krishna & Schrader 1999; Active Citizenship Survey 2005
22. See for examples literature from the lead organisation in this context, IUCN 2003 onwards.
23. See Chapter V Section: 5.3.3 & p229
24. Example of New Forest Consultative Panel
25. See New Forest Uprising 2008 (Forestuprising.org 2008)
26. Designated 2005
27. The statistical hypotheses based on these working hypotheses are provided further with notes 62 & 70 and p196.
28. See debates of for examples: Burton 2003; Jacobson 2007; Krishna & Schrader 1999; Roberts & Roche ca.2001
29. See Krishna & Schrader (1999) for a review of similar research conducted in this area in terms of survey and semi-structured interviews; key difference in terms of scale and resources.
30. An advisory forum consisting of representatives from over eighty organisations with an interest in the New Forest National Park and adjacent areas. It meets every two months to discuss topical issues and provide views to the National Park Authority and other statutory bodies.
31. This is in contrast with research conducted by the DCLG 2007a, which classed *non* participators as those who do participate but at a 'low level'.
32. This is in stark contrast with DCLG (2006a) research which combines data from individual, collective and leadership participants.
33. To protect the anonymity of the community group leaders selected for interview from this listing, details as to these community groups cannot be provided.
34. See Parry et al. (1992) and current records of rates of participation (Kavanagh ca. 2006; McLean et al. 2002; Melville 2005; Moran 2005; Kolovos & Harris ca. 2004; Woolf 2005 a and b)
35. NFDC Consultative Panel comprises of 86 representatives from parish councils, institutions and community groups concerned with environmental, social, economic, political and recreational objectives in the New Forest
36. Information from a) and b) was considered to potentially affect community participation and the public's influence on decisions to be made in the case study area.
37. Formal digital recordings are not permitted in committee/council chambers
38. Full details on processing the data from these observations and the corresponding thematic analysis designed are provided on pp204-206.
39. Interviews were not held with non participants at this initial primary research stage due to: a) the focus at this point was to gain knowledge on the experience of participation itself by participants; b) no access had yet, nor needed to be gained at this point, to *any* household database; and c) a key objective of these interviews, was to inform the design of the subsequent questionnaire which was sent to members of the New Forest community.
40. As is commonly found in the New Forest, a community group leader can represent more than one group (see Section:5.4.3.4).
41. See p.155
42. See Krishna & Schrader (1999) review of studies conducted worldwide by Narayan & Pritchett 1997; Schnieder et al. (1997); Grootaert (1998); Rose (1998).
43. It is equally acknowledged and emphasised that although most surveys do sample randomly this does 'not guarantee that such a sample can be analysed as a representation of the individual village or neighbourhood in question...' (Krishna & Schrader 1999 p14).
44. The Secretary of State for Environment, Food and Rural Affairs confirmed the Designation Order of National Park, 1 March 2005. NFNPA powers from 1 April 2005 and full statutory functions from 1 April 2006. Although a free-standing organisation, it operates within the local government framework.
45. Held on NPLG National Property Land Gazetteer
46. Cautioned and confirmed by the NFNPA, A Bell GIS Officer
47. The Panel comprises volunteer representatives of the New Forest community and includes males and females ranging from 18 to over 90 years old. Everyone over 18 is welcome to join the panel. Each member of the panel is asked to take part in approximately seven written questionnaires a year.
48. Unlike the Citizen Panel questionnaire, the survey forwarded to the random household sample included one statement to bypass Question 2 **if** the respondent had not participated in the previous 12 months.
49. Response rates: Random Household survey, 19.9% and NFDC Citizen Panel, 52.3%.
50. Considered to have had held a potential to skew the primary research findings due to the affect of i.e. political changes on participants responses and not feasibly being able to compare the results of responses from sample A and B)

51. Professor Geoffrey Darnton – Bournemouth University
52. See DCLG (2006 a and b) Citizenship Survey Active Communities and Community Cohesion 2005; & Home Office Citizenship Survey: people, families and Communities 2001 (HO 2003)
53. As part of the research was influenced by maintaining anonymity through the New Forest District council to use their citizen panel respondents, post codes for these individuals were not permitted.
54. Revision of SOC 1990. Replaces Classification of Occupations and Titles 1980+: the aim of which to achieve a current framework to reflect changes in society. (ONS 2008)
55. This period of time is used by DCLG (2006a) research unit. In addition, it was not expected that an individual would necessarily be able to recollect all the different occasions that (he) would have participated prior to 12 months. In addition, and specific to this subject area, studies in the sphere of political and local decision making are influenced by the dynamic nature of politics (Hyden 1992) and thus, any changes to governance. Hence the primary research dates when the sample was approached was of 1<sup>st</sup> January 2007 to 31<sup>st</sup> December 2007; and the dates for participants to consider their action or inaction were of June 2006 to June 2007.
56. 37 responses were received which comprised of spoilt responses or were returned to sender as unopened.
57. Percentages are rounded to the nearest integer
58. Comprised non participants, individual, collective and leader participants sourced from the Random Household survey
59. As part of a collective form of participation already, the NFDC Citizen Panel, this sample comprised purely of collective and leader participants.
60. See DCLG 2006a Citizenship Survey
61. The one nominal variable used ('gender') was not of statistical significance.
62. Statistical Null hypothesis ( $H_0$ ): there is no difference amongst the median scores of four participant levels ( $H_1$ ) there is a directional difference amongst the levels
63. is more able to reject the Null hypothesis when it is false
64. See Chapter II, Section: 2.3.5
65. As two samples were used, this could have meant that two initial assessments were conducted of the collectives and leaders associated with sample A and with sample B. However, the number of groups in such an analysis was considered to be contentious in terms of reporting any results. This was due to the pair-wise comparisons that would have subsequently been conducted following any significant Jonckheere Terpestra result through Mann-Whitney U. To mitigate the risk of the increased 'per-family' type 1 error, the usual p (alpha) has to be reduced by dividing the p (alpha) by the number of comparisons. For many pair-wise comparisons this could have meant using a very small p (alpha), of low power and low probability, which would only have had the potential to have detected large effects.
66. As the data were not of an interval nature, t-tests were not selected (Clark et al. 1998; Rowntree 1981)
67. And is provided with Mann-Whitney U by SPSS and is reduced to the same derived z value as Mann-Whitney U.
68. Where samples were small, to mitigate unreliable estimates of the probabilities of test statistics, exact probabilities were calculated where appropriate.
69. The respondents of both samples derived from the one population. This view is primarily informed by the geographical origin of the respondents, all taken from within the research area, the aim of research with both samples, and ultimately that all respondents were considered to represent varying levels of participation so that they could '...be described...in terms of characteristics which are common to them both...' (Oppenheim 1992 p38). Thus, the only although key initial difference amongst all participation levels is associated with the origins of those from sample A, from the random household survey, and those from sample B, of the NFDC citizen panel survey.
70. Statistical Null hypothesis( $H_0$ ):The pair of medians are equal. ( $H_1$ ) the median of the higher level group is greater than the median for the lower level group (therefore, it is a one-tailed test which is considered more rigorous than a two-tailed test, to prove a difference exists between the participant levels and the groups. Where significance is shown, direction is indicated).
71. See for examples Parry et al. 1992; DCLG 2006a; Vetter 2007
72. See DCLG 2006a. Citizenship Survey 2005
73. A comparative similarity of findings found for example with responses to 'access to information' and 'trust of institutions'; and with institutions representatives responses, with 'level of influence', 'participant characteristics' and 'discouragement from participation'.
74. As shown for example with regard to considerations for 'time' needed to participate – emphasised by the non participants in the interviews but not seemingly considered an issue at the leader level during these interviews (see p364 Chapter VI).
75. Although it is acknowledged that a relatively arbitrary decision process informed the sample size (see p185)

76. The leader category refers to those members of the community who participated in decision-making processes and also held leadership posts in community groups; collectives participated in one group or more; individuals, only expressed their views independently and not as part of a collective; and non participants, were those who had not engaged in participatory processes in the preceding 12 month period to the primary research period. (See p173).
77. Associated by Parry et al. 1992 with *political efficacy* and *cynicism*
78. Shown by Bucheker et al. 2003 to be of influence on levels of participation
79. Required at the request of interviewees to use researcher discretion and maintain anonymity. This addressed considerations of ethical research and confidentiality so that views could not be traced back to an individual.
80. Negative comments were marked in yellow, 'not much of a view', orange and positive views, were highlighted in blue.
81. See Kelly 2001.
82. Although censored at interviewee requests for researcher discretion as to maintaining interviewee anonymity
83. Community group leaders, the four participant levels of Sample A and two participant levels of Sample B and the institutions' representatives.
84. For the use of this data a legal contract had to be entered.

***Chapter V- The macro and micro context of the case study area: The New Forest,  
Hampshire, England.***

**Introduction to chapter**

One of the most fundamental elements of research in the fields of governance and social capital is that investigations must be considered in context (Hyden 1992; Graham et al. 2003b). This requires case specific studies and, because the participatory actions of institutions and communities are influenced by the national democratic systems established, as discussed in *Chapter IV*, this governmental context as the ‘macro’ political level of the institutions, needs to be examined in consideration of their adherence or otherwise to governance systems.

*Section I* of this chapter complements the evaluation presented in *Chapter II* of governance and participation principles at national to local socio-political levels, with an examination of the national ‘macro’ context of the English National Park network.

The local level constitutes the ‘micro’ context and together with the ‘macro’ level review, contributes to the ‘Method for assessing Governance, Social Capital and Participation in National Parks’ (MaGSPin) used in this case study of the New Forest<sup>1</sup>. This local, micro context constitutes the core subject of this Chapter and focuses on the dual operation practiced of local government *and* governance in the case study area of the New Forest, Hampshire. In addition, historic, socio-demographic, socio-economic and cultural features of and issues in the New Forest and its community<sup>2</sup> are examined. This is in recognition of their contribution to enhancing features of social capital and their further influence on community participation, not least in providing reasons for participation/non participation (Moran 2005; Parry et al. 1992; Vetter 2007).

Guidance on best practice in protected area governance advocates that information on both the area within the National Park boundary and neighbouring areas of the Park need to be considered (Castro et al. 2001; IUCN 2003 a). The borough and district councils of Test Valley and Salisbury, and the county councils of Wiltshire and Hampshire, have some influence on governance in and decisions taken on the New Forest. However, the two local authorities of the New Forest National Park Authority (NFNPA) and the New Forest District Council (NFDC) are particularly influential and are the focus of this research. The NFNPA has direct responsibilities for the National Park, and the NFDC provides the administration for the largest share, at a local level, of the area.

*Section II* of this chapter concerns the local area specifically and provides information on the social, economic, historical, ecological and cultural characteristics of the New Forest, paying particular attention to the characteristics of the population. The more recent establishment of the NFNPA in 2005 means more data is available from the NFDC than from the Park Authority. This information contributes to the review of the ‘micro’ context.

*Section III* continues with this micro level review by examining the main institutions and the key strategy for community engagement, government and governance structures in the New Forest National Park. This section includes a brief review of the Verderers’ Court and the Forestry Commission. The Verderers hold specific governing rights and the Forestry Commission has an influential role on the management and government of the New Forest through their land management responsibilities.

*Section IV*, based on primary research data, provides an insight into current community participation and presents the perspectives of community group leaders and the institutions’ on community engagement in the case study area. The similarities and differences of views amongst the governmental institutions and amongst the community group leaders are highlighted.

The information contained in this Chapter derives initially from literature reviewed but is additionally developed through an examination of secondary data, government documentation, and a series of personal communications with the planning policy teams in the NFNPA and the NFDC. In addition, this chapter includes the first report on the primary research conducted and interviews held with representatives from the key institutions and with a sample of community group leaders in the case study area. The findings derived from what is essentially a descriptive overview of the context for community participation in the New Forest, contribute to the foundations of the MaGSPiN research model presented in *Chapter IV*. As such, this information also informs the final discussions presented in *Chapter VII* and *Chapter VIII*. Only key points of relevance to governance, social capital and community participation are highlighted.

***Section I: The macro context: UK National Parks, their governing systems, governance and processes***

### **5.1.1 Introduction**

This section first outlines a national perspective of National Parks. An overview of the English National Park network is presented and its governance systems, its associated governing institutions and their responsibilities for and issues with community engagement are examined.

### **5.1.2 The UK National Parks and Systems**

There are 13 National Parks in England, Scotland and Wales, and as shown in Figure 9 below, England has 8 National Parks covering 7% of the terrestrial area. Unlike some National Parks found internationally, the UK National Parks are not wildernesses, (Countryside Agency 2005b) and more than 300,000 people either reside and/or work on the land. This figure is enhanced through the tourist visits recorded at more than 110,000,000 (ANPA 2008). This supports the National Parks duty to encourage the social and economic welfare of local communities, much of which is derived from the sale of local produce and the provision of services to tourists and the tourism industry (ANPA 2008).

**Figure 9 National Parks in England, Wales and Scotland**



**(Source: ANPA -Britain's breathing spaces 2008)**

### 5.1.3 Definition and Purposes

Considered as an example of ‘...our finest, iconic landscapes...’ (Shaw 2008 p1), and in recognition of their ecological, archaeological, geological and recreational values, the National Park designation is supposed to provide the highest level of protection in the UK (Countryside Agency 2005b). Two purposes direct the National Park and are statutorily endorsed in the Environment Act 1995:

- ‘...to conserve and enhance the natural beauty, wildlife, and cultural heritage of the National Parks.’;
- ‘...to promote opportunities for the understanding and enjoyment of the special qualities (of the Parks) by the public’ (Countryside Agency 2005b pp5-6).

Whilst ‘conservation and enhancement’ is one aim, and the second, is the promotion of public awareness and enjoyment of these areas, there is a potential for actions required to achieve these objectives to conflict. Unless a suitable resolution can be found, conservation priorities statutorily take precedence and are decided under the ‘Sandford’ principle<sup>3</sup> (Countryside Agency 2005b).

### 5.1.4 National Park Administration

Since 1995 and the Environment Act, administration for the national parks has been transferred from the County Councils, to National Park Authorities (NPAs) (Countryside Agency 2005b). Administrative responsibilities have been coupled with a duty placed on the NPA to ‘...foster the economic and social wellbeing of local communities within the National Park without incurring significant expenditure ...’ (Countryside Agency 2005b p6). This associates the work and vision of the National Park with the realms of sustainable development viewed as ‘...an integrated and balanced approach to environmental, social and economic considerations.’ (Countryside Agency 2005b p6). Furthermore, it infers attention is, albeit purposefully or otherwise, paid to the enhancement of the benefits deriving from the interconnections of the three capitals required to establish sustainable communities (Senior & Townsend 2005). This additionally can be associated with developing active public participation in the governance of a National Park (refer to *Chapter III, Section: 3.3.2*) This integrated approach infers the need for the Park Authority to work with all stakeholders inclusive of key policy makers, local authorities, fund holders and engage the local resident and business communities in governance and decision-making processes (Countryside Agency 2005b; ECNC 2003).

### 5.1.5 The national focus on community engagement

Participation of the wider community in local decision-making is prescribed, albeit through collective action, to enhance policy formulation and its implementation, planning and management strategies, and in the development of a vision for a National Park, (Countryside Agency 2005b). A range of engagement is advocated that reflects the level of influence afforded to the community (Countryside Agency 2005b). From this perspective, the community are viewed as a vital ingredient in the development of environmental policy ... help(ing) to build good community relations and '...(providing the community with) a sense of ownership and commitment towards (for examples, a) policy (and/or project).' (Tribe et al. 2000 p111) Through this, projects are argued to have more potential to achieve sustainability and longevity; as Barrow, philosophises, (1999 p244) '...it is pointless promoting tree planting if people later fail to take care of the growing saplings.' Safeguarding natural environmental sites, from the British perspective, as with international views (refer *Chapter III, Section: 3.1.8*), is thus viewed by some as essentially, (perhaps only), to be addressed through engendering public support for site management, protection and maintenance (Govan et al. 1998; Tribe et al. 2000). Marsh (1993) emphasises the importance of this latter point most succinctly in that statutory protection and designation, clear demonstrative outcomes of predominantly, government, have not always nor consistently proven to safeguard, maintain and manage environmental sites, as such, support has needed to be actively sought from local communities.

The active involvement of the wider community is clearly prescribed in the UK Government's modernizing agenda (DETR 1998). This engagement *to varying degrees* can be analyzed in terms of: the creation of more transparent planning and management processes; the development of Local Agenda 21 agreements, Community Plans and Strategies and their focus on the promotion of the economic, social and environmental well-being of a society; developments in Biodiversity Action Plans arising from the UK Biodiversity Action Plan (Countryside Agency 2005b); and since the mid 1990's, the growing activity and policy development in the context of Urban Green Spaces (Handley et al. 2003), forestry management and that of National Parks (Countryside Agency 2005b). The focus of these plans and policies on integrated planning and management means that a number of institutions and communities can be involved in a single strategy. As shown below and discussed in *Chapter III*, the form of discourse expected requires collaborative approaches to develop a strategy and where groups are established, partnership working (Borrini-Feyerabend 1995; Borrini-Feyerabend 1999; Borrini-Feyerabend et al. 2006; Kothari 2006; Lockwood & Kothari 2006; Long 2000).



### 5.1.6 A broad framework of national and local associations and partnerships

Active public participation in collective models of community and special interest groups forms an element of National Park governance and participation structures. This is effectively centred around a National Park Authority, which as an independent governing body, guides the purposes of the National Park, through the production of a mandatory Management Plan. A key mechanism to address sustainable development objectives and the two fundamental purposes of the Park is through partnership working. As shown in Figure 10, this includes associations with a number of other Institutions, the voluntary sector, and through popular methods of community engagement at a collective level, such as forums, working groups and stakeholder groups<sup>4</sup>.

**Figure 10 Partnership links**



**Source: Author**

Whilst this framework suggests it is associated with democratic and governance principles of broad institutional engagement, discourse and collaboration amongst the institutions and with communities, this same breadth of stakeholders can result in negative outcomes. As discussed in *Chapter II*, these broad collaborative partnerships may weaken any accountability for actions (Beausang 2002) or the efficacy of results may additionally be affected through aiming for numerous policy objectives (Defra/In-house Policy Consultancy 2004). Ultimately, the inclusion of numerous institutions, their policies and agendas, could deter wider community engagement because of the amount of governmental rules and layers of bureaucracy perceived (Graham et al. 2003b; Kothari 2006). It has been suggested that this could be interpreted as an exclusive rather than inclusive design (Mwamfupe 1998; Warner 1997). Government and governance are therefore, to varying degrees, in practice, a dual operation (see *Section: 2.1.4* pp.46 to 47): a context, which Hyden & Court (2002), commonly consider to be practiced.

### **5.1.7 Internal NPA governance structure**

It may be argued that there is a dominance of government as opposed to governance, within the National Park Authorities. Each NPA is governed by an unelected board of a number of senior staff and unpaid members from local, town and parish councillors and appointees of the Secretary of State. Currently, members' roles highlight elements of the generic governance principles of leadership and scrutiny. These members are considered to provide direction for the NPA to ensure that the Park's purposes are met in keeping with the characteristics of the Park and within principles of sustainable development in an efficient, effective and accountable manner.

As Debicka & Debicki (ca. 2005) states, it is not uncommon for institutions' representatives to actually be unrepresentative of local community views. This can be argued in the case of the New Forest where the executive board of the NPA is made up of unelected members and therefore brings into question the degree to which a representative system is practiced. This democratic deficiency is already acknowledged and discussions are planned as to the potential for these posts to be elected in the future (C. Chatters. Chairman of NFNPA. Pers. Comm. 2008; Shaw 2008). This notion itself requires extensive consideration and innovation: for a nationally valued protected area, questions need to be considered as to how such an election for representatives could take place and as to which, if not all, associated communities, derived from the national, regional, local and Park bordering communities, could be included as electors (C. Chatters Pers. Comm. 2008).

### 5.1.8 A strategic vision: National Park Management Plans

Section 66(1) of the Environment Act 1995, requires that each National Park has a management plan as the ‘over-arching strategic document (which is) central to the future of the Park.’ (Countryside Agency 2005b p7).

The guiding principles prescribed by the Countryside Agency show links to generic governance principles and commitments to community participation. These guidelines emphasise that plans should be prepared through partnership working at all stages, and with the ‘...active participation of key stakeholders and the wider community, encouraging shared ownership of and support for the objectives, policies and actions that the Plan identifies.’ (Countryside Agency 2005b p8; NFNPA 2008a). The engagement must be carefully planned, transparent, clearly defined from the beginning and to be a ‘means to an end’, leading to appropriate and identifiable actions, and be able to withstand ‘scrutiny’ and ‘oversight’. (Countryside Agency 2005b p8).

Methods of engagement with stakeholders are left for the individual NPA to decide. Nevertheless, ‘meaningful engagement and effective management...’ is emphasised as is the requirement to ensure that such discourse results in ‘... much more than simple consultation... (necessitating) the influencing and sharing of decisions by stakeholders within the clear parameters of the National Park purposes and duties...’ (Countryside Agency 2005b p14). However, public consultations are a key method used for wider community engagement, which is generally considered to be a weak form of participation in terms of discourse and influence (Arnstein 1969; Richards & Connelly 2002). Yet there is an institutional emphasis placed on decisions being influenced by stakeholders which, in consideration of national directives for community engagement<sup>5</sup>, can quite feasibly be assumed to include communities (Countryside Agency 2005b). This implies that the methods to be used and outcomes of engagement should tend to the higher point of the ‘Scope of Participation’ as shown in Table 1 (p 79) . However, even at this scale, influence is potentially diluted. This is due, as discussed further in the case study area, to the development of top-down agendas; i.e. those derived from institutional designs and aspirations or of environmental imperatives and can be seen as divorced from local needs and priorities (CPRE 2007; John 2001; Lyons 2006: & 2007; Phillips 2002; and see *Chapter II*, Sections: 2.4.2; 2.4.3 and *Chapter III*, p.106).

Community empowerment and engagement is advocated from the beginning of the development of the Plan and emphasis is placed on the need for engagement processes to be attractive and of clear benefit to those involved whilst ‘...recognising that Park communities are often difficult to

reach...’(Countryside Agency 2005b p17). A further associated issue is the question of consultation fatigue (Richardson & Connelly 2002) and the need to avoid the duplication of resources. This in turn supports a prescribed aspiration associated with partnership working and integrated planning: to coordinate NPA plans and activities for community engagement with those of their resident parish councils and of neighbouring local authorities in for example, the development of planning policy processes, such as Sustainable Community Strategies (NFNPA 2008a)(see *Chapter II*, p.90).

Mindful of the transient tourist community and their right to express their views on the national park, (Countryside Agency 2005b; Eagles 2002; Richardson & Connelly 2002) suggestions are made to engage with these citizens through surveys, focus groups and the use of the web (Countryside Agency 2005b). This requirement is a challenge, as will be discussed further in *Sections II* and *IV*, and infers extra institutional resources to enact such community engagement which as discussed below, would not necessarily need to be considered in more general contexts.

#### **5.1.9 Key Issues for English National Parks – Planning and Development**

Common issues found in the National Park system include the effects of climate change, ageing park populations, longer commuting distances for work, housing market trends showing increases in prices, inward migration, a decline in traditional economic activities and increasing dependence on tourism which itself has resulted in seasonal and part-time employment (Defra/In-house Policy Consultancy 2004). All these issues require consideration in strategic and developmental planning, thus especially under current planning reforms, create further topics, contexts and potential motivations or demotivation for community participation.

An evaluative review of these issues, National Park Authorities and of planning policies was conducted in 2004 with the purpose to consider ‘...the potential impact of the government’s planning reforms...’ in the National Park context (Defra/In-house Policy Consultancy 2004 p2). The following information and examples, provides further contextual information of macro-level issues for the English National Park and demonstrates the diverse government and governance setting it works within adding to complexities at the local level in community engagement. These few examples are taken from this Review of 2004, includes its recommendations and where available Defra’s responses of 2006<sup>6</sup>. Whilst acknowledging that all Parks have different challenges, issues with planning and concerns over reforms were reported as common to all.

The previous planning system was viewed to ‘work’ (Defra/In-house Policy Consultancy 2004 p2; Defra 2006) as it focused on objectives aligned with a Park’s statutory purposes and duty. Conversely, NPAs were reported as unhappy with ‘...their treatment in ...planning reforms...’ due to a lack of Government’s consideration for Parks and their issues; and ultimately, a lack of recognition for tensions experienced in the dual objectives of the Park objectives as a local planning authority and on the other hand, acting from a national perspective to safeguard a nationally designated protected area (Defra /In-house Policy Consultancy 2004 p7).

A lack of consideration was further perceived with practical issues in terms of how much involvement the NPA has with constituent local authorities over the development of their Local Strategic Partnerships (LSPs), and Community Strategies. This was considered to change Park priorities and result in concerns for ‘...considerable resource demands...’ (Defra/In-house Policy Consultancy 2004 p47). However, partnership developments, considered a core competency of the NPAs, were viewed as vital to provide them with an influential role with a wide range of bodies and ensure that ‘...policies acknowledge the National Park and its boundaries... (and that)...strategies affecting National Parks fully take on board (Park) interests...’ (Defra 2006 p18). Furthermore, Parks have an array of existing Management Plans encompassing, for example, varying habitat management plans, parish plans and other statutory commitments required (Defra /In-house Policy Consultancy 2004). This shows the potential for tensions created through multiple objectives, actions and strategies, and has additional implications for increasing community confusion, consultation fatigue and further resource demands on the part of the NPA, in managing community expectations and aspirations voiced through engagement mechanisms. The need to avoid, or at least, minimise these matters is highlighted (Countryside Agency 2005b; Richardson & Connelly 2002).

In addition, as ‘...national treasures...’ (Shaw 2008 p2), National Parks have ‘...a wider definition of community than other local planning authorities...’ (Defra/In-house Policy Consultancy 2004 p48) including the engagement of representatives of the national community. Guidance was requested of Government on how to meet expectations of encouraging and managing local and national community engagement. Moreover, a clarification of relationships was requested with regard to integrating objectives arising from the numerous community strategies and plans of NPA partners and local authorities adjacent to National Parks with those of National Park Management Plans (Defra/In-house Policy Consultancy 2004).

### **5.1.10 The focus and breadth of community participation in National Parks**

When considering Community Strategies, Defra suggests a national steer on community engagement should involve both local and bordering communities (Defra/In-house Policy Consultancy 2004; Defra 2004). This is in line with best practice guidelines on community engagement and means that in National Parks, community engagement should include not only resident Park communities, but also those of neighbouring areas and as discussed above and in *Chapter III*, those of the tourist and leisure community (Castro et al. 2001; Eagles et al 2002; IUCN 2003 b and c).

In addition, the very nature of the National Park as a national treasure requires the additional community engagement of the nation's interests at large being considered. The implications of this range and sheer magnitude of stakeholders involved in protected area governance is arguably quite overwhelming. Furthermore, in accordance with best practice guidelines for the planning and management of protected areas, it is viewed as essential (IUCN 1998 b).

### **5.1.11 Section I: summary**

Today, it could be suggested there are weaknesses in democratic principles, including a potential for an unrepresentative executive team in the internal governance structure of an NPA. The numerous partnerships the NPA is required to develop also lead to a complexity of influences on the management and development of the National Park and not least, on its community engagement strategies. Further new planning reforms and ways of working suggest that resources could at the least be strained. Nonetheless, the focus and environment within Government, is for participation by empowered and active communities. This is shown by national governmental objectives and policies, denoted by the NPA frameworks, the objectives and duty of the National Parks, and the opportunities created through parish and community planning and spatial planning policies. Combined with the national government's focus on community engagement, most notably emphasised in current reforms in planning, this would appear that broadly speaking, community participation is being encouraged and to an extent, facilitated. These reforms also suggest that best practice guidelines for integrated, spatial planning informed both by grass roots participation and top-down approaches, have the potential to include the protected area networks' qualities and values in wider policies and agendas.

Yet, whilst the focus on institutions' engagement with networks and groups infers a degree of influence on discussions, it is neither evident nor defined at this macro level, as to what level of engagement by the general public is expected neither is this quantified. In addition, and as implied by NPAs requests

for guidance from central government, there does not appear to be any national strategic focus on working towards this more general level of public participation.

The following sections, investigate these and further institutional issues, concerns, activities and views on community engagement in local governance processes at the local and **micro** contextual level in the case study of the New Forest.

***Section II: The micro context: New Forest, Hampshire - social, economic, historical, ecological and cultural characteristics***

### **5.2.1 Introduction**

The following information focuses on the local ‘micro’ level of the case study area. In accordance with the MaGSPiN research model (see *Chapter IV*, p.162), it provides a contextual background on the relevant characteristics that contribute to understanding community participation in the case study area. This information associates with investigating key elements of social capital and of the governance practiced in the New Forest and as such, presents case-specific factors of influence on the amount of community participation demonstrated. Therefore, this review supports discussions in *Chapter VII* as to reasons presented by the research population for their levels of action or inaction in local decision-making.

### **5.2.2 Overview of the New Forest**

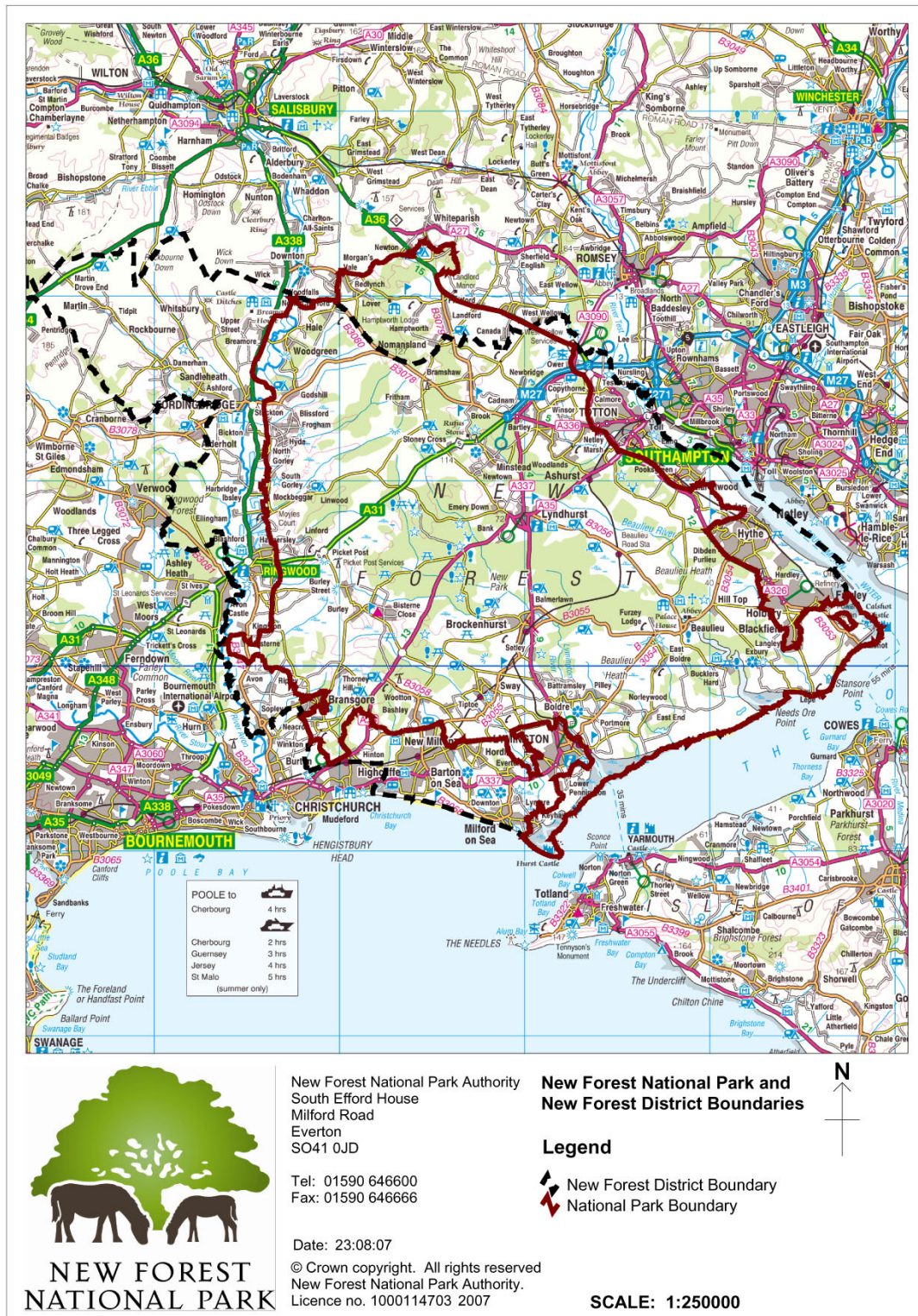
The New Forest is located in the Hampshire basin and is part of the ‘...the richest county in Britain if this is measured by the numbers of plant and animal species recorded...’ (Tubbs 2001 p31). The National Park is in south west of Hampshire between Southampton Water in the east, and the Avon Valley in the west and extends from the Wiltshire Chalk downs in the north to the Solent coast in the South (refer to Figure 11). As shown on this map, at a local level, the two primary governing structures and lead institutions on community participation in the area are the New Forest District Council (NFDC) and the New Forest National Park Authority (NFNPA).

### **5.2.3 Characteristics of the New Forest District Council and the area within its jurisdiction**

The New Forest District Council was created on 1 April 1974 as the result of a merger of the borough of Lymington, New Forest Rural District and part of Ringwood and Fordingbridge Rural District. The district in spatial terms is of 753.21 square kilometres and by population density is of 231 square kilometres. It is not a unitary authority and therefore is linked to the administrative authority of Hampshire County Council. It has the jurisdiction for a major part of the New Forest National Park



Figure 11: Map of NFNPA and NFDC boundaries



with 37 parishes and settlements wholly or partly within the National Park boundary and therefore, has strong partnership links to the New Forest National Park Authority. The NFDC's democratic structure is of a Leader and Cabinet, of a Conservative Executive and two MPs represent the area (NFNPA 2008 a.).

#### **5.2.4 Population and socio-economic characteristics**

The total population of the area within NFDC's jurisdiction was estimated in 2007 at 172,100 of which just fewer than twenty percent (19.98%) reside within the boundary of the New Forest National Park (HCC ca. 2007). Of the total NFDC population, 52% are female (National Statistics 2001; HCC 2006). There is a predominantly white-British mix in the area with the largest ethnic minority group of mixed white Asian of .02% (National Statistics 2001).

The age profile shows an underrepresented younger age group (16-44), (HCC 2006) and an aging population (NFDC 2007). More than half (51%) of the population are over 45 and together with the over 60s the proportion of these age groups are considerably higher than both the county and national averages (HCC 2006).

#### **5.2.5 Key socio-economic concerns**

As with other National Parks, socio-economic issues are common (see *Section: 5.1.9*). Wages are low, the house prices are high and there is a lack of affordable homes for local communities. All of which are issues commonly considered to be exacerbated by the tourism attracted to the area (HCC 2006). Affordable homes are especially seen by local communities' as necessary for the support of the Commoning community. This concern is centred on the implications that a lack of affordable homes is/will have on the traditional way of life of Commoners and includes further implications that a decrease in commoning would have a detrimental effect on the unique landscape of the Forest (NFNPA 2008a p77).

A further prime influence on the socio-economic situation in the New Forest is considered to be attributed to the amount of retired people who move to the area with significant capital and who account for more than 26% of all New Forest households (HCC 2006). More than 80% (82%) of these residents live in owner-occupied dwellings and only 6% live in social rented properties (NFNPA 2008b).

Overall the New Forest economy is worth over £2.3 billion however compared to national, regional and county averages it '...ranks second to last of all the Hampshire authorities.' (HCC 2006 p4). This

is considered to be due to the lack of a single major centre within the area (HCC 2006) and almost 88% of the area is classed as rural (HCC 2006). A number of ‘...relatively prosperous but smaller towns (are) located around the edge of the National Park itself...’(HCC 2006 p4). However, whilst these towns and local businesses are creating employment, the areas are unlikely to attract major inward investment or corporations which could increase employment, both in terms of numbers and range of occupations which could assist with increasing the average salaries that are experienced in the area (HCC 2006). The economic growth rate is forecasted below that expected for Hampshire as a whole and for the South East region (HCC 2006).

This does not bode well for seven areas in the New Forest which fall within the top 20% of the most deprived areas in Hampshire, and one area in the top 20% most deprived areas in England. These are located in the Totton and Waterside and Coastal Town areas (HCC 2006). The rurality of many of the areas also places the ‘...majority of the district in the top-twenty percent of the most deprived areas in the county with regard to geographical barriers to services.’(HCC 2006 p34).

In terms of working ages, in comparison with county and national averages, only 56% of the population is in this category (HCC 2006). Unemployment is at less than 1%<sup>7</sup> (HCC 2006) and is below the national, regional and county-wide averages. Of those who are employed, whilst representation is indicated in ‘professionals’, ‘managerial’ and other ‘higher-order’ posts, compared to regional averages, the ‘...district...is underrepresented in...’ these categories and the workforce tends to comprise of lower-skilled occupations (HCC 2006 p19). However, the social breakdown of the area shows more than 55% of the population are in the middle to upper middle class and lower middle class categories<sup>8</sup> (HCC 2006), of which the latter is the single largest group in the area. C2, skilled working class and D working class corresponds to fewer than 30%, and category E,<sup>9</sup> is of just over 15% (HCC 2006 p35).

In comparison with national, regional and county-wide figures, the level of qualifications attained parallels occupational profiles. This indicates an under representation with A levels and degrees, and the population being overrepresented in GCSEs. Nevertheless, approximately a quarter of the population are highly qualified (HCC 2006).

In summary, the New Forest area has an aging population in part due to in-migration of retirees (HCC 2006 p24). The age group with the highest rate of out-migration is of the 16-29 age groups which ‘...accounts for almost two out of every five out migrants...’ (HCC 2006 p26). A loss of younger community members can be associated with the type of employment, wages, and lack of affordable homes on offer within the area. This raises questions as to the lack of diversity of the community and the spread of views hoped for in community participation processes.

Nevertheless, it is also recognised that for those able to move to or remain in the area the ‘...New Forest offers an almost unparalleled quality of life...’ (HCC 2006 p4). This assertion derives from the high quality environment, low crime rates and high life expectancy rates recorded (HCC 2006). As discussed in *Chapter III*, these features can be associated with encouraging social and mental well being and thus contribute to the features of natural and social capital evident in and on the boundary of the New Forest National Park (Kuo 2001; Lyons 2006; Serageldin & Grootaert 2000).

### 5.2.6 The New Forest National Park and its environs

Although not formally recognised as a National Park till March 2005, the New Forest in effect had previously received the attention and protection accorded to national parks in all but name. This included the development of the 1949 New Forest Act and its emphasis on conservation, the protected area status of a National Nature Reserve in 1969 and the declaration of SSSI<sup>10</sup> in 1971. In 1985 it was awarded special status as the ‘New Forest Heritage Area’. In consideration of the various managing institutions in the area, and following a review of the conservation of its local heritage, as with other National Parks, the New Forest Committee was established in 1990 to coordinate the activities of national and local government bodies in the management of the Forest.

In 1991, the National Parks Review Panel recommended to Government the formal recognition of the Forest as a National Park. However, following public consultation in 1992, the Government announced that the Forest would **not** be declared a National Park **but would** receive planning protection as if it were so (Forestry Commission 2009). In 1999, following a further review by the Countryside Agency<sup>11</sup>, the designation process was again recommended. Although numerous layers and forms of protection were in place, the Countryside Agency’s recommendation to formally designate the New Forest as a National Park was founded on: a lack of landscape designation; a lack of statutory management plan and ‘...secure body to coordinate action ...’ required; ‘...a lack of resources to deliver the management plan...’; and a further lack ‘...of duty on all public bodies to have regard to the purpose of the designation...’ (Natural England AP99/233 2009 p5).

In consideration of the uniqueness of the area and its governing *and* governance processes, the establishment of a National Park Authority (which would follow the designation) was *not* recommended. Rather that a tailor-made authority, (working alongside locally based and traditional governing and governance arrangements), and legislation was advised (Natural England AP99/233 2009). However, caution was asserted as designation had the potential to ‘...overlap with existing legislative arrangements... (which) could lead to the duplication of responsibilities e.g. in recreation management, or even operational conflicts.’ (Natural England AP99/233 2009 p2). Additionally, as

discussed further in Section: 5.3.8 it was understood that there would likely be opposition to the principle of Park designation which would be considered to be an imposition of ‘...a top-down and standard solution on a unique place.’ (Natural England AP99/233 2009 p2).

Finally, following controversial consultation processes, the area was *formally* recognised as a National Park in 2005. This further layer of protection and perceived ‘...unnecessary...bureaucracy...’ (Natural England AP99/223 p7), was argued on the basis of providing additional protection to the Forest’s ‘unique character’ (Defra 2004 p1), considered to be especially warranted due to increasing pressures for housing development and transport in the South and South-east (NFNPA 2008 a;NFNPAA 2009). It was also considered necessary to formally recognise its ‘...900 years of special protection...(and) 50 years...’ since it ‘...was first considered for designation...’ (Michael in NFNPA 2009b p2). The result has been that it is the eighth national park designated in England, the first in the south-east of England and was the first to be created for nearly 50 years (NFNPA 2008 a).

It currently covers a geographical area of 56,658 hectares (NFNPA 2008 a) which includes the Open Forest, encompassing ‘...a much wider area connected by strong cultural, economic and landscape associations...’ (NFNPA 2003 p14). Together these attributes combine to make a ‘...living landscape: ... shaped by traditional land management and the way of life of local people.’ (NFNPA 2003 p26); and further infers enhancements to social capital in the area (Halpern 2005 ;Senior & Townsend 2005; Witasari et al. 2006)

The legal boundary of the Open Forest includes the Perambulation of 37,907 ha, (Chatters and Read 2006). In recent years, the area of the Open Forest has increased with the restoration of conifer plantations to heathland, and been reduced in other areas through the inclosure of grazed woodland and the fencing of lanes leading to the coast (Chatters and Read 2006). There is no definitive map of ownership of the Open Forest although circa 50 owners are estimated (Chatters and Read 2006) of whom the largest landowner is the State.

### **5.2.7 Land ownership**

Forest Land owned by the State is Crown land and forms the historic royal estate owned by the monarch as part of the institution of the Crown. The land is the responsibility of Government Ministers and the Forestry Commission. The next largest landowner is the National Trust who has acquired privately owned commons. Other landowners, all of whom have a stake in the governance of the New Forest, include Parish Councils, Hampshire County Council, Hampshire & Isle of Wight

Wildlife Trust, mineral companies, landed estates, public houses and private individuals (Chatters and Read 2006).

### **5.2.8 Natural and cultural heritage designations**

The size, quality and unique biodiversity combined with an inextricably linked socio-economic system contributes to the area's ecology (Tubbs 2001). Whilst it is the smallest of the National Parks<sup>12</sup> it has the highest number of European and international designations covering 56% of the Park (NFNPA 2008 a) and as detailed above in *Section: 5.2.6* has over the years, attracted numerous layers of protection and further national designations.<sup>13</sup>

In addition to nature conservation, heritage sites, parks and gardens of historic interest are listed (NFNPA 2008 a). In recognition of the historic and architectural interest and associated landscapes in the Forest, Conservation Areas are being designated. Whilst no obligations are made on the Park for community engagement in this process (NFNPA 2008 d), best practice is adopted by the NFNPA with a current consultation taking place on the designation of Conservation Areas.

### **5.2.9 Recreational facilities**

The New Forest National Park is the most visited of all English National Parks with more than 13,000,000 million day visitors attracted to the area. This is forecast to grow by an additional 12% by 2026 due to increased populations in neighbouring areas (NFNPA 2008 a p72). To control impacts arising from increased visitation, a Recreation Strategy has been written in consultation with numerous organisations, through stakeholder group participation and in consideration of the draft National Park Plan, to address issues and trends forecast to occur over the next 20 to 30 years. This is currently open for consultation<sup>14</sup> with the wider public.

### **5.2.10 The population within the boundary of the New Forest National Park**

The rural population within the National Park boundary stands at 34,668 and results in the New Forest being the most heavily populated of all the English National Parks (NFNPA 2008 a). Residents' characteristics are similar to those of the population in the neighbouring NFDC areas with 24% of the National Park populace of pensionable age (NFNPA 2008 b). By 2026 this group of the Forest community is expected to increase to comprise 50% of the population (NFNPA 2008 a). The

remaining current 76% consists of 60% of the population between 16-64 years and 16% of school or pre-school age (NFNPA 2008 b).

#### **5.2.11 Tenure and employment**

House ownership reflects a tendency towards private ownership with 82% of the population owning their property and the other 18%, primarily of private rented residences. Second and holiday homes comprise 3% of the Park housing stock (NFNPA 2008 b).

The economically active make up 47% of the population and as with NFDC records, unemployment is low at 1% (NFNPA 2008 a).

#### **5.2.12 Main towns and villages**

The market towns of Ringwood and Lymington are on the outskirts of the National Park and their respective populations are approximately 13,600 and 14,500. The larger villages of Ashurst, Bransgore, Brockenhurst, Lyndhurst, and Sway, within the Park boundary have approximately 2,200 to 4,300 people. These areas alone contribute to almost 75% of the Forest's population (NFNPA 2003). Their importance is emphasised by the National Park Authority as vital hubs to provide employment opportunities, shops, facilities and services required to contribute to addressing some of the socio-economic concerns of the broader New Forest communities (NFNPA 2008a). Thirty-seven parishes are listed in or partially within the Park boundary (NFNPA 2008 a.).

#### **5.2.13 The economy**

Forestry, tourism, retail, professional services and public administration are the main industries in the area although agriculture is the basis of the rural economy which is in decline. Employment in forestry, farming, Commoning and crafts has paralleled this decline and accounts for only a small percentage of employment (NFNPA 2003). Changes of use of agricultural land have occurred with leisure and recreational development such as golf courses, stables and private grazing for horses.

Tourism has become the single most important economic driver and in consideration of concerns over other industries, is potentially the main support for sustaining local communities in terms of at the least, economics. In 2004, it contributed an annual value of £395 million (NFNPA 2008 a). Green Tourism is promoted and based on partnership working inclusive of the tourism industry, local communities and for environmental, cultural and economic interests. However, community tourism



groups are under-resourced and are also finding difficulties in being self-sustaining (NFNPA 2003). As such, the draft National Park Plan aims to create support ‘...for practical sustainability projects within the tourism sector...’ (NFNPA 2008 a p83).

#### **5.2.14 Cultural heritage and its sustainability**

The first human impact on the area can be traced back to at least the Bronze Age (NFNPA 2003). Activity from this time has resulted in a cultural heritage that includes some 2,000 archaeological sites, traditional architecture of buildings, historic houses and designated landscapes, settlement patterns and the landscape of the Forest. Equally important are the numerous traditions, arts and crafts of the Forest, special laws and administrative systems, which through a shared history, ‘... to a large extent hold communities together...’ (NFNPA 2003 p46) and thus, in theory, associates with the enhancement of social capital (Fukuyama 1999).

Traditional management and community ownership of the land is based on historic rights<sup>15</sup> and responsibilities through Commoning. This practice ‘...support(s) an intriguing landscape and way of life...and by doing so, maintains one of Britain’s richest and most diverse landscapes...’ (Chatters and Read 2006 p7). However, due to economic pressures and social changes, threats and challenges are foreseen, especially to the traditional institution and practice of Commoning, its distinctive culture and way of life. This threat has a direct effect for the natural environment and current features of the landscape. Concerns are complex and exacerbated by the low profits generated from farming and Commoning with nearly all of those of working age requiring a supplementary job to Commoning. To add to the matter, as presented in Section: 5.2.4, house and land prices have increased which impedes aspirations of many young commoners from pursuing Commoning as an occupation (NFNPA 2003).

#### **5.2.15 A reduction in local services**

Further catalysts for expressions of public opinion are a decline in local services including public transport, a lack of inward investment and patterns of consumerism away from local retailers to large stores outside of the Forest (NFNPA 2003). Additionally, in the Parishes, 70% have no shops, and only half have a village pub and a primary school. However, with financial aid, there has been an increase in the development of community halls and most of the Parishes are recorded as now having this facility (NFNPA 2003). As will be discussed further in *Section III*, partnership development is viewed as an imperative with local communities and local authorities, as the way forward to revitalise areas and to ‘...discuss and find solutions to the range of economic and social issues faced by



individual villages and towns.’ (NFNPA 2003 p109). For this, a continued focus on Parish Plans emphasised in the draft National Park Plan 2008, is viewed as crucial.

### **5.2.16 Additional current and future key challenges**

One of the key economic issues, concerns the New Forest being among the most disadvantaged districts for rural people in the south-east for access to services. Taking into account levels of income and access to essential services, areas of deprivation do exist (HCC 2006; NFDC 2008).

In addition, the Forest is bordered by the expanding residential and industrial areas of Christchurch, Bournemouth and Southampton conurbations and the Waterside Parishes for which Central Government dictates further housing development targets. Furthermore, controversial plans are underway for the expansion of Bournemouth International Airport (New Forest, New Chapter 2007). These actions alone infer additional pressures, not least in terms of traffic and congestion and the effect that such concerns have on the National Park and its wildlife currently and in the future. In terms of local communities’ views, such concerns are evident in regular media reports and as a result of numerous consultations on associated topics (eg: NFNPA 2008a; ‘New Forest, New Chapter’ 2007). The current pressure on the New Forest is additionally compounded by being an area well served by road from London and neighbouring cities attracting 24 million visitors per year, ‘...three quarters of whom come from the neighbouring towns and cities...’ (Chatters and Read 2006 p140). Whilst tourism generates substantial revenue for the area, traffic congestion and associated issues not least of wildlife fatalities and damage to fragile habitats are of concern both to local communities and the institutions (New Forest, New Chapter 2007). In recognition that ‘...the new growth around the borders of the National park has been planned without an appreciation of what this will mean for the Park...there is a real danger that the only places left for recreation will be the most sensitive landscape and habitats...’ (Chatters & Read 2006 p138). These areas are further of concern due to additional challenges anticipated to arise through climatic change and the effect that this will have on modifying the landscapes and their biodiversity which further exacerbate additional concerns to maintain the local distinctiveness of both the natural and built heritage in the area (NFNPA 2010)

Further pressures for local communities result from the inflation of house prices, which rose by more than 25% between 1998 and 2000 (NFNPA 2003 p86); within the Park, ‘...an average house now costing £360,000 (32% higher than the average for the South East.)’ (NFNPA 2008 a p78). In addition, average rates of pay are lower than the average for the South East of England (NFDC 2006).

A decline in farming also creates a further key threat and these concerns combined mean that ‘...if we want to conserve the landscape of the Forest we need to help find a future for those who currently manage the landscape.’ (Chatters & Read 2006 p142). For this the draft National Park Plan proposes to create affordable homes for a defined local community who can determine a housing need (NFNPA 2008 a). However, it is also recognised that a conflict exists in the NPA’s dual purposes to protect the area’s sensitive environment whilst equally, provide sites for affordable housing and also for economic developments required in order to increase local job opportunities (NFNPA 2003).

### 5.2.17 Addressing the challenges

These issues and challenges are considered to be best addressed through broad community engagement. This in turn is planned to be encouraged through existing parish planning processes and/or with specific projects designed to have the potential ‘...to bring communities together...’ (NFNPA 2008 a p78). In the words of Chatters and Read:

*‘...the Forest has always changed and it will continue to change in the future....’ (Action required to manage this change) ‘...over the years (will require) ...daily decisions by all of us ... to make a different Forest.’ ‘Decisions made outside the Forest by people not thinking about the Forest are just as important as those made in the Forest for the Forest ...part of the job for the National Park Authority is to guide these changes and decisions.’ (Chatters & Read 2006 p142).*

As suggested by this citation, an all-inclusive integrated decision making process is needed. This, includes, the development of cross-boundary partnerships with neighbouring authorities (NFNPA 2008 a), a requirement for the NFNPA to have considered 1,000 planning policies and the background to neighbouring council’s Community Strategies and the Mineral and Waste Strategy<sup>16</sup> at a county level. In addition, at a local level, the active participation of an able and motivated body of communities and individuals’ resident within the National Park, in neighbouring areas and as an area of national and tourist interest, from further afield is required. However, again the emphasis for wider community engagement is founded on a traditional participatory **collective** model of parish council processes.

### 5.2.18 Section II: summary

This review of the New Forest and its population suggested at this point in the study, that: there are clearly common issues and reasons for a community to be motivated to participate; generally speaking, a participatory culture appears to be an objective of the institutions; and with regard to the communities’ characteristics, there are apparent congruent features with the collective participant types

presented in previous research (Parry et al. 1992). Catalysts for the development of social capital, such as a common history, shared problems and unique traditions, are also evident.

The following section examines government in the New Forest through a review of the principle institutions and the main governance systems used. This encompasses a report on the strategic vision for the National Park and its aspirations and its actions to encourage community engagement. This section further highlights the challenges the principle institutions in the area face in terms of governance and community engagement. The key milestones in the long history of local community participation are also reviewed.

### ***Section III: Government, Governance and the power of collective action***

#### **5.3.1 Introduction**

As previously discussed, a number of institutions govern elements of the National Park, each with their own objectives but all with the same statutory imperatives for community engagement. This section reviews the key institutions, namely the NFDC, the Verderers, the Forestry Commission and the NFNPA, together with the Park Authority's strategy for the management of the National Park and its objectives for community participation. In addition, considerations of institution-specific issues and challenges are included in order to illustrate factors that contribute to the local communities' engagement or disengagement.

#### **5.3.2 The legacy of administration**

The New Forest as a Royal Forest was established between 1066 and 1086. Its legal framework restrained the expansion of settlements and '...resulted in a pastoral land use which exists in a modified format today' (Tubbs 2001 p78). Further historical events have also influenced the administration of the area by the Forestry Commission, as managers of Crown Lands, and the Verderers '...as the guardians of the Forest...' (Tubbs 2001 p78).

The current New Forest is bordered by 3 borough and district councils, Wiltshire County and Hampshire County Councils<sup>17</sup>, and falls within the remit of both the South East and South West regions (NFNPA 2003). Therefore its administration considers the Regional Economic Strategy for South East England 2006-2016 (South East Economic Development Agency, 2006) and the Regional Economic Strategy for South West England 2003-2013 (South West of England Regional Development Agency, 2003) that outline '...objectives for future sustainable economic development in the two regions...' (NFNPA 2008 a p179). However, the majority of the New Forest and responsibilities for its local government, governance and local community participation comes under the jurisdiction of the independent local authorities of the NFDC and the NFNPA.

#### **5.3.3 The New Forest District Council**

*Section II* of this chapter has provided information on NFDC which is supplemented through the more detailed review of community engagement in local government in *Chapter II, Section IV*. This showed that as a duty, endorsed through the White Papers, *Modern local Government. In Touch with People*

(1998) and the *Local Government Act* (2000), the Authority is expected to engage with its stakeholders and its local communities through participatory processes including Community Strategies and in community planning, through action contributing to the development of, for example, parish and town plans.

### **5.3.4 The New Forest National Park Authority**

Whilst the NFNPA is also an independent local authority for the National Park area, it has added responsibilities and challenges in terms of community participation, including its responsibilities as the planning authority for the area within the Park boundary. In general, challenges are recognised in community engagement, not least through consideration and the coordination of the numerous local to national level government partners and their objectives, but also the geographically and wide subject range of groups and communities the Authority needs to engage with at local, regional and national levels.

### **5.3.5 The establishment of the New Forest National Park and its management**

As previously discussed in *Section: 5.2.6*, the process of designating the New Forest as a National Park has been of debate since 1997 (Tubbs 2001). However, it was designated in 2005, took full powers in April 2006 and is considered as ‘...the latest layer in the crowded history of administrative change in the Forest...’ (Chatters & Read 2006 p137).

The purposes of the National Park are twofold, firstly to associate with sustainable principles and focus on conservation and recreation; together with a duty to foster the social and economic well being of local communities (NFNPA 2008 a p18).

The Park is administered by the National Park Authority which is an independent branch of local government and is funded by central government. It has 22 unelected members: 12 appointed by local county, district and borough Councils with land within the National Park, and appointed by the Secretary of State, 6 are considered to represent national interests and 4 represent local parishes. Together they have ‘...overall responsibility for making decisions... for setting policies and priorities...’ and for making sure that resources are used properly (NFNPA 2008 c ).

The Authority is financed by the public therefore it has a statutory duty to ensure that this money is used in an accountable way. The Authority's prime source of funding is a direct governmental grant from the Department for the Environment, Food and Rural Affairs (Defra) (NFNPA 2008 c).

The National Park has 60 staff<sup>18</sup> although the maximum stipulated would be 80 of which a third would deal with planning duties (NFNPA 2008 c); and the further two-thirds with expertise across a range of disciplines including planning, conservation, recreation, education, finance and communications (NFNPA 2008 c).

A review of the financial budget for 2008-2009 shows the main expenditure on development control, conservation of the natural environment and of cultural heritage, promoting understanding and enjoyment and in fifth position corporate management and administration (NFNPA 2008 b). Training and staff development appear to attract the lowest amounts of the budget allocated.

Achievements made by the Authority since its establishment reflect the numerous objectives assigned to it. Paying particular attention to areas of community participation, these are reported as:

- taking on the role of planning authority for the National Park;
- instigating a fundamental review of Conservation Areas within the National Park; and consulting the public on designations tailored to enhance the built heritage of the National Park;
- developing a range of education, events and outreach work ;
- ‘...Involving stakeholders in work to produce the crucial plans that will shape the future of the New Forest National Park for years to come: the National Park ... Plan, the Local Development Framework Core Strategy, (and) the Recreation Management Strategy ...’ (NFNPA 2008 c);
- keeping people informed about the work of the National Park Authority and its partners through regular talks, events, the website and publications (NFNPA 2008 c).

### 5.3.6 The Vision and Strategy of the New Forest National Park

Best practice in protected area governance (Graham et al. 2003a and b) emphasises a requirement for a strategic vision and management plan for the National Park. Such plans are advocated to be focused on governance and to have been developed through partnerships and community involvement, (Graham et al. 2003a and b; IUCN 2003a and b; Plumptre 2006). Given these recommendations it was appropriate to review the Interim Management Plan and Strategic Vision, 2003 for the National Park as part of this research.<sup>19</sup>

The ‘Vision’ and Strategy of 2003 for the New Forest<sup>20</sup> outlines the Authority’s leading role in working in partnership. This is envisaged through an integrated, collaborative management approach and by partnership working, (NFNPA 2003) to meet the Authority’s purposes as shown above.

This Strategy informed by international, national, regional legislation and guidance, management plans and policy documents acts as the ‘...stepping stone...’ towards the development of the draft National Park Plan (NFNPA 2003 p17). Key issues are identified for action and include ‘...to protect (the) special qualities (of) the Forest...’ and to emphasise the ‘...complex links which exist between the landscape, habitats and cultural heritage of the Forest, and the local economy and way of life of the Forest communities.’(NFNPA 2003 p15). This again, explicitly recognises the importance in a protected area of the three capitals of economics, social and environmental required (CBD 2008; Senior & Townsend 2005).

The implementation of any action is guided by the rule of law. Furthermore, the development of the Strategy, through the involvement and consensus of a 100 organisations and to a lesser degree of individuals, shows the ability and infers the enthusiasm that the New Forest Committee<sup>21</sup> had and the Authority has for community engagement. This point is further detailed and endorsed through the aspiration to create ‘...new and broader partnerships and networks...’ (NFNPA 2003 p15).

This aspiration for ‘networking’ emphasises a vision to ‘...work in partnership...involving local communities, statutory organisations, land managers, recreational users, businesses and other interested groups... to promote and achieve the Vision for the Forest through co-ordinated and innovative policies and actions.’ (NFNPA 2003 p15). However, it is also recognised that this Strategy needs to be integrated with the Sustainable Community Strategies produced by all 5 of the relevant County, Borough and District Councils (NFNPA 2003) so as to inform the policy formulation for the National Park area. Thus, through the democratic processes advocated for the production of these Community Strategies, consideration of community aspirations of both those resident within the Park boundary and in neighbouring areas to the National Park is explicit. ‘The challenge is for the NFNPA to create

policies for the National Park as a whole...' (T. Spence Policy Planning Officer NFNPA. Pers. comm. 2008).

The Park Strategy recognises that, as previously discussed, there are a large number of governors and institutions and as such, the '...New Forest is a crowded place in terms of interests, statutory responsibilities, legal designations and competing demands...' Thus it needs to '...minimise costly overlap, (cautioned by the Countryside Agency pre National Park designation – See *Section: 5.2.6*), reduce conflict and help in basic communication about the importance of the New Forest...' (NFNPA 2003 p8).

### **5.3.7 Implementation of the Strategy**

Community engagement and partnership development are reported as essential for the future, building on a history of partnership working and community involvement established over the last decade through the New Forest Committee. Particular emphasis is placed throughout the document on '...ensuring local communities are part of the decision-making process...' (NFNPA 2003 p20).

This engagement is interpreted as a two-tier mechanism. The first and most interactive form is through partnerships and stakeholder groups which have resulted in the formation of the draft Management Plan and Recreation Strategy 2008. The second tier is focused on the wider public through the use of consultations on these draft plans. To support this tier of engagement, publications are made available on the websites, at council and NPA offices and through the numerous organisations, community groups and parish councils in the Forest.

However, a third and overriding level, or perhaps more aptly stated, upper stage of dictat, should also be acknowledged in terms of the government which is evident of the area. This includes and derives from the Secretary of State and Defra who have clear authority on decisions taken on, and the financial steer of the National Park. In addition, the numerous designations of protected status provide for further directives as to how, what and when activities can, or otherwise, take place in the area and in consideration of the numerous habitats managed. As previously detailed, in conflict situations, nature conservation is a primary deciding factor governed through the Sandford Principle (see *Section: 5.1.3*).

Notwithstanding this acknowledgement, community engagement is asserted although a weakness is identified in the institutions' activities and efforts to engage with the general public as the wider community. This stance is informed by, as stated above, what appears to be reliance by institutions on the motivation of the general public to independently access information required to be able to



participate. Nevertheless, a more positive appraisal of the overall NPA aspirations for community engagement is additionally formed. This includes the reported advantages asserted by the NPA on key governance and participation principles emphasised with ‘...agreement of common goals, (to develop) a strong sense of ownership... (and) responsibility through involvement, equal access to information, transparency in consultation and decision-making and effective communication...’ (NFNPA 2003 p20). Further aims are to enhance existing relationships together with the development of additional partnerships and networks. These are considered with the NFNPA taking the lead and coordinating role, as the representative Government body, in many of the strategic proposals for the management of the Forest. .

Community involvement is asserted to have been of influence in the previous formulation and implementation of policy and in a number of advisory and consultative forums developed especially since the 1990s. In particular, the New Forest Consultative Panel, an advisory forum of councillors, statutory bodies and representatives of special interest groups, is viewed as an ‘...invaluable way for the statutory bodies to gain the views and advice of the community on a wide range of Forest issues.’ (NFNPA 2003 p21). Nevertheless, as also reported in the Strategy, ‘...there is a strong feeling from many groups and individuals...’ that their views and knowledge are not being used enough and that there is ‘...a lack of communication and information from the decision-making bodies.’ (NFNPA 2003 p21).

To address these issues and presumably, to create the important two way transfer of communication (Govan et al. 1998) mechanisms include: awareness raising of existing forums and networks; regular reporting; to enhance awareness of the New Forest Consultative Panel; strengthen relationships with parish and town councils and their local communities; and to identify the need for further networks and forums. The very recently publicised draft National Park Plan, also highlights an action to enhance engagement with the wider community by ‘...developing a liaison network of individuals in local communities...’ (NFNPA 2008 a p96).

In addition, the Community Planning process, led by a dedicated officer of the New Forest District Council, to produce Town and Parish Plans is supported and encouraged as a way to capture public views and to integrate them within the National Park Strategy, policies and their implementation (NFNPA 2008 a).

It is also recognised that policies set by regional bodies and national and international decision-makers will also play a strong role. The New Forest is associated with the Southern Region thus a regional view has the capability to influence plans specific to the New Forest (NFNPA 2008 a). Consequently,

an imperative is viewed with the Forest and its organisations to have a voice at this regional governmental level so as to be able to promote sustainable development policies and actions in regional plans that are conducive to the National Parks purposes.

The Park's Strategy recognises issues in terms of the expansion of residential and industrial areas and pressures for new housing; changes to the rural economy; increased recreational use of the area; and increases of private car usage. For this, reflecting IUCN guidelines, (IUCN b 1998) the NFNPA advocates integrated land use planning '...to ensure a sustainable approach...' is taken (NFNPA 2003 p93).

These extra regional and local layers of government infer and endorse 'joined up' working, prescribed in current UK politics, to '...ensure that development policies for nearby areas are sensitive to (the Forest's) special qualities and do not compromise the policies operating within the Forest itself.' (NFNPA 2003 p95).

Designed on sustainable principles and viewed as the 'Partnership of Partnerships' (DCLG 2006f p35), Local Strategic Partnerships are recommended to address and clarify issues through topic-based Community Action Networks<sup>22</sup>. Nevertheless, the development and inclusion of further local interest and action groups is also to be encouraged (NFNPA 2003).

It is clear from this review of the National Park Strategy 2003 that there is a fundamental emphasis on community participation in decision-making processes and includes the enhancement of existing and aspirations for new networks and partnerships. In light of the importance of networks and associations for social capital enhancement, (Moran 2005; Parry et al. 1992; Pretty 2003) this gives a positive context for community participation as forms of **collective action** within the case study area.

It is also clear from the most recent draft National Park Plan, that engagement with the wider community, is also being envisaged through the development of further networks of discourse (NFNPA 2008a p96).

### **5.3.8 Community engagement and the NFNPA: resistance and public demonstrations**

As detailed further in *Section: 5.3.11*, a history of community engagement, action taken against and influence on government and its institutions is noted since the development of the New Forest Act 1877. Of recent times, public demonstrations have included concerns over the Lyndhurst Bypass

(HCC 2008) and since the mid 1980s, the communities' dissatisfaction with government plans for the creation of a New Forest Authority has met with '...great and understandable resistance to change...' (Tubbs 2001 p10). Even more recently, expressions of large-scale protest against the contents of and consultation processes for the NFNPA's draft Management Plan (2008) further emphasise that the popularity of both the NFNPA and its management plan are still at the least being questioned<sup>23</sup>. In terms of a fundamental governance principle of 'trust' (Parry et al. 1992), the levels of mistrust associated with this situation,<sup>24</sup> and the expressions of cynicism voiced against government and its institutions (forestuprising 2009), can be expected to have influenced levels of community participation to varying degrees. Factors such as these, as argued by Parry et al. (1992) affect community engagement by either encouraging or discouraging members of the public to participate in decisions to be taken<sup>25</sup> (See *Section:2.3.5*).

### **5.3.9 Community engagement: further opportunities, concerns and complexities**

Whilst a negative perspective of community engagement in the New Forest can be portrayed, it is important to recognise that community engagement at a local level is complex. This is compounded by the number of institutions and governing structures in the New Forest, each with their own objectives and statutory responsibilities for the area, together with NFNPA obligations to engage with the views of neighbouring authorities, their communities *and* the views of both the national community and those of tourists and recreational users of the Forest. As discussed in *Chapter III*, these factors raise concerns over: clarity and access to information; of who the public contacts within each of the governing bodies; (Graham et al. 2003b; Kothari 2006); and due to the amount of views to be considered, holds implications for the amount of time needed to reach consensus over decisions to be made (Borrini Feyerabend 1999; Sayer 1999). In addition, with the inclusion of a regional government body to consider, not least in terms of spatial planning reforms and their policies, as John (2001) suggests, a top down approach to or institutional and governmental lead on, decision making has the potential to develop and to restrict bottom-up, community processes. Fundamentally this holds implications for, the quantity and quality of community participation practiced in local decision making processes. Thus, there is a potential for further challenges to arise, in terms of conflicts and power imbalances (Borrini-Feyerabend et al. 2006) for which the application of the Sandford Principle and a balance towards the environmental prerogative, is required.

### **5.3.10 Additional and key local governing institutions and their influence on community perceptions**

As discussed above in *Section: 5.3.8*, the principle of ‘trust’ is currently questioned as an expression of dissatisfaction with the NFNPA. However, there is a further influence on the community’s views of institutions in the New Forest which derives from historical experiences of the community with other Forest institutions.

The first such institution is the Verderers Court, which is a semi-elected body with potentially perceived non-governance practices<sup>26</sup> that has specific duties for the protection of common rights and of the practice of Commoning. As well as regulating the Forest, the Verderers have a major influence on what landowners of the Open Forest may do and their ‘...consent is needed for almost anything which may impact on the ability to exercise a right of common or on the beauty of the Forest...’ (Chatters & Read 2006 p43).

The second institution is the Forestry Commission which is charged with the land management of the Crown lands. The Open Forest is a Site of Special Scientific Interest (SSSI) so there is an obligation to work with Natural England and to maintain the area in a ‘favourable condition’<sup>27</sup>. Since 1998, the Forestry Commission has had a key management objective to conserve the natural and cultural heritage of the Crown Lands. However, a further aim is the ‘...efficient management of the Forestry Commission’s operations and appropriate the generation of income from timber production and other uses of the Crown Lands’ (Tubbs 2001 p15). This is argued by Tubbs (2001) to be incompatible with the primary objectives of conservation, recreation and rural development and the ‘...test will be how sensitively this work is carried out...’ (Tubbs 2001 p15). Whilst, recognising that trust of the Forestry Commission is still a concern for some local residents (refer to *Section: 5.4.2.3* and *Chapter VI, Section: 6.3.27*), and institutions, as presented in the following section, the Forestry Commission is encouraging partnership working and community engagement. This is considered to facilitate informing the public of the Commission’s actions and equally, to engage with local views and where feasible, consider these in the Commission’s plans (refer to *Section: 5.4.2.4*)

These institutions, which are not formed by democratically elected representatives, represent two further potential layers of bureaucracy for the community to address in terms of their participation, access to information and influence on the management of the National Park. However, in addition, these two bodies have a long history of conflict and therefore have the further potential to influence an individual’s perception of trust shown towards the institutions. As presented in *Chapter II*, the

principle of trust, affected by historical experience, is relevant, in terms of either encouraging or discouraging active participation in decision-making processes (Parry et al. 1992). A brief history of the development and interaction between these two institutions is shown below. This also demonstrates the long history of active participation shown by local New Forest communities and the power of their collective influence.

### **5.3.11 A history of engagement and conflict**

Following the 1851 Deer Removal Act, large areas of Forest were enclosed for timber production. The Office of Woods, the predecessor to the Forestry Commission and the government body of that time, cleared ancient trees from more than 1,600 ha of Forest. In addition, trees and woods were felled; bogs and fertile lawns were fenced, ploughed and planted using modern forestry techniques. This created huge impacts to the natural beauty and to the livelihood of the Forest Commoning community.

Protests were made, supported by The New Forest Association (formed 1867) and by major landowners of political power. In 1871, the Office of Woods promoted a Bill to Parliament, which was not passed, to propose the complete removal of Forest rights and convert more areas to industrial timber plantations. Instead, in 1877 Parliament passed the New Forest Act which recognised the importance of the Forest for recreation, its aesthetics, and that the rights of Commoners were to be respected and to be managed by the Court of Verderers.

‘The legacy of the Office of Woods is still very much alive in the modern Forest...’(Chatters & Read 2006 p16). This is now enacted through the Forestry Commission, which, since 1923, has encouraged timber plantations at the expense of other Forest interests. Throughout the 20<sup>th</sup> Century, each time the aspirations of the Commission has aspired to commercially exploit areas and enclose more land, they have met with an ‘...explosion of public revulsion...’ (Tubbs 2001 p90) against the Forestry Commission’s ‘... philistine wish to coniferise the Forest...’ (Ratcliffe in Tubbs 2001 p7). ‘For many in the Forest, the Deer Removal Act and the timber inclosures remain an injustice that one day should be put right...’(Chatters and Read 2006 p17). However, in recent times, the original force of the economic drive of the Commission has gone and recognition has been given that these inclosures are not environmentally conducive. As such, some areas are being returned to Open Forest (Chatters & Read 2006).

### 5.3.12 Section III: summary

This section has introduced case specific information on the New Forest institutions and a key strategy for community engagement at the micro case study level. This review has shown that support for community engagement is evident in policies and strategic documents. However, whilst wider community engagement is advocated, this is envisaged by government and its institutions through forms of discourse with collective groups, networks and partnerships. Further there is an overriding authority of government that is unavoidably entwined with any National Park. This is demonstrated through, for examples: the remit of Natural England in consideration of the area as a national treasure, protected for its natural environment, its species and its heritage; and through the role of Defra who funds, on behalf of central government, the National Park and its operations. Furthermore, the uniqueness of the area is recognised internationally by an additional layer of EU and International statutes of government and protection, all of which provide non-negotiable legislative steers on what action is or not permissible in the New Forest. Therefore, these directives constitute additional challenges on the level of influence a community can hope to exert on decisions taken.

The model of community engagement based on collectives/groups is further anticipated to be developed as part of the draft 2008 Management Plan's proposal to encourage wider community engagement. In consideration of previous discussions in *Chapter III* as to reasons for non and individual participation potentially representing an anti-collective stance, these proposed networks are at the least questioned as to their suitability for increasing wider community engagement.

In addition, the practice of community engagement is being criticised through the recent demonstrations *against* the NFNPA, its management plans, policies and public consultations. Together with the legacy of the Office of Woods discussed above, and the scepticism shown towards the Forestry Commission, a negative view on the part of the community is suspected towards institutions in the New Forest. This further questions the governance principle of 'trust', which additionally associates with key influences on political participation of 'cynicism' and 'political efficacy' (Parry et al. 1992; Vetter 2007).

The following and final section elaborates further on these discussions through a review of interviews conducted with representatives of the main institutions and with leaders of community groups associated with the New Forest's key consultative forum.

***Section IV: The perspectives of Institutions and of the Leaders of Community groups on  
Community participation***

**5.4.1 Introduction**

Thus far, all chapters have included a review of government documentation on the subject of community participation. However, in consideration that the context for governance is dynamic and that politics is at the core of many of these documents, they are frequently written in a positive, assumptive and prescriptive fashion. In order to get more recent and in-depth insight into the practice of community participation, both the communities and the institutions were asked for their views on community engagement experienced and practiced in the New Forest. Data was gathered through semi-structured interviews with community group leaders who were also affiliated with leading forums in the area and with representatives of the main lead institutions of these forums.

This section provides details on the institutions and community group leaders' views as to the advantages, issues and concerns over community participation in the New Forest. The topics explored in both sets of these interviews were similar but as the interview design was semi-structured they do include further information introduced by the interviewees as being, in their view, relevant to the topic.

All topics were devised in consideration of findings from the literature review and observations made of the New Forest Consultative Panel. Key primary topics posed to all interviewees were:

- Current and historical issues interviewees believed have some impact and influence on the success of their community engagement activities.
- Approaches taken for community engagement; and
- Reasons in their view, for participation and non participation.

The method of qualitative analysis used with these interviews was thematic and subsequent to the collation of responses by both topics presented to the interviewees and themes emerging from the interviews, exemplary statements are reported in this section. These comprise of the most commonly expressed views towards each theme. Full methodological information on these interviews is provided in *Chapter IV, Section: 4.3.36*.

### ***5.4.2 Institutions perspectives on community participation***

A total of five 'Institutional' interviews were held in 2008 with representatives from the New Forest National Park Authority, (NFNPA), the Forestry Commission, the New Forest District Council and with a representative of Natural England who was the Secretary of State's Appointee to the Executive board of the NFNPA. This individual also represented the views of the Verderers. To maintain these representatives' anonymity, a coding system is provided against responses made. These codes comprise of an abbreviation of the Institutions represented<sup>28</sup>, followed by a number denoting the number of representatives interviewed from each institution.

The objectives of these interviews were to explore the representatives' personal and official views on governance and participation, based on their extensive experience of community engagement in the New Forest. Where opportunities arose, case specific experiences were, compared and discussed with representatives who had previous experience of community engagement in alternative rural and/or protected area environments. Due to the political and often sensitive nature of community engagement and partnership working, some of the responses have been edited out of the transcripts at the interviewees' requests. The following information adds to this research and supports the concluding assessment and arguments made in *Chapter VII* and *Chapter VIII*.

#### **5.4.2.1 Importance of and issues with Community participation in the New Forest**

Throughout all the documentation reviewed previously and discussions held with lead institutions in the case study area, there is no doubt that community participation is not just viewed as a duty but an imperative. Its attributes are asserted to include its use as a vehicle to access funding mechanisms (NFDC/2); as a crucial element to the planning and management of the New Forest and the pursuit of its purposes (NFNPA/2; NE-VSoS/1 ; FC/1 ; NFNPA/1 ); and important for community ownership of plans and actions without which '...we won't have succeeded...' (NFNPA/1 ). Further, as asserted by NFDC/1 '...it's the peoples community and if they want to organise themselves to do something I don't see that anyone ought to get in the way ...'. An example of this enthusiasm is demonstrated through the achievement of almost 80% of town and parishes in the district who either have or are preparing to compile their own community plan (NFDC/1). This success ranks the New Forest as the most advanced district in the community planning process in Hampshire (NFDC/2 ).

Nevertheless, the approach taken towards community participation is influenced by the level of resources needed by lead institutions, which as inferred by the complexity of partnership working and



breadth of community engagement required in and around the New Forest, is substantial. As NFNPA/1 asserts 'It's mainly a resource issue, not entirely but mostly.... It's also an issue of creativity....'

Further, FC/1 emphasises '...concerns are around balance ...what we're seeing and I'm sure a lot of authorities are seeing this, is there's a community out there that are more informed, have more access to information than they have ever had before, are prepared to challenge decisions more than they ever did before in other words ... they are ... more demanding...so the concerns I have are think about how you manage that process.' NFNPA/1 further emphasises this balance of views from the perspective of the range of consultation required by the Park '...our policies and actions... have ... got to be imbibed in the local view, the local spirit, whilst also making sure the direction fits in with the national purposes of the national interest of the National Park... after all, it is a nationally important landscape that has been designated by parliament.'

A balance of views necessitates community engagement and whilst the NFNPA states '...there's been no problem at all in getting people involved...' it is also recognised that more should and could be done to attract a wider community involvement (NFNPA/1). This is generally agreed as of concern, as FC/1 states 'the challenge for us is we largely end up talking to the same people all the time....'. In addition, as FC/1 further emphasises, in recognition of the tourism attracted to the area, a challenge is viewed in '...how to capture the views of the transient tourist community...at the end of the day we often find ourselves trying to represent this mass of people out there who are not motivated necessarily to come and give a view... and have a legitimate place in terms of deciding what it should be like in the future...'.

Of the concerns raised over attracting communities to participate, these infer that apathy and/or self-interest on the part of a community is displayed. FC/1 states 'you almost need a crisis to actually spark people into some reaction and then you have got their attention...' and as NE-VSoS/1 asserts 'there is obviously apathy; people don't even bother to go out and vote ...'

Conversely, positive reports are also received (NFNPA/2; NE-VSoS/1 ) of which the NFDC reports on their Road Shows designed for informing the public of changes to the local government structure '...we were really surprised that people were genuinely interested' (NFDC/1).

However, the NFDC also recognises that issues can derive from the community itself and '...how much time and effort they are willing to put into this agenda...' and that assumptions are made '... that people want to join in...'. A caution is asserted that '...we shouldn't assume that (a community is) biting at the bit and ready to go...(NFDC/1 ). However, as the Forestry Commission recommends

(FC/1), any engagement topic needs to be made directly and overtly relevant to the area or community being targeted (NFDC/1) to attract community attention.

#### **5.4.2.2 A question of democracy**

There are concerns for some elected members who question the ‘...democratic **legitimacy**...’ of community participation and its influence. (NFDC/1 ).

A matter of democratic **deficiency** is also raised in terms of governance and of the appointment of the NPA’s panel of members (NE-VSoS/1). Whilst this includes councillors representing parish, district and county councils, their posts for the NFNPA are not elected ‘...in fact the Secretary of State makes it quite clear that even the councillors on the National Park Authority are not representing their wards but the whole of the national park...’. As NE-VSoS/1 further highlights ‘...the government is paying, ... a local authority uses the community charge.... but the government foots the whole bill for the national park and so they ... want an influence, it’s a national interest to protect that area, so the local interest is in some ways, not second, but has to run alongside the national interest...’

#### **5.4.2.3 Historical issues of influence on community’s perceptions**

As previously discussed, the governance principle of trust shown towards the lead institutions is important and has the potential to affect community participation (Parry et al 1992).

FC/1 representing the Forestry Commission states ‘...historically what has damaged ... our reputation in the past, ... 30, 40 years ago...the Commission had no compulsion to engage local people at all...it had an arrogance to say we are the experts we know what we’re doing we’re going to get on and do it ... because of the political pressure to generate income and timber value back in the 60s, the Commission just blatantly went into some of the Ancient Broadleaf Woodlands, started cutting them down and planting conifers which immediately caused a huge backlash that quite honestly Denise we are still trying to re-establish the trust ...’. ...it’s only more recently...engaging with people and allow(ing) them to have that say that we have started to rebuild that trust ...’. This is being developed through the formation of advisory and consulting ‘expert’ groups which are perceived to have created a community view that the Commission is ‘...actually listening ...(and)... (the participants) have ownership of the future of the Forest that they didn’t have before...’.

#### 5.4.2.4 Approach taken to community participation

For the Forestry Commission there is no national guidance on community engagement however, ‘...there is the national strategy and then each area interprets it to suit the local area so it varies from area to area...’(FC/1).

Similar approaches in participatory methods are taken by all lead institutions which include consultations, questionnaires, facilitating meetings, public meeting forums, and in the case of the NFDC also through the development of Sustainable Community Strategies, which needs to be considered by the NFNPA (NFNPA/1; NFDC/1). The NFNPA also works with workshops and stakeholder groups comprising statutory and non statutory consultees, who prepare pre-consultation strategies for wider public consultation (NFNPA/2).

The Forestry Commission provides further examples that include: drop in events; events on site; guided walks; engagement through Parish newsletters, and educational programmes. However the main modes used are forums of ‘...local experts and usually representatives of key agencies and bodies ...to ... share ideas and ... a common way forward... and then go and take it for a wider consultation....’ (FC/1).

The NFDC’s range of engagement includes, events to reach the ‘hard to reach’ communities, the use of a Citizen Panel, a Youth Panel, Road Shows, Public meetings, and formal consultations. An enabling role is identified (Lyons 2006) and demonstrated with the development of ‘...invaluable and unique...’ (NFNPA/2), Parish and Town Plans and Market Town Health Checks (NFDC/1). In support of this process, a dedicated officer is employed who works with the community and through the Parish Planning process.

In specific regard to attracting those who ordinarily do not participate (NFDC/2 ), an NFDC view is that ‘...We provide the opportunities for them, if they don’t take it up, that’s their right ... for other people ... you go out to where the people are and you make yourself accessible to them, rather than them making themselves accessible to you....’ . The view taken is that opportunities are created, and the majority view of responses received is evidence enough to assert a community’s views on a given subject and act on these views (NFDC/2 ).

#### **5.4.2.5 Issues with participation processes**

The NFNPA (NFNPA/1) highlights ‘...Stakeholder...consultation .....fatigue...is setting in big style and as a result ... it’s got to a state where, ... it’s such an issue that we’ve had some of the key groups ...saying actually we are not sure we have the resources to give you the feedback you want..... And so, as a result of that we deliberately reined back some of the consultation planned on some of our ....documents.’ This is an issue in the New Forest ‘...because of course, it’s not just us consulting, it’s also the district councils, the Forestry Commission, all sorts of people have been launching consultations’. To address this issue, the Park Authority is trying to design its questionnaires for multi-purpose use and also share results with the New Forest District Council. Whilst some sharing of data is occurring between the NFNPA and the Forestry Commission more ‘...could probably (be done) to make a better job of it to be honest. The people we have not shared and discussed much with are probably Hampshire (County Council).’(NFNPA/1 ).

Furthermore, the NFNPA recognise the power of the type of participatory processes used for encouraging or discouraging participation: ‘I guess some of the mechanisms for techniques we might use perhaps would exclude ... but I guess it’s always a trade off between the costs and the benefits of doing different techniques ....’(NFNPA/1 ).

#### **5.4.2.6 Levels of influence**

FC/1 asserts ‘...We are wasting our time if we don’t give the public the opportunity to influence the plans in some way...we have to give the impression that we are genuinely interested in what they have to say..... However it is also suspected ‘... that a large proportion of the comments we get we would say well because of a lack of knowledge or understanding that might not be an appropriate view ...’ In this situation ‘...we would try to use that as an educational opportunity to try and say do you realise unfortunately if we did that this would happen...’

NFDC/2 commenting on the community planning process highlights that currently the level of influence ‘... depends.... Each project is very different and each council member is very different in the support that they will give...and...political issues are erupting.’ However, work is currently taking place in the NFDC to extend the level of community engagement and influence from informing and consulting to genuine empowerment (NFDC/1). This is supported through a ‘...bridging process which connects the outcomes from (a) local planning situation ... into ...’ council action plans. The same process is used to deliver the actions required through the Local Strategic Partnership, the Hampshire

Sustainable Community Strategy and the Local Area Agreement, thus integration of work for the Local Development Framework, the NFDC Community strategy and the work of the National Park, as a planning authority, can take place ‘...so it is like a tripartite ...’. (NFDC/1).

However, there are implications of complexity and challenge through the numerous network and partnership connections made. As NFDC/2 asserts, this can result in pressures on County Council to support projects, which also need to be conducive to the other 11 districts’ plans that also need county support. ‘...(the plan and its actions) have to be something that suits all processes .. We are looking at how we can have this sort of bridging process for community plans to go into it..... I think we are definitely the first county to be looking at that sort of development...’

The NFNPA (NFNPA/1), views that with ‘... (the various groups and networks) they have a very high level of influence and ... we have already changed quite a lot of things as a result of the response we’ve had from consultation. ... Certainly we would place a high degree of importance on the consultancy panel, but (there) is probably a query over whether that is truly representative. I think the answer is that we would place weight on a suite of different sources of information from local communities. Depends what we are talking about. ...But that’s one issue we’ve not resolved as an organisation yet – how do we manage those inputs.’

#### **5.4.2.7 Characteristics of participants**

FC/1 quotes that participants are ‘...generally people who have a fairly long history of knowledge of the Forest, generally some involvement with consultation experiences before... they maybe involved in local politics at parish or district level....and are a little more familiar with a consultation process ...’ are typical traits of participants. In addition a ‘...passion for their particular activity...’ is also evident. However, attracting people to short term plans or issues specific to their area or community is easier than for medium or longer term plans.

NE-VSoS/1, NFDC/1 and NFDC/2 highlights retirees, having the time to participate ‘...and probably a passion for their community ....that passion can come from the fact that they were born there and a lot of people have actually moved to the area and in 5 years suddenly become quite NIMBY<sup>29</sup> and they actually don’t want other people to join that community so they can be quite defensive of what they’ve found....so it can be selfishness.....’.

Confidence as an individual and in ones own ability are equally cited (NE-VSoS/1 ; NFDC/1) and suggested to be exacerbated by perceptions of institutions and ‘...that all politicians aren’t to be trusted ...’(NE-VSoS/1).

It is also suspected that participation in the New Forest is encouraged by the uniqueness of the area and the sense of the community’s identity with the culture, history and practices of the Forest (NFDC/1). NFNPA/1 agrees that ‘...there are greater levels of participation in these protected landscapes...’ Further, although a generalisation, the participants tend to be more ‘...wealthy, more interested...and more motivated...’

#### **5.4.2.8 Conflict as a driver for participation**

The NFNPA elaborates on this information further and suggests that the Park’s characteristics in comparison with other protected areas shows ‘... a fairly high level of ... population ... within the park compared to other areas.’ Due to this and requirements for conservation, promotion of understanding and recreation ‘...(these elements) are more likely to come into conflict with general living ...So therefore, the more conflict there is, the more likely there is to be interest ... in the stakeholders views... and therefore .....Participation...that’s inevitable’ (NFNPA/1). This situation is considered to be further exacerbated by the neighbouring communities’ views and activities in the developing conurbations surrounding the Forest.

#### **5.4.2.9 Local issues encouraging community participation**

NFNPA/1 further highlights local issues as motivators. These include ‘...the exceptional land prices, the exceptionally large proportion of middle to upper class people, ... of very influential background and perhaps people, ... working in the city, in politics, ... high up in local government, all that sort of thing. It can be very challenging.’ Nevertheless, it is also welcomed as ‘...a level of scrutiny that goes on.’ Furthermore due to ‘...the history of the place there are quite a lot of entrenched viewpoints. ... there are very strong and interested and influential...(groups)’(NFNPA/1). As such the development of consensus amongst diverse agendas is emphasised as complex. (NFDC/1).

NFDC/2 further highlights that ‘...for the people who do (participate), it’s something new that’s come along on the horizon. ... Perhaps they’re disillusioned, with local authority ... with local process and

they feel this is their opportunity to have some influence... it's not official, not dominated by anybody. It's just a community led procedure. ....'

#### **5.4.2.10 Discouragement from participation**

NE-VSoS/1 emphasises that community disengagement can derive from the sheer '... complexity of (participation)..... Those of us who keep at it time and time again its complex to us so for those who start from scratch they wouldn't know where they were ...so you could say it's the bureaucracy...'

In light of an elderly population in the New Forest, a generational feature arises in that there are more males in lead roles in the community planning process with females, tending to take on more supportive roles (NFDC/2). However, in light of the '... times of the meetings...(this) can put some people off... (as)... they don't want to drive down rural country lanes. ..., thus there is an implication that the situation could be less attractive for further female engagement.

Other issues concern individuals within the community group itself, '...you're always going to get the people who say, well, if she's involved then I'm not getting involved. ... I have seen people who have tried to put others off from being involved, saying to them it's just not working... not a good process; they are putting the whole thing down. Other people come in, they get involved because they have got their own personal agenda...for those people, they generally fall by the wayside ... The steering group has to be completely neutral, be seen to be neutral and anybody who wants a power kick is not going to get it through the democratic process' .....(NFDC/2)

In terms of non participants, as discussed above, apathy and/or self-interest on the part of a community is suspected (FC/1;NE-VSoS/1). However, disillusionment is an alternative perspective emphasised as '... some people just feel that nothing they could do would ever make a difference' (NFDC/2).

#### **5.4.2.11 Future plans and aspirations**

NFDC/2 advises that the community plans compiled to date are envisaged for 'a refresh process' as a community plan should be a dynamic document...' with recommendations to update every 3 years.

FC/1 predicts that '...resources will probably be a little more targeted to particular communities...and with the government agenda nationally of engaging a wider community in countryside access ... we will be doing more outreach work in communities that are probably not currently coming to our woods

and land...I think initially its simply about getting them as users and ... saying are you inspired enough to want to know how this place is governed..’

To engage with wider communities it is suggested that newer techniques through the Web could be developed which in light of staffing resource issues, would assist in communication with the tourist and the national communities (FC/1).

Resources are also raised by the NFNPA, who views that wider participation in the future is feasible ‘ If you have the resources to do it. ...it’s (about) finding the right.....mechanism, the right tool, that people feel comfortable in. (NFNPA/1).

FC/1 predicts that to address resource issues and improve community participation in the Forest, ‘...organisations will start to join up a lot more in terms of public participation...we see it in the New Forest all the time... I get invited to consultation events for NFDC, about national park management plans ... and ... local people say what the hell is going on?...they are totally confused, they are fatigued with it all they say why aren’t you getting your act together and I think for me some way of putting that resource...’ into sharing results and participatory processes with other institutions. As a particularly illustrative example of the conflict on subjects of consultation ‘...we find we produce a management plan for our landholding and then the Environment Agency come along and say they are doing a consultation on flood management plans and we want to make half the Forest wetter again and you say hold on...it is a real struggle as often individual agencies are driven by their own priorities and getting awareness of each other’s agendas and how best to deliver it rarely happens – how do we force joined up working?.’ (FC/1).

#### **5.4.2.12 Institutional perspectives: summary**

It is apparent from these interviews that these representatives assert enthusiasm and thus express the will to engage with communities. In addition, all the theoretical issues and advantages raised with community participation, with government, governance and with social capital are emphasised by the institutions to varying degrees. It is equally evident that institutions consider more work could be done in terms of engagement with the wider communities and also in terms of sharing information received from consultations with all partner institutions in the area. As such, concerns over consultation fatigue on the part of the communities could be reduced or minimised. However, it is additionally noted that resources are a key drawback on improving the quality of community engagement practiced. The following section provides an alternative perspective of community engagement. This is taken from



the stance of the community group leaders as both recipients and key formal participants of institutions' engagement strategies and processes.

### ***5.4.3 Community group leader perspectives on community participation processes***

The following information is taken from seven exploratory semi-structured interviews held in 2007 with community group leaders of key recreational and lobbying groups in the New Forest, all of whom are additionally members of key consultative forums led by the governing institutions. These groups included equestrian, cycling and dog walking interests as well as representation from local tourism businesses, the local branch of 'Friends of the Earth', and rural, agricultural and political interests represented by the National Farmers Union and the Council for the Protection of Rural England.

The aims of these interviews were to investigate community group leaders' perspectives on governance and participation, based on their broad experiences of key institutional participatory mechanisms including the New Forest Consultative Panel. This information contributes to enhancing this review of community participation in the case study area. From this and in conjunction with further primary research, a fuller analysis can be considered and discussed in *Chapter VII* as to reasons why people do or do not participate in local decision-making. In addition, as previously detailed in *Chapter IV*, responses from these interviews informed the design of the questionnaires used in both surveys.

As these interviews were of an exploratory nature although topics posed were common to all interviewees, the following information includes further key and recurrent themes which emerged.

In order to maintain these interviewees' anonymity, a simple coding system is presented against responses. This code comprises purely of the post held by the interviewee as 'leader' together with a number denoting the sequential order in which the interviews were held. In addition, some of the responses, considered by the interviewees to be controversial or potentially problematic in terms of maintaining good relations with institutions, have been omitted at the interviewee's request.

#### **5.4.3.1 Opportunities to participate**

Opportunities to consult were viewed as plentiful by all interviewees. However, as institutions have surmised, there was an issue whether the groups' resources enabled them to participate consistently. Referring to the New Forest Consultative Panel specifically, it was emphasised that this was consultative only and did not always work to consensus as sometimes statutory duties and directives were in conflict with group wishes (Leader 1).

#### **5.4.3.2 Views on participation and level of influence**

On ranking the level of participation and influence perceived by the group leaders, improvements on past experiences were emphasised (Leader 6); some felt that they had considerable influence (Leader 3); and that ‘the force of marshalled public opinion amongst the panel is a very good engine and does achieve considerable things.’ (Leader 5).

However, the general feeling was that at best the groups felt placated with lots of consultation in which views were not necessarily noted. This view is expressed by Leaders 7 and 8 particularly as ‘we are not decision makers in the main we are persuaders.’ More genuine participation is wanted and although it is acknowledged that for example, Community Statements of Involvement have good intentions, there is a pessimistic view about what can actually be achieved (Leaders 7 and 8).

#### **5.4.3.3 Concerns with participation**

Concerns were raised that groups were not involved early enough in the decision making processes (Leader 4); and that where they are invited, but cannot attend, there is a fear that lead agencies ‘...are quite capable of turning round and saying well you didn’t give us your view so you can hardly expect to be involved ...’ (Leader 3).

In addition, as highlighted by the institutions, the complexity (Leader 5) and sheer amount of consultations were raised<sup>30</sup>. ‘....I mean, how many recreation strategies do you need...?’ (Leader 4). It was viewed further that participation did not go far enough to include decisions as to project implementation and where resources would be allocated (Leader 4).

#### **5.4.3.4 Issues within the groups and effects on participation**

Many of the group leaders work on behalf of a wide variety of groups which results in difficulties ‘...to disentangle...’ groups and issues from one another (Leader 1). Further as highlighted by institutions and the need to coordinate actions, the groups also experience lots of overlapping (Leader 1) ‘you could be fighting your battle on one front and not aware that someone else is making a decision completely against your groups interest on another front’ (Leader 3). This situation is exacerbated by the complexity of the amount of contacts and layers within the various institutions and resultant issues as to clarity of who the groups contact for information (Leader 3). The Verderers Court was singled out particularly in terms of its governmental structure, its control, its diluted form of governance, and its process for the presentment of views (Leader 4).

#### **5.4.3.5 Access to information**

For all excluding Leader 3, access to information was considered as being fine. One negative perspective was received from Leader 3 who felt that in one project, information had been very poor and ‘last minute if at all’. Thus, this group’s perception was that the delay was viewed as a ‘conjuring trick’ to impede the group’s participation.

#### **5.4.3.6 Trust**

For Leaders 1, 4 and 5, trust shown towards institutions was positive. However, Leader 2 voiced issues with the council cabinet members. Leader 6 highlighted concerns with the Forestry Commission , emphasising their history as the Office of Woods and their links with the Verderers, providing a legacy of ‘a culture (which) is still not entirely gone...’.

#### **5.4.3.7 Obstacles to participation**

Resources were highlighted as a common issue as also were concerns over not always being aware where decisions were being made (Leader 3; Leader 4). Further concerns were raised over the Verderer’s Court and complicated governing structures as they ‘veto as to who does what in the forest...’. (Leader 4) and over the perception that the institutions needed to be placated by community group representatives to ensure that the groups were invited to participate (Leader 3).

Whilst environmental statutes and directives were recognised as important, in practice it was also acknowledged that they affected participation and the level of influence a community could exert (Leader 1).

#### **5.4.3.8 Community Group Leaders: Summary**

Overall these interviews suggested more satisfaction than dissatisfaction with the types of engagement experienced by the community group representatives. However, as equally reported by the institutions, the quantity of opportunities to participate was considered to be an issue in terms of exhausting community groups’ resources.

In addition, the number of government institutions involved, each with their own respective officers responsible for community engagement, were highlighted as of concern. This was presented by the

interviewees to be due to a lack of clarity as to who, in each of the institutions, was able to provide the groups with information needed for them to be able to participate in their view, effectively. A similar criticism was founded on the amount of community group leaders who represented not one, but several groups. This was a concern which was emphasised to further affect the decision-making processes. Finally, obstacles of legislative design, especially, those associated with the natural environment were indicated to have the potential to dilute the representatives' levels of influence over decisions to be taken.

Levels of trust were mixed ranging from positive views to mistrust especially of Councillors, the Forestry Commission and of the Verderers' who were considered to have a control over what could or could not be actually done in the New Forest.

### **Chapter summary**

This chapter contributes to the examination of the macro and micro contexts of case study area, the New Forest (Krishna & Schrader 1999). The primary and secondary research in this chapter, together with a review of appropriate literature, supplements information previously provided in *Chapter II* in relation to government, governance, community participation and social capital in Britain.

On examining the area's characteristics and those of its population, levels of social capital are considered to be positive. Through the further review of Park issues, there are clearly evident reasons for people to participate and express their views. Additionally, as shown through documentary evidence, such as the Interim Management Plan 2003, an emphasis is placed on the use of governance and participation principles.

However, in terms of government and governance, a weakness is considered between what is theorised and what is practiced. For examples, the theoretical component is demonstrated through the emphasis placed on a commitment to community engagement and its principles of practice, such as providing transparency, access to information and levels of community influence, all of which have been reflected throughout appropriate government documents. Conversely and *in practice*, there is a concern over the degree of democratic deficiency overt in the structure of the NPA Executive.

Through the interviews conducted with institutions and community group leaders, it is also clear that some of the common challenges reported in *Chapter III* and protected areas are further evident. This includes the amount of legislation inherent in National Parks and protected areas and the effect that

these have on levels of community influence. Further concerns over practice derive from the amount of associations each of the institutions are required to develop, which contribute to the government and governance structure practiced in the New Forest. This is especially contentious for the NPA in terms of the number of governmental plans, reports and institutions it needs to work with, in addition to the number of communities the NPA is required to involve in decisions concerning the National Park, its management and its development. Of note, these are all areas the NPAs recognise as in need of guidance from central government but as of yet, have not been addressed.

These institutional commitments to engage communities create numerous opportunities for participation but have also proved to have a negative outcome. This is considered by both the institutions and the community group leaders to have resulted in a drain on the resources of the voluntarily formed community groups through their attempts to respond to the numerous consultations.

Nevertheless, the community group leader interviews did tend more to a positive rather than a negative view of community participation. Although, through the most recent expression of the public as the wider communities' views, there are clearly expressions of dissatisfaction against the draft Management Plan which has culminated in public protests. These actions have added to the New Forest communities' historical portfolio, both pre<sup>31</sup> and post National Park designation, of evident engagement and influence on the management of the area.

This review of the historical culture of participation is essentially required in community participation research (Fukuyama 1999). However, full adherence to research in this subject further demands consideration for *current* contexts, paying attention to the principle of time in recognition that any political context is dynamic (Hyden 1992). Therefore, as discussed in *Chapter IV*, the review in this thesis is to be seen as a snapshot of **current** community engagement and therefore is interpreted as such.

Thus, it has become increasingly apparent that, potentially for reasons of practicality, at both the national macro level and at the local micro level, in a context of government stronghold, there is a two-tier process of community engagement practiced. The first tier comprises stakeholder groups and partnerships constituting representatives of local organisations, parish councils and experts; and a less influential tier of engagement and discourse is directed to the wider communities. This secondary tier of engagement currently demonstrates a far lower level of influence than can be exerted by the collective models of participation of partnerships and networks developed<sup>32</sup> (Arnstein 1969; Pimbert & Pretty 1997). Furthermore, in terms of the local community accessing information required to participate, this is complicated as stated above, by the sheer number of institutions and their officers

involved in leading on the numerous consultations held within the New Forest. In recognition of these issues, more work is required by institutions to encourage more people to participate. This is a subject which is recognised in the New Forest National Park draft Management Plan as requiring improvements to be made (NFNPA 2008a).

These concerns are investigated further in *Chapter VI* which presents results from the Surveys and interviews conducted with the general public as the wider community. These primary research findings, together with the case study presented in this Chapter will be discussed in greater detail against this thesis' research objectives in *Chapter VII*.

## Notes

1. Refer to *Chapter IV* for full details of the MaGSPiN research model p162
2. Community is taken as the population within the boundaries of the National Park and of the NFDC
3. After Lord Sandford 1974: in the management of protected landscapes; a statutory obligation through Section 62 of the Environment Act 1995
4. See examples in the Peak District, the Lake District, Exmoor and the New Forest.
5. For examples: Stronger and Prosperous Communities White Paper on Local Government 2006 and Sustainable Communities Act 2007
6. See *Chapter IV* and references to Secondary research.
7. Based on figures from November 2005: claimant count unemployment rate (0.9%) (HCC 2006)
8. AB and C1 categories equate to Higher and intermediate managerial/administrative professional and C1, Lower middle class as Supervisory, clerical, junior managerial/administrative and professional.
9. D category equates to semi-skilled and unskilled manual workers; and category E, on state benefit, unemployed, lowest skilled workers.
10. Site of Special Scientific Interest
11. Now brought under Natural England
12. Other than the Broads
13. These include: Ramsar treaty sites; Special Protection Areas, in accord with the EC Directive on the Conservation of Wild Birds 1979 (79/409/EEC); Special Areas of Conservation under the Directive on the Conservation of Natural Habitats and of Wild Fauna and Flora 1992 (Habitats Directive (92/43/EEC); Sites of Special Scientific Interest; National Nature Reserves; Local Nature Reserves; Sites of Importance for Nature Conservation/County Wildlife Sites; and Combined Environmental and Countryside Stewardship Scheme Area.
14. Refer to [www.newforestnpa.gov.uk/consultations](http://www.newforestnpa.gov.uk/consultations)
15. 1877 New Forest Act – the Commoners Charter
16. Mineral and Wastes Local Development Framework
17. The remits of the councils of Test Valley and Salisbury include a sum of 34 square kilometres of the National Park (NFNPA b 2008); Wiltshire County Council neighbours the New Forest area; and Hampshire County Council is the administrative stakeholder for the NFDC, the majority of the researched area and responsibilities for government, local governance and participation comes under the jurisdiction of the New Forest District Council and the New Forest National Park Authority
18. Taken from NFNPA (c 2008) records 2007
19. Contents of the Interim Plan are clearly associated with the Draft National Park Plan which was released for consultation 18<sup>th</sup> August 2008.
20. Adopted by the current NFNPA until the Draft Management Plan is agreed. (On the recompilation of this chapter following the viva, consultations were taking place. At this time of thesis resubmission, approval has since been gained and the Plan was effective from 10<sup>th</sup> December 2009).
21. Predecessor of the NFNPA. Established in 1990.
22. Forms of action groups and local community partnerships

23. See 'Forest Uprising' and organised community protests against the Draft NFNPA Management Plan and against the NFNPA. (Bailey 2008; Robinson 2008; [www.forestuprising.co.uk](http://www.forestuprising.co.uk))
24. See for example 'Forest Uprising' June 2009 and 'Troubling news for New Forest residents' that highlights concerns over honesty and the transparency of decision-making processes. Current as at Jan- June 2009.
25. As Parry et al (1992) assert, categorical proof of encouragement or discouragement is not easy if at all possible to gauge as both satisfaction and dissatisfaction can both encourage and discourage participation to varying degrees.
26. The dock is open to all who wish to make a presentment<sup>1</sup> (the act of presenting an issue/request) to the Court as long as the business relates to the many responsibilities of the Court. Some presentments include those of local authorities such as the Forestry Commission, who wish to conduct works on the Forest. Whilst the proposals are made in public, judgements are not discussed publicly.
27. As classified by Natural England
28. NFNPA, New Forest National Park Authority; FC, the Forestry Commission; NFDC, New Forest District Council; NE, Natural England; V, the Verderers; SoS, Secretary of State appointee.
29. 'Not in my backyard' (Parker & Selman 1999)
30. Examples: NFNPA: 8 recorded consultations held between October 2007 and March 2008 ([www.newforestnapa.gov.uk](http://www.newforestnapa.gov.uk)); NFDC: Jan 2006 to November 2007, 21 consultations. ([www.newforest.gov.uk](http://www.newforest.gov.uk))
31. For example: concerns over the Lyndhurst Bypass - 1990s to current time (HCC 2008)
32. The public demonstrations against the Management Plan occurred **after** the primary research period. Therefore although reported, they were not, for reasons of practicality, included. Decisions as to the outcome of the public demonstrations have still not been taken and are not likely to be finalised

## *Chapter VI- Findings of Surveys and Interviews with the Local Community*

### **Introduction to chapter**

This chapter reports on and interprets the findings from two surveys and twenty interviews conducted in 2007. The surveys comprised a random household survey of residents within the boundary of the New Forest National Park, hereinafter referred to as Sample A, and a survey of participants recruited from the New Forest District Councils' citizen panel, hereinafter referred to as Sample B. Respondents' levels of agreement and/or disagreement were investigated with a series of Likert scale statements based on respondents' views about government, governance, their local area and their community. Topics included respondents' views on local political institutions, on the act of participation, their knowledge and access to information to be able to participate, and ultimately, as to how much influence the respondents felt they actually had. The surveys also collated further data including socio-economic and demographic information and characteristic features about the respondents.

The information arising from the surveys was subsequently investigated through 20 detailed interviews also undertaken in 2007. The interviews were conducted with a randomly selected sample of respondents taken from both the random household survey and the citizen panel survey. Those interviewed comprised representatives from each of the four participant levels taken from the random household sample and of the 'collective' and 'leader' levels identified in the citizen panel sample. The interviews were analysed qualitatively and the respondents' views and perceptions on participation are supported by quotations reported *verbatim*.

The findings from these interviews and the surveys are presented in this chapter in two parts and in five sections:

*Part One* is divided into three sections. The first section provides a review of the survey design and the methodology used. The second section provides an overview on opinions of the total respondents as to community participation as a whole in the area and presents the surveys' key findings. The third section considers the similarities and differences amongst the participant levels and across the two samples. This information is reported in the text by selected tables of data resulting from statistical tests conducted, providing a visual summary of discussions presented. A summary of these findings concludes *Section III* and presents the results from these tests as contributory reasons for participation or non participation. Full statistical results are provided in Table formats in Appendices 10 and 11.



*Part Two* comprises two sections. The first presents key responses of interviewees on topics associated with community participation<sup>1</sup>. The second section synthesises the key findings from both the quantitative and qualitative analyses and presents the interpretation of these findings as reasons for participation in consideration of the rejection or otherwise of the working hypotheses<sup>2</sup>. These results and their interpretation are further discussed in *Chapter VII* in consideration of the primary research findings in their entirety and the theoretical debates and best practices that are advocated.

## *Chapter VI: Part One*

### *Section One: A summary of the methodology used*

#### **6.1 Introduction to Section One**

Both quantitative and qualitative techniques of inquiry were employed in this research and this approach and research design, fully discussed in *Chapter IV*, is summarised below.

##### **6.1.2 Qualitative and quantitative components**

Following observations of the New Forest Consultative Forum, access was gained to community group leaders who were subjects of the first series of semi-structured interviews. The results of these interviews, analysed qualitatively, informed the design of two self-completion questionnaires, which enabled the hypotheses arising from the literature review to be assessed.

The self administered survey contained closed and open questions about a range of topics which, based on previous research and theoretical debates (see *Chapters II, III and IV*) are argued to encourage or discourage participation to varying degrees. The result of this review was the identification of 47 indicators of governance and social capital which comprised the 'Database of Indicative Principles' (see Appendix 1). These were used to guide the design and examination of both the secondary and primary data. These indicators include cognitive reasons for levels of participation and additionally focus on respondents' personal, demographic and socio-economic characteristics.

##### **6.1.3 The samples and themes of inquiry**

The survey results are based on two samples, one of a random household selection of residents within the New Forest National Park boundary, Sample A, and one of a known group/collective of participants, Sample B. This latter sample comprises residents within the area of the New Forest District Council (NFDC) and is derived from the NFDC's citizen panel<sup>3</sup>.

During May to June 2007, a total of 2,194 questionnaires were distributed across the research area. Of these, 1,244 were sent or hand delivered to selected residents comprising of the random household database and 950 were distributed to members of the citizen panel database. Of these, 247 were returned from the random household sample, and 497 were returned from the citizen panel sample. Of

the total 744 respondents who returned their survey the response rate for Sample A was 19.9% and for Sample B, 52.3%.

These responses have been analysed firstly, with reference to the four participation levels of Sample A and subsequently by the collective and leader levels of Sample B.

The results are reported according to the following themes:

1. Characteristics of respondents;
2. Total participation and levels of participation undertaken in the 12 month research period, June 2006 to June 2007;
3. Identification of the most frequently used participatory methods i.e. attending public meetings or completing questionnaires;
4. Respondents' perceptions on governance and participation opportunities;
5. Respondents' perceptions of their local community and their local area;
6. The degree to which respondents' are socially integrated: measured through their association with clubs and societies; and finally
7. Respondents' motivations to participate.

#### **6.1.4 Quantitative analysis and interpretation**

The analysis of these findings is based on both descriptive and inferential statistics. The descriptive studies are founded on the use of cross tabulations supporting a frequency analysis of each participant level and within each sample<sup>4</sup>. As with previous research conducted in community participation (DCLG 2006 a and b), the results are used to summarise and describe the background information of the respondents. Additionally they provide a descriptive overview of and contribute to an evaluation of the respondents' perceptions of government, governance and of their local area and communities.

With inferential statistics, to investigate participant responses on one dependant variable, Chi Square ( $X^2$ ) was used to investigate if there were any associations between the participant levels and the nominal variable<sup>5</sup>.

In terms of ordinal data, Jonckheere-Terpstra was selected (Field 2005) as appropriate to determine if there was sufficient difference amongst the participant levels in terms of their median scores for each variable. Where sufficient differences were indicated, (see Appendix 11), these variables were further investigated for their statistical significance. Initially, this investigation commenced with six Mann-

Whitney U paired-wise comparisons amongst the: i) non and individuals, ii) non and collectives, iii) non and leaders; iv) individuals and collectives, v) individuals and leaders, and vii) collectives and leaders of Sample A. A further series of pair-wise comparisons were made amongst the two participant levels of collectives and leaders of Sample B. The  $H_0$  for the Mann-Whitney U pair-wise comparisons is provided below<sup>6</sup>.

Although findings from the Mann-Whitney U pair-wise comparisons are of interest, they may be considered optimistic (Field 2005). Therefore, a more cautious interpretation of the findings is provided through the calculation of effect sizes<sup>7</sup> which are reported where key medium and large effect sizes result. The full results providing the actual mean rank differences (MRD), median values, derived z figures and probabilities are shown in Appendix 10. The quantitative data was analysed quantitatively and interpreted.

These quantitatively derived findings are complemented by the findings of twenty semi-structured interviews with respondents from both surveys. The data from these interviews, analysed qualitatively, are reported in Part II, Section IV of this chapter.

*Section two: The Surveys – Key findings: an overview on community participation*

**6.2.1. Introduction to Section Two**

This section provides an overview of the key findings of the frequency analyses conducted on the surveys' findings as to community participation as a whole. This includes detailing statistically significant responses of interest according to the respective Samples A and/or B as to respondents' views expressed by their levels of agreement and/or disagreement with a series of Likert scaled statements on government, governance and on the local area and communities.

**6.2.2 Key findings:**

*Characteristics of respondents*

- More than half of the respondents in both samples and at all participant levels, *except* for the individuals, are over the age of 60. These 'individual' participants are of a younger age profile, (44.4% in the 36-55 age bands) (Tables 4 & 5).
- More than forty percent of Sample A has a first or a postgraduate degree (42.1%) whereas in sample B, thirty percent had these qualifications (30.2%). In Sample A, the individuals are the most highly educated, 51.9% having a first degree, whereas fewer than forty percent of the collectives hold a degree (37.6%). In Sample B fewer than forty percent of the leaders hold a degree education (36.1%) and fewer than thirty percent of the collectives (28.5%). (Tables 6 & 7).
- More than eighty percent of the respondents in each participant level of Sample A are of a 'professional' or 'middle management' background. This profile is equally apparent in Sample B by almost eighty percent of the leaders (78.3%) and to a lesser degree, almost seventy percent of the collectives (69.6%). (Tables 8 & 9)
- Approximately ninety percent of the respondents in Sample A and the leaders of Sample B appraised themselves as being of a '*confident*' or '*very confident*' disposition. The highest ranking was of the collectives of Sample A where more than ninety-five percent (95.8%) described themselves in one of these two categories. Conversely the lowest ranking of Sample B was of the collectives, at almost eighty-five percent (84.2%). (Tables 10 & 11)

- The length of time a person has been resident in the area appears to relate to some extent with levels of participation (Table 12). Thus, three-quarters of Sample A have lived in the New Forest for more than 11 years (74.7%). Of these, the collectives have lived longest in the area (79.2%), and the leaders (77.4%). Conversely, over a quarter of the non participants (28.3%) and forty percent of the individuals (40.7%) have lived in the area for 10 years or less. (Table 12). With Sample B, more than eighty percent of the collectives and of the leaders have lived in the area for longer than 11 years (84.2% and 83.7% respectively). (Table 13).

#### *Amount and methods of participation*

- More than three-quarters of the respondents of the random household survey, Sample A (76.7%) had participated on at least one occasion in the previous 12 months. Of the citizen panel Sample B, who regularly participated<sup>8</sup>, more than three-quarters (77.5%) of these respondents may be categorised as collective participants. (Tables 16 & 17)
- Of the three most frequently used methods of participation by both samples<sup>9</sup> ‘signing petitions’ and ‘completing questionnaires’ are common at the collective levels of participation. At the leader level of Sample A, again ‘completing questionnaires’ is common, however, for the leaders of Sample B ‘signing petitions’ is more frequently used. The leaders of both samples also most frequently indicate their ‘club memberships’ and with the leaders of sample A, their associations with ‘community groups’. Where collectives and leader levels made use of the range of methods available, the individuals, only selected five of the fifteen methods of participation most frequently used in the UK and none of these are associated with forms of group or collective forms of participation. (Tables 18 to 22 inclusive)

#### *Perceptions on government and governance*

- The greater majority of respondents in both samples agree that participation is a ‘right and a responsibility’ whatever the level of participation/non participation. (Tables 23, 24, 26 & 27)
- More than three-quarters of the respondents of sample A and approximately three-quarters of Sample B disagree or are undecided (78.1% and 75% respectively) as to whether or not ‘decisions are made fairly’. (Tables 29 & 30)

- Eighty percent of Sample A (80.6%) and more than seventy-five percent (75.5%) of Sample B do not agree or are undecided that 'decisions are made openly'. The great majority of the non participants in Sample A (88.9%) (Tables 32 & 33) do not agree or are undecided that decisions are made openly.
- Respondents' are unconvinced that 'practical solutions are found to local problems' with only one third of the respondents of Sample A in agreement (33.7%), and fewer than forty percent (37.8%) of Sample B. (Tables 35 & 36)
- A low level of agreement was also indicated with opinions as to 'how well respondents considered their views are represented'. Just over a fifth of the respondents in each sample (22.2%, Sample A and 20.4% Sample B) agreed that their views were well represented. Furthermore, in Sample A more than ninety percent (90.8%) of the non participants and almost ninety percent (88%) of the individual participants indicated either indecision or disagreement with this assertion. (Tables 38 & 39)
- By comparison, a more positive stance is taken as to 'how well respondents view decisions are made on their behalf' by community, political and institutions' representatives. This showed that more than forty-five percent (46.8%) of Sample A and fifty percent of Sample B agree with this statement. (Tables 41 & 42)
- The most positive perspective of views on representation is shown with regard to 'community leaders understand local issues'. Almost fifty percent of Sample A agrees with this statement (49.1%). Similar views are indicated by Sample B's respondents where more than fifty percent of this sample agrees with this statement (52.2%). (Tables 44 & 45)
- Expressions of respondents' political efficacy, cynicism and their perceptions as to their levels of influence on decisions taken are mixed. Whilst more than a half of the total Sample A participants 'believe they can make a difference' (55.5%), the other forty-five percent of the respondents (44.5%) are undecided and/or disagree. In Sample B, a similar response is indicated with more than half of the respondents indicating agreement (56.3%) while forty-four percent (43.8%) expressed either disagreement or indecision. (Tables 47 & 48)
- Slightly less than one third (31.9%) of the respondents to the random household survey, Sample A, considered they could influence decisions while almost seventy percent of these

respondents (68.1%) disagree or are undecided. A similar pattern is shown in Sample B, where again almost seventy percent, either disagree or are undecided (67.1%) compared to approximately one third who consider they can influence decisions (32.9%). (Tables 50 & 51)

- Equally, in response to respondents' views as to whether the 'institutions want to know what people think' fifty five percent of Sample A are undecided or disagree (55.4%). However, in comparison with Sample A's respondents, those of Sample B show more agreement with this statement, (59.4%).(Tables 53 & 54)
- In regard to the statement that 'the council and government agencies want people to participate' just over a third of the respondents (34.0%) of Sample A are of a positive stance and two-thirds either disagree or are undecided (66.0%). Whilst Sample B respondents are more or less equally divided, 49.5% agree and 50.4% disagree or are undecided. (Tables 56 & 57)

#### *Trust in institutions*

- Levels of trust towards institutions show that in both samples the greater level of trust is accorded to 'local forest organisations', 58.8% of Sample A respondents (Table 68) and 50.5% of sample B indicate their trust (Table 69). Conversely, the respondents show the least trust in either the local council, 64.0% of Sample A respondents (Table 65) or the local MPs, 62.5% of the citizen panel respondents of Sample B. (Table 63)

#### *Capability and ability to participate*

- In terms of 'how capable the respondents felt to participate in decision-making processes', approximately sixty percent (63.8%) of Sample A and Sample B (58.3%) indicate they 'know how to get involved' (Tables 71 & 72). Further, more than forty-five percent (45.9%) of the respondents from Sample A and just over fifty percent of Sample B (50.5%) 'feel able to get involved'. (Tables 74 & 75)
- Slightly less than half of sample A and B respondents (46.8% and 46.7%) feel that 'they have enough information to participate in decision making processes'. (Tables 80 & 81)



- Time is considered a key and fundamental requirement to participate. However, almost equal numbers of respondents in both samples A and B indicate they 'have time to get involved' (38.1% and 42.9% respectively) as do not (43.3% and 35.9%). There are marginally more people in Sample B that express they have time than their counterparts in Sample A. Of the remaining responses, approximately twenty percent of both samples A and B, are undecided as to whether or not they have enough time to participate (18.6% and 21.2% respectively). (Tables 77 & 78)

#### *Views of local community and area*

- Respondents' views towards their local community were generally more positive than were their opinions of the established institutions. This is shown by more than eighty percent of sample A (86.5%) and by three-quarters of sample B (75.8%) who consider that 'local people are willing to help their neighbours' (Tables 83 & 84). Further, just under sixty percent of the respondents of Sample A agree that 'people in their area pull together to improve the area' (56.5%). As with Sample A, Sample B respondents also show more agreement (42.2%) than disagreement with this statement (20.5%). (Tables 86 & 87)
- The greater majority of each sample (92.5% (Sample A) and 96.1% (Sample B) is 'concerned about their local area'. (Tables 89 & 90)

#### *Social integration*

- Social integration and networking is evident in both Samples A and B at both the collective and the leader levels. Whereas, there is a complete absence of any indication of club and society membership on the part of both the non and individual respondents of Sample A. Membership of these associations appear to be more frequently used by Sample A respondents than those of Sample B. (Tables 92 & 93)

#### *Motivation to participate*

- A general motivation to participate is reported by more than forty percent of Sample A respondents (42.5%) although almost two-fifths are disinterested (37.5%). In comparison with Sample A, a higher level of interest is shown in Sample B with more than half of the

respondents (54.1%) indicating their general interest to participate and less than a fifth expressing complete disinterest (18.8%). (Tables 94 & 95)

- The most popular reasons to participate were firstly for environmental motives. This was true of more than fifty percent of each of the levels in Sample A. With Sample B, less motivation was indicated by fewer than fifty percent (49.6%) of the collectives and just over forty percent of the leaders (42.7%) (Tables 12.1 & 12.2). The second most popular reason to participate was for community motives, advanced by more than a third of Sample A and B respondents expressing their interest (34.2% of the total respondents in both samples) (Tables 97 & 98). The least popular motive reported by both samples was for political reasons, indicated by the forty percent of sample A (40.6%) and more than a quarter of sample B (28.5%) who indicated no political motivation. (Tables 100 & 101)

#### *Patterns of responses*

- Overall, a pattern and trend of responses was indicated in the findings from both samples in particular their views on government and governance reflected in some measure their level of participation. Leaders, for example, tended to indicate more positive views, *or* expressed less negative views than those of, at the opposite end of the continuum of participation, the non participants. (Table 103)

***Section three: Key findings by participant levels and similarities and differences amongst the two samples***

***6.3.1 Introduction to Section Three***

Levels of community participation are demonstrated on a continuum: ‘leadership’ of, for example, a community group; ‘collective’ as a member of a group but not in a leadership role; ‘individual’, distinguished as a person participating independently and aside from a group or collective; and ‘non participation’. These four levels are evident in the random household Sample A; whereas, in Sample B, as the group of known participants derived from the citizen panel database, only collectives and leader levels are identified. The development and rationale of these classifications are defined in *Chapter IV, Section: 4.3.16*.

This section reports further on the previously presented overview of the key findings and looks at responses on government, governance and selected social capital principles according to the level of participation in both samples. It additionally examines the key similarities and differences evident amongst the responses of these participant levels and further comparatively identifies findings of interest between the two samples. Supporting information is provided in this section by tables and a full report of the statistical data is presented in Appendices 10 and 11. Full details on the methodology used is discussed in *Chapter IV, Sections: 4.3.30 and 4.3.31*.

***6.3.2 Background characteristics of respondents***

As discussed in *Chapter IV*, all authors reviewed for this research assert that a study of governance and of social capital must include contextual information and data (e.g. Graham et al 2003b; Moran 2005; Parry et al 1999). As explained in *Chapter II, Section: 2.3.5 p.83*, this requires a review of the degree of perceived institutional encouragement/discouragement for community engagement. However, Parry et al (1992) and DCLG 2006a, also argue that context includes the levels of participation that can be identified that do appear to have some association with people’s characteristics. These can be associated with socio-economic features and varying levels of age, levels of education, employment, with their level of self-confidence, and with the length of time that a person has been resident in an area (see for examples DCLG 2006a; IUCN 2003; Parry et al. 1992; Moran 2005; Vetter 2007).

### 6.3.3 Age

**Table 4: Level of participation by ‘age’ Sample A**

Participant level		Age								
		18-25	26-35	36-45	46-55	56-60	60-65	66-75	76+	Total
Non participant	N	1	2	7	10	6	12	8	8	54
	%	1.9	3.7	13.0	18.5	11.1	22.2	14.8	14.8	100.0
Individual participant	N	0	0	6	6	4	4	3	4	27
	%	.0	.0	22.2	22.2	14.8	14.8	11.1	14.8	100.0
Collective participant	N	0	2	6	22	15	21	18	12	96
	%	.0	2.1	6.2	22.9	15.6	21.9	18.8	12.5	100.0
leader participant	N	0	2	7	13	9	17	8	6	62
	%	.0	3.2	11.3	21.0	14.5	27.4	12.9	9.7	100.0
Total	N	1	6	26	51	34	54	37	30	239
	%	.4	2.5	10.9	21.3%	14.2	22.6	15.5	12.6	100.0

**Table 5: Level of participation by ‘age’ Sample B**

Participant level		Age								
		18-25	26-35	36-45	46-55	56-60	60-65	66-75	76+	Total
Collective participant	N	10	13	65	72	27	66	66	61	380
	%	2.6	3.4	17.1	18.9	7.1	17.4	17.4	16.1	100.0
Leader participant	N	0	4	28	17	4	20	23	16	112
	%	.0	3.6	25.0	15.2	3.6	17.9	20.5	14.3	100.0
Total	N	10	17	93	89	31	86	89	77	492
	%	2.0	3.5	18.9	18.1	6.3	17.5	18.1	15.7	100.0

As shown in Tables 4 and 5 above, more than half of the respondents with both samples and at all participant levels except the individuals, are over the age of 60. In Sample A, the collectives, followed by the non participants and finally the leaders have the highest representation in this age group (53.2%, 51.8% and 50% respectively). The ‘individual’ participants are younger, in relative terms, with 44.4% in the 36-55 age bands. What the data does demonstrate is that in both samples, except for the non participants and the leaders, participation is most evident at the 46-55 age range. With the non

participants, although this age range is apparent, participation is most emphasised in the 60-65 age range. With the leaders, a contrast is seen amongst the two samples with leaders of Sample A most represented in 60-65 age range and of Sample B, at a younger age of 36-45 years. Whilst theoretical debates tend to argue (Moran 2005; Parry et al 1992) that participation is practised by those at pre or retirement age, no significant relationship between age and participation was demonstrated with data from either sample.

### 6.3.4 'Level of education achieved'

**Table 6: Level of participation by 'education' Sample A**

Participant level		Highest level of education achieved							
		No qualification	GCSE d-e	GCSE a-c	A level	Foundation Diploma	Degree (First or Postgrad)	Other qualification	Total
Non participant	N	7	1	8	8	1	21	7	53
	%	13.2	1.9	15.1	15.1	1.9	39.6	13.2	100.0
Individual participant	N	4	0	2	3	0	14	4	27
	%	14.8	.0	7.4	11.1	.0	51.9	14.8	100.0
Collective participant	N	10	1	7	10	9	35	21	93
	%	10.8	1.1	7.5	10.8	9.7	37.6	22.6	100.0
Leader participant	N	1	0	7	9	0	29	16	62
	%	1.6	.0	11.3	14.5	.0	46.8	25.8	100.0
Total	N	22	2	24	30	10	99	48	235
	%	9.4	.9	10.2	12.8	4.3	42.1	20.4	100.0

The number of respondents for each of the participant levels and in each of the samples that has a first or a postgraduate degree far outweighs any other form of educational attainment (Table 6). Of Sample A, over forty percent of the respondents (42.1%) hold a degree. According to participant level, more than half of the individuals are in this category (51.9%), and more than forty-five percent of the leaders (46.8%) while fewer than forty per cent of both the collectives and the non participants of Sample A hold a degree (37.6% and 39.6% respectively). Conversely fewer than fifteen percent of the individuals have no qualifications (14.8%) and this is true of only one leader respondent.

**Table 7: Level of participation by ‘education’ Sample B**

Participant level		Highest level of education achieved							
		No qualification	GCSE d-e	GCSE a-c	A level	Foundation Diploma	Degree (First or Postgrad)	Other qualification	Total
<b>Collective participant</b>	N	43	9	54	47	29	<b>103</b>	77	362
	%	11.9	2.5	14.9	13.0	8.0	<b>28.5</b>	21.3	100.0
<b>Leader participant</b>	N	11	3	19	9	8	<b>39</b>	19	108
	%	10.2	2.8	17.6	8.3	7.4	<b>36.1</b>	17.6	100.0
<b>Total</b>	N	54	12	73	56	37	<b>142</b>	96	470
	%	11.5	2.6	15.5	11.9	7.9	<b>30.2</b>	20.4	100.0

In Sample B, (Table 7) although only thirty percent of this sample holds a degree (30.2%), this level of education still dominates, collectives (28.5%) and leaders (36.1%).

### 6.3.5 Employment

**Table 8: Level of participation by ‘nature of employment’ Sample A**

Participant level		Previous nature of work							
		Professional etc	Middle managers etc	Skilled trades	Personal service	Sales and customer service	Elementary occupation	Student	Total
Non participant	N	21	23	2	1	2	2	0	51
	%	41.2	45.1	3.9	2.0	3.9	3.9	.0	100.0
Individual participant	N	13	11	0	0	1	1	1	27
	%	48.1	40.7	.0	.0	3.7	3.7	3.7	100.0
Collective participant	N	39	43	6	6	1	0	0	95
	%	41.1	45.3	6.3	6.3	1.1	.0	.0	100.0
Leader participant	N	24	29	5	2	1	0	0	61
	%	39.3	47.5	8.2	3.3	1.6	.0	.0	100.0
Total	N	97	106	13	9	5	3	1	234
	%	41.5	45.3	5.6	3.8	2.1	1.3	.4	100.0

**Table 9: Level of participation by ‘nature of employment’ Sample B**

Participant level		Previous nature of work								
		Professional etc	Middle managers etc	Skilled trades	Personal service	Sales and customer service	Manual workers	Elementary occupation	Student	Total
Collective participant	N	73	177	26	27	32	11	12	1	359
	%	20.3	49.3	7.2	7.5	8.9	3.1	3.3	.3	100.0
Leader participant	N	34	49	7	5	6	3	2	0	106
	%	32.1	46.2	6.6	4.7	5.7	2.8	1.9	.0	100.0
Total	N	107	226	33	32	38	14	14	1	465
	%	23.0	48.6	7.1	6.9	8.2	3.0	3.0	.2	100.0

As shown in Table 8 above, across the range of categories of employment offered to the respondents, more than eighty-five percent of the respondents in Sample A (86.8%) are indicated in the

‘*professional*’ and ‘*middle management*’ categories. By participant level the highest representation in these employment categories is shown by almost ninety percent of the individuals (88.8%).

With Sample B, (Table 9) these employment categories also dominate. The greatest representation of these forms of employment is indicated by the leaders at just under eighty percent (78.3%). Fewer than seventy percent of the collectives are represented in these categories (69.6%). What is also notable is that overall, the citizen panel, comprised of people who voluntarily join as members, appears to have encouraged a wider range of employment types, inclusive of manual workers, than is represented in the random household survey.

### 6.3.6 Degree of self-confidence

**Table 10: Level of participation by ‘self-confidence’ Sample A**

Participant level		Describe self				
		Very confident	Confident	Lack confidence	Not at all confident	Total
Non participant	N	14	35	6	0	55
	%	25.5	63.6	10.9	.0	100.0
Individual participant	N	9	16	1	1	27
	%	33.3	59.3	3.7	3.7	100.0
Collective participant	N	15	77	4	0	96
	%	15.6	80.2	4.2	.0	100.0
Leader participant	N	10	46	6	0	62
	%	16.1	74.2	9.7	.0	100.0
Total	N	48	174	17	1	240
	%	20.0	72.5	7.1	.4	100.0

Approximately ninety percent of the respondents in sample A and at each participant level indicated that they are of a ‘*confident*’ or ‘*very confident*’ disposition (Table 10). The lowest representation was shown by the non participants (89.1%) and the highest degree of confidence is indicated by the collectives (95.8%).



**Table 11: Level of participation by ‘self-confidence’ Sample B**

<b>Participant level</b>		<b>Describe self</b>				
		<b>Very confident</b>	<b>Confident</b>	<b>Lack confidence</b>	<b>Not at all confident</b>	<b>Total</b>
<b>Collective participant</b>	N	<b>56</b>	<b>258</b>	57	2	373
	%	<b>15.0</b>	<b>69.2</b>	15.3	.5	100.0
<b>Leader participant</b>	N	<b>20</b>	<b>81</b>	8	1	110
	%	<b>18.2</b>	<b>73.6</b>	7.3	.9	100.0
<b>Total</b>	N	<b>76</b>	<b>339</b>	65	3	483
	%	<b>15.7</b>	<b>70.2</b>	13.5	.6	100.0

With Sample B, (Table 11) leader respondents, confidence again far exceeds a lack of confidence by more than ninety percent (91.8%). However, the collectives of Sample B display the lowest percentage of all the participant levels in both samples, with fewer than eighty-five percent of this group indicating their confidence (84.2%).

### 6.3.7 Length of residence in the New Forest

**Table 12: Level of participation by 'length of time respondents have lived in the New Forest area' Sample A**

Participant level		Lived in the New Forest area for x years						
		Less than 1 year	1-5 years	6-10 years	11-20 years	21 - 30 years	30+ years	Total
<b>Non Participant</b>	N	2	5	8	9	15	14	53
	%	3.8	9.4	15.1	17.0	28.3	26.4	100.0
<b>Individual Participant</b>	N	2	4	5	6	6	4	27
	%	7.4	14.8	18.5	22.2	22.2	14.8	100.0
<b>Collective Participant</b>	N	3	7	10	20	23	33	96
	%	3.1	7.3	10.4	20.8	24.0	34.4	100.0
<b>Leader Participant</b>	N	1	5	8	11	12	25	62
	%	1.6	8.1	12.9	17.7	19.4	40.3	100.0
<b>Total</b>	N	8	21	31	46	56	76	238
	%	3.4	8.8	13.0	19.3	23.5	31.9	100.0

**Table 13: Level of participation by 'length of time respondents have lived in the New Forest area' Sample B**

Participant level		Lived in the new forest area for x years					
		1-5 years	6-10 years	11-20 years	21 - 30 years	30+ years	Total
<b>Collective participant</b>	N	20	39	83	74	159	375
	%	5.3	10.4	22.1	19.7	42.4	100.0
<b>Leader participant</b>	N	4	14	20	19	53	110
	%	3.6	12.7	18.2	17.3	48.2	100.0
<b>Total</b>	N	24	53	103	93	212	485
	%	4.9	10.9	21.2	19.2	43.7	100.0

Almost seventy-five percent of Sample A have lived in the New Forest area for more than 11 years (74.7%) (Table 12) and eighty-five percent of Sample B have done so (84.1%) (Table 13). Of Sample

A, slightly more than seventy percent (71.7%) of the non participants and less than sixty percent of the individuals (59.2%) have done so. Only 8 respondents, all in Sample A have lived in the New Forest for less than one year. What is also notable is that the non participants comprise almost thirty percent (28.3%) of those who have lived in the area for 10years or less and more than forty percent (40.7%) of the individual respondents have done so.

### ***6.3.8 Background characteristics - Testing for statistical significance***

In order to determine if any of these characteristics influence participation, a series of statistical tests were undertaken through Jonckheere-Terpstra to determine if there was sufficient difference amongst the participant levels in terms of their median scores. Additionally to investigate whether the order of the groups had any meaning, Mann-Whitney U pair-wise comparisons and effect sizes were calculated. The results indicated that only two variables affected participation, these were level of 'education' achieved and the 'length of time a respondent had been resident in the New Forest'. These two variables demonstrate that the null hypothesis is disproved, namely that there is a relationship between the variables that is simply not due to chance. Thus, a relationship exists between the 'level of education attained' and a respondent's level of participation/non participation; and between the 'length of time the respondent has been resident in the case study area' and their level of participation/non participation. As such these two variables may be regarded as factors that influence community engagement, and thus, are considered to be contributory factors as to a person's participation.

#### *Level of education*

**Table 14: 'Level of education attained': Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	235			6919.000	0.038	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A Non Participant	53	49.58	6.00	-2.632	0.004	0.25
Sample A Leader	62	65.19	6.00			

Application of the Jonckheere Terpstra test demonstrated that the medians of the four groups were not equal indicating sufficient difference amongst the participant levels (Sample A). (Table 14). Subsequent Mann Whitney pair wise comparisons demonstrated significant differences between non participant and leader respondents to the random household survey. These findings indicate that education is a variable that influences respondents practice or non practice of participation.

Overall these results are similar to previous research conducted by Parry et al (1992) which demonstrated that individuals and collectives tend to comprise of a mix of educational achievements. Yet, with regard to non participants, as shown in Table 6 , almost forty percent of this grouping do have a degree, and converse to Parry et al's (1992) work, demonstrates that what Parry would have classed as 'inactives' (Parry et al 1992 p 133), in this New Forest example, the 'inactives' classed as non participants, tend to be relatively well qualified. This result also contributes to questioning more recent findings of DCLG (2006a) and Moran's (2005) proposals that active participation is associated with a more academically oriented citizen.

*Length of residence in the New Forest*

**Table 15: 'Length of Residence in the New Forest' Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	238			11074.500	0.030	
<b>Mann- Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A Individual	27	47.74	4.00	-2.417	0.008	0.22
Sample A Collective	96	66.01	5.00			
Sample A Individual	27	34.96	4.00	-2.487	0.006	0.26
Sample A Leader	62	49.37	5.00			

Subjecting the data on the length of time respondents had lived in the New Forest to the Jonckheere Terpstra test showed sufficient difference amongst the participant levels of Sample A (Table 15). The Mann Whitney U pair wise comparisons between individual and collective respondents and of the individual and leader respondents of Sample A, further resulted in significant differences. These findings clearly suggest that the respondents' period of residence in the New Forest is, in this case study, a variable that influences the respondents' practice or non practice of participation.

**6.3.9 Total participation and levels of participation undertaken in the 12 months research period  
June 2006 to June 2007**

Of the random household sample, (A), more than three-quarters of the respondents (76.7%) had engaged in at least one form of participation in the previous 12 months (Table 16). This finding by itself is of interest. According to much of the literature and research previously conducted, (for examples, Burton 2003, IUCN 2003, Melville 2005, Moran 2005), it is both asserted and inferred that there is far more non-participation than participation in local decision making.

**Table 16: Random Household (Sample A)**

		Frequency	Percent	Valid Percent	Cumulative Percent
<b>Participant levels</b>	<b>Non participant</b>	<b>56</b>	22.7	<b>23.2</b>	23.2
	<b>Individual participant</b>	<b>27</b>	10.9	<b>11.2</b>	34.4
	<b>Collective participant</b>	<b>96</b>	38.9	<b>39.8</b>	74.3
	<b>Leader participant</b>	<b>62</b>	25.1	<b>25.7</b>	100.0
	<b>Total</b>	<b>241</b>	97.6	<b>100.0</b>	
<b>Missing<sup>10</sup></b>		6	2.4		
<b>Total</b>		247	100.0		

Of those who have participated almost two-thirds have done so as a member of a group or collective (65.5%). Whereas, and despite arguments as to an increasing trend of individualism (Debicka & Debicki ca. 2005), only just over a tenth of this sample has engaged independently (11.2%) (Table 16).

Of the sample of regular participants derived from the citizen panel (B), Table 17 shows that more than three-quarters of these respondents may be categorised as collective participants and are not performing leadership roles in any community groups (77.5%).

**Table 17: Citizen Panel (Sample B)**

		Frequency	Percent	Valid Percent	Cumulative Percent
<b>Participant levels</b>	<b>Collective participant</b>	<b>385</b>	77.5	<b>77.5</b>	77.5
	<b>Leader participant</b>	<b>112</b>	22.5	<b>22.5</b>	100.0
	<b>Total</b>	<b>497</b>	100.0	<b>100.0</b>	

***6.3.10 Identification of the most frequently used participatory methods i.e. attending public meetings or completing questionnaires.***

With both samples, the survey posed a question as to the types of participation used by each participant. Responses to this question related to a selection of up to 15 forms of participation identified in and derived from the literature on participation and community engagement (see DCLG 2006a; DCLG 2007a; Electoral Commission 2004; HOC 2005; Lowndes 2001; Moran 2005; ODPM 2002). The following five tables summarise the most frequently used forms of participation by participant level and within both samples A and B. In each survey, respondents could indicate their use of more than one form of the participatory methods listed.

Individual participants only selected five participatory methods, all of which indicate a preference for individual expression rather than participation as part of a group (Table 18). The definition of individual was founded on previous research conducted especially by Buscheker et al. (2003) who asserted that a sub-group of a community may still express their views while not being a part of the predominant collective in that community.

Of Sample A, the leader and collective levels chose the full range of individual and collective methods (Tables 19 & 20). For the collectives the most frequently used are ‘*signing petitions*’ and ‘*completing questionnaires*’ (% of multi-responses by participant level = 60.42% and 56.25% accordingly). As with individual participants, collectives show a tendency to select forms of participation that require individual forms of engagement, rather than action through or communication with institutions through a collective or a group. The leader participants, unsurprisingly, in consideration of these respondents’ purpose, indicate a preference for collective methods of engagement.

In Sample B, the most frequently used method of both the collectives and the leader levels is the citizen panel of which they are all, by definition, members (Tables 21 & 22 below). Further to this,

excluding membership to the citizen panel of Sample B collectives, the choice of methods selected thereafter by the collectives of both Samples A and B, are identical in the most popular five methods. The leaders, of Sample A show a relatively higher level of popularity for '*club*' membership compared to the 'leaders' identified in Sample B (Tables 20 & 22).

With each of the collectives and the leaders in both samples, what is also noticeable is that the forms of participation commonly used by the lead Institutions in the Forest seeking residents' views of '*stakeholder groups*' and '*focus groups*' are amongst the **least** used forms of engagement by both sets of respondents . This is especially noticeable with the collectives and leaders of Sample B.

**Table 18: Sample A Individual Participants and their use of participatory methods – multiple response required:  $N = 27$ ;**

Participatory method	Total number of multi-responses by participatory method <sup>11</sup>	% of multi-responses by participant level $N$	% of multi-responses by participatory method by – 41*
Completing questionnaires	15	55.56	36.59
Contact with councillor	10	37.04	24.40
Contact with council official	8	29.63	19.52
Contact with local MP	5	18.52	12.20
Signing petitions	3	11.12	7.32
Total	41*		100.03 <sup>12</sup>

**Table 19: Sample A Collective Participants and their use of participatory methods: – multiple response required  $N = 96$ ;**

<b>Participatory method</b>	<b>Total number of multi-responses by participatory method</b>	<b>% of multi-responses by participant level <math>N</math></b>	<b>% of multi-responses by participatory method by -334*</b>
<b>Signing petitions</b>	58	<b>60.42</b>	17.37
<b>Completing questionnaires</b>	54	<b>56.25</b>	16.17
<b>Attending public meetings</b>	43	44.80	12.88
<b>Contact with Councillor</b>	40	<b>41.67</b>	11.98
<b>Contact with council official</b>	33	<b>34.38</b>	9.89
<b>Member of a community group</b>	26	27.09	7.79
<b>Member of a club</b>	23	23.96	6.89
<b>Member of a society</b>	21	21.88	6.29
<b>Contact with local MP</b>	18	18.75	5.39
<b>Attending public demonstrations</b>	6	6.25	1.80
<b>Member of a focus group</b>	4	4.17	1.20
<b>Member of citizen panel</b>	3	3.13	.90
<b>Member of a stakeholder group</b>	3	3.13	.90
<b>Forum member</b>	1	1.05	.30
<b>Picketing</b>	1	1.05	.30
<b>Total</b>	<b>334</b>		100.05 <sup>13</sup>



**Table 20: Sample A Leader Participants and their use of participatory methods: – multiple response required  $N = 62$ ;**

<b>Participatory method</b>	<b>Total number of multi-responses by participatory method</b>	<b>% of multi-responses by participant level <math>N</math></b>	<b>% of multi-responses by participatory method by -288</b>
<b>Member of a community group</b>	43	<b>69.36</b>	14.93
<b>Member of a club</b>	38	<b>61.30</b>	13.20
<b>Completing questionnaires</b>	37	59.68	12.85
<b>Attending public meetings</b>	32	<b>51.62</b>	11.11
<b>Signing petitions</b>	27	43.55	9.37
<b>Member of a society</b>	23	<b>37.10</b>	7.99
<b>Contact with local councillor</b>	21	33.88	7.29
<b>Contact with local MP</b>	18	29.04	6.25
<b>Contact with local council official</b>	21	33.88	7.29
<b>Member of a stakeholder group</b>	9	14.52	3.12
<b>Attending public demonstrations</b>	8	12.91	2.78
<b>Member of a focus group</b>	7	11.30	2.43
<b>Forum member</b>	5	8.07	1.74
<b>Citizen panel membership</b>	4	6.46	1.39
<b>Picketing</b>	1	1.62	.35
<b>Total</b>	<b>288</b>		102.09 <sup>14</sup>

**Table 21: Sample B Collective Participants and their use of participatory methods: – multiple response required  $N = 385$ ;**

<b>Participatory method</b>	<b>Total number of multi-responses by participatory method</b>	<b>% of multi-responses by participant level <math>N</math></b>	<b>% of multi-responses by participatory method by -1,129</b>
<b>Citizen panel membership</b>	384	99.74	34.02
<b>Signing petitions</b>	180	46.75	15.95
<b>Completing questionnaires</b>	97	25.19	8.06
<b>Attending public meetings</b>	91	23.64	8.07
<b>Contact with Councillor</b>	88	22.86	7.8
<b>Contact with council official</b>	56	14.55	4.97
<b>Contact with local MP</b>	57	14.81	5.05
<b>Member of a community group</b>	54	14.03	4.79
<b>Member of a club</b>	42	10.91	3.73
<b>Member of a society</b>	30	7.8	2.66
<b>Member of a focus group</b>	21	5.45	1.87
<b>Demonstrations</b>	13	3.38	1.16
<b>Forum member</b>	12	3.12	1.07
<b>Member of a stakeholder group</b>	3	0.78	.27
<b>Picketing</b>	1	0.26	.09
<b>Total</b>	<b>1,129</b>		99.56 <sup>15</sup>

**Table 22: Sample B Leader Participants and their use of participatory methods: – multiple response required  $N = 112$ ;**

<b>Participatory method</b>	<b>Total number of multi-responses by participatory method</b>	<b>% of multi-responses by participant level <math>N</math></b>	<b>% of multi-responses by participatory method by -548</b>
<b>Citizen panel membership</b>	112	100.00	20.44
<b>Signing petitions</b>	60	53.58	10.95
<b>Club membership</b>	59	52.68	10.77
<b>Member of a community group</b>	57	50.90	10.41
<b>Public meetings</b>	45	40.18	8.22
<b>Contact with councillor</b>	44	39.29	8.03
<b>Member of a society</b>	36	32.15	6.57
<b>Contact with local MP</b>	34	30.36	6.21
<b>Contact with local council official</b>	32	28.58	5.84
<b>Completing questionnaires</b>	32	28.58	5.84
<b>Focus group</b>	13	11.61	2.38
<b>Forum member</b>	9	8.04	1.65
<b>Taking part in public demonstrations</b>	9	8.04	1.65
<b>Member of a stakeholder group</b>	6	5.36	1.1
<b>Total</b>	<b>548</b>		100.06 <sup>16</sup>

### ***6.3.11 Respondents' perceptions on governance and participation opportunities***

The following information reports on respondents' degrees of agreement, indecision and disagreement with each of the statistically significant statements associated with government, governance, participation and social capital principles and amongst the different groups of respondents to each survey. Again, the interpretation is initially informed through a frequency analysis conducted through a series of cross tabulations, Jonckheere-Terpstra tests, Mann-Whitney U pair-wise comparisons and

finally the calculation of effect sizes. The full statistical data is provided in Appendices 10 and 11. The topics and statements presented to these respondents were:

Topic	Statement
Right to participate	It's my right to participate
Duty and responsibility to participate	It's my responsibility to participate
Equitable decision-making	I believe that decisions are made fairly
Open and transparent decision-making	I believe that decisions are made in an open way
Efficiency of institutions	I believe that practical solutions are found to local problems
Representation of views	I believe that my views are well represented
	Decisions made on my behalf are acceptable to me
	I believe that community leaders understand local issues
Level of influence	I believe I can make a difference
	I can influence decisions
	The council want to know what people think
	The council and government agencies want people to participate
Trust in institutions	I trust my local councillors (town, parish, district, county)
	I trust my local MP
	I trust the local council
	I trust local Forest institutions(i.e. Forestry Commission; the Verderers; Natural England)
Capability to participate	I know how to get involved
	I feel able to get involved
	I have the time to participate
	I have enough information to get involved
Perceptions of the local community and of the local area	Local people are willing to help their neighbours
	People in this area pull together to improve the area
	I am concerned about my local area
Social integration	Membership to clubs and societies
Interest in and motivations to participate	General interest to participate
	I am motivated to participate for local community/ environmental/ political/ business/ and personal reasons

### 6.3.12 Right to participate

**Table 23: Frequency analysis: Participation level by ‘It’s my right’ – Sample A**

Participant level		<i>Sample A - It’s my right</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total disagree /undecided	Total disagree	Total
Non participant	N	9	32	<b>41</b>	<b>8</b>	3	1	<b>12</b>	<b>4</b>	<b>53</b>
	%	17.	60.4	<b>77.4</b>	<b>15.1</b>	5.7	1.9	<b>22.7</b>	<b>7.6</b>	<b>100.0</b>
Individual participant	N	7	16	<b>23</b>	<b>3</b>	0	0	<b>3</b>	<b>0</b>	<b>26</b>
	%	26.9	61.5	<b>88.4</b>	<b>11.5</b>	.0	.0	<b>11.5</b>	<b>.0</b>	<b>100.0</b>
Collective participant	N	38	51	<b>89</b>	<b>4</b>	1	0	<b>5</b>	<b>1</b>	<b>94</b>
	%	40.4	54.3	<b>94.7</b>	<b>4.3</b>	1.1	.0	<b>5.4</b>	<b>1.1</b>	<b>100.0</b>
Leader participant	N	22	35	<b>57</b>	<b>2</b>	0	1	<b>3</b>	<b>1</b>	<b>60</b>
	%	36.7	58.3	<b>95.0</b>	<b>3.3</b>	.0	1.7	<b>5.0</b>	<b>1.7</b>	<b>100.0</b>
Total	N	76	134	<b>210</b>	<b>17</b>	4	2	<b>23</b>	<b>6</b>	<b>233</b>
	%	32.6	57.5	<b>90.1</b>	<b>7.3</b>	1.7	.9	<b>9.9</b>	<b>2.6</b>	<b>100.0</b>

**Table 24: Participation level by ‘It’s my right’ - Sample B**

Participant level		<i>Sample B - It’s my right</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total disagree /undecided	Total disagree	Total
Collective participant	N	87	224	<b>311</b>	<b>42</b>	10	3	<b>55</b>	<b>13</b>	<b>366</b>
	%	23.8	61.2	<b>85.</b>	<b>11.5</b>	2.7	.8	<b>15.</b>	<b>3.5</b>	<b>100.0</b>
Leader participant	N	29	64	<b>93</b>	<b>9</b>	2	1	<b>12</b>	<b>3</b>	<b>105</b>
	%	27.6	61.0	<b>88.6</b>	<b>8.6</b>	1.9	1.0	<b>11.5</b>	<b>2.9</b>	<b>100.0</b>
Total	N	116	288	<b>404</b>	<b>51</b>	12	4	<b>67</b>	<b>16</b>	<b>471</b>
	%	24.6	61.1	<b>85.7</b>	<b>10.8</b>	2.5	.8	<b>14.1</b>	<b>3.3</b>	<b>100.0</b>

Tables 23 and 24 show that with both Samples A and B, the great majority of respondents agree that ‘participation is a right’ whatever the level of participation/non participation. On comparing the responses in each of the participant levels, respondents in the collectives and leader levels indicate the most agreement with ‘participation is a right’. This is demonstrated by approximately ninety-five percent of the collective and leader levels of Sample A (94.7% and 95% respectively) (Table 23) and almost ninety percent of the collectives and leaders of Sample B (85% and 88.6% respectively) (Table 24).

**Table 25: 'It's my right' - Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	233			11209.000	0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non participant	53	58.63	4.0	-3.704	<0.001	0.30
Sample A Collective	94	82.66	4.0			
Sample A non participant	53	48.07	4.00	-3.104	0.001	0.29
Sample A leader	60	64.89	4.00			

Table 25 shows that the Jonckheere Terpstra test, when applied to Sample A, indicates that sufficient difference exists amongst the participant levels to reject the null hypothesis of their equality. Subsequent Mann Whitney U pair-wise comparisons demonstrated significant differences between non participant and collectives and non participant and leaders in the random household survey. These findings demonstrate that the null hypothesis is disproved namely that there is a relationship between the variables that is not purely due to chance. As such, a relationship exists amongst respondents' views as to their 'right to participate' and the level of participation/non participation selected in that non participants hold different views in comparison to those categorised as the collectives and the leaders.

### 6.3.13 Responsibility to participate

**Table 26: Frequency analysis: Participation level by ‘It’s my responsibility’ – Sample A**

Participant level		Sample A - It’s my responsibility								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	3	18	21	19	11	2	32	13	53
	%	5.7	34.0	39.7	35.8	20.8	3.8	60.4	24.6	100.0
Individual participant	N	2	15	17	4	5	0	9	5	26
	%	7.7	57.7	65.4	15.4	19.2	.0	34.6	19.2	100.0
Collective participant	N	19	59	78	11	5	0	16	5	94
	%	20.2	62.8	83.0	11.7	5.3	.0	17.0	5.3	100.0
Leader participant	N	20	35	55	6	1	0	7	1	62
	%	32.3	56.5	88.8	9.7	1.6	.0	11.3	1.6	100.0
Total	N	44	127	171	40	22	2	64	24	235
	%	18.7	54.0	72.7	17.0	9.4	.9	27.3	10.3	100.0

Further high levels of agreement that ‘participation is a responsibility’ is again shown in Tables 26 and 27. In Sample A, this is true of more than eighty percent of the collectives and the leaders (83.0% and 88.8% respectively) compared to fewer than forty percent of the non participants (39.7%). With the exception of non-participants, agreement across all participant levels is higher than indecision and disagreement. Conversely the levels of disagreement and indecision are far higher amongst more than a third of the individual participants (34.6%) and sixty percent of the non participants (60.4%). A pattern of increasing agreement and descending disagreement is indicated with this variable according to participant level with leaders agreeing the most and disagreeing the least.

Table 27 shows that as with Sample A, Sample B respondents indicate more agreement than disagreement. In this case with more than seventy percent of collectives (71.4%) and just over eighty-five percent of leaders (86.7%), as with Sample A, the highest agreement and lowest disagreement is indicated by the leader level.

**Table 27: Participation level by ‘It’s my responsibility’ – Sample B**

Participant level		<i>Sample B - It’s my responsibility</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
<b>Collective participant</b>	N	76	184	<b>260</b>	<b>82</b>	21	1	<b>104</b>	<b>22</b>	<b>364</b>
	%	20.9	50.5	<b>71.4</b>	<b>22.5</b>	5.8	.3	<b>28.6</b>	<b>6.1</b>	<b>100.0</b>
<b>Leader participant</b>	N	24	67	<b>91</b>	<b>9</b>	5	0	<b>14</b>	<b>5</b>	<b>105</b>
	%	22.9	63.8	<b>86.7</b>	<b>8.6</b>	4.8	.0	<b>13.4</b>	<b>4.8</b>	<b>100.0</b>
<b>Total</b>	N	100	251	<b>351</b>	<b>91</b>	26	1	<b>118</b>	<b>27</b>	<b>469</b>
	%	21.3	53.5	<b>74.8</b>	<b>19.4</b>	5.5	.2	<b>25.1</b>	<b>5.7</b>	<b>100.0</b>

The Jonckheere Terpstra test indicated sufficient difference in the random household survey data (Table 28). The Mann – Whitney U pair-wise comparisons showed significant differences between the: non and collectives; non participants and leaders; individuals and collectives; and with individual and leader participants of Sample A. These results demonstrate an association between a respondent’s sense of ‘responsibility to participate’ and their level of participation/non participation that is especially notable in consideration of effect sizes, comparing the non participants with the collectives and particularly in comparing the non participants with the leader participants.

**Table 28: ‘It’s my responsibility’ - Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	235			13143.500	<0.001	
<b>Mann- Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non participant	53	51.52	3.00	-5.235	<0.001	0.43
Sample A Collective	94	86.68	4.00			
Sample A non participant	53	39.80	3.00	-5.760	<0.001	0.54
Sample A leader	62	73.56	4.00			
Sample A individual	26	48.35	4.00	-2.313	0.01	0.21
Sample A Collective	94	63.86	4.00			
Sample A individual	26	32.35	4.00	-3.233	<0.001	0.34
Sample A leader	62	49.60	4.00			



### 6.3.14 Equitable decision-making

**Table 29: Frequency analysis: Participation level by ‘I believe that decisions are made fairly’ – Sample A**

Participant level		<i>Sample A – I believe that decisions are made fairly</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	0	5	5	26	16	7	49	23	54
	%	.0	9.3	9.3	48.1	29.6	13.0	90.7	42.6	100.0
Individual participant	N	0	5	5	12	7	2	21	9	26
	%	.0	19.2	19.2	46.2	26.9	7.7	80.8	34.6	100.0
Collective participant	N	2	19	21	43	25	7	75	32	96
	%	2.1	19.8	21.9	44.8	26.0	7.3	78.1	33.3	100.0
Leader participant	N	2	19	21	30	9	2	41	11	62
	%	3.2	30.6	33.8	48.4	14.5	3.2	66.1	17.7	100.0
Total	N	4	48	52	111	57	18	186	75	238
	%	1.7	20.2	21.9	46.6	23.9	7.6	78.1	31.5	100.0

**Table 30: Participation level by ‘I believe that decisions are made fairly’ – Sample B**

Participant level		<i>Sample B – I believe that decisions are made fairly</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	4	88	92	200	63	17	280	80	372
	%	1.1	23.7	24.8	53.8	16.9	4.6	75.3	21.5	100.0
Leader participant	N	2	27	29	62	14	5	81	19	110
	%	1.8	24.5	26.3	56.4	12.7	4.5	73.6	17.2	100.0
Total	N	6	115	121	262	77	22	361	99	482
	%	1.2	23.9	25.1	54.4	16.0	4.6	75.	20.6	100.0

In terms of views on ‘equitable decision-making’, Table 29 shows that almost a third of the respondents in Sample A disagree (31.5%) and almost half (46.6%) are undecided as to whether or not ‘decisions are made fairly’. Viewed in terms of participant level, leaders show the most agreement and the least disagreement that decisions are made fairly (33.8% and 17.7%). Conversely more than ninety percent of the non participants (90.7%) and more than eighty per cent of the individual participants (80.8%) indicate their disagreement/indecision with this statement.

In Table 30 Sample B respondents demonstrate similar views to their counterparts in the random household survey. For example a fifth of the Sample A total respondents (21.9%) and a quarter of Sample B respondents (25.1%) are in agreement and approximately three-quarters of Sample A and Sample B respondents (78.1% and 75% respectively) indicate their indecision/ disagreement.

**Table 31: ‘I believe that decisions are made fairly’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	238			12015.000	<0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	54	46.75	3.00	-3.769	<0.001	0.35
Sample A Leader	62	68.73	3.00			
Sample A collective	96	73.18	3.00	-2.308	0.010	0.18
Sample A Leader	62	89.29	3.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between especially the non and leader participants given the effect size, but also with the collective and leader participants of Sample A. (Table 31). These results strongly suggest that respondents’ views on ‘how fairly decisions are considered to be taken’ influences the level and extent of a person’s participation.

### 6.3.15 Open and transparent decision-making

**Table 32: Frequency analysis: Participation level by ‘I believe that decisions are made in an open way’ – Sample A**

Participant level		<i>Sample A – I believe that decisions are made in an open way</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
Non participant	N	0	6	<b>6</b>	<b>19</b>	13	16	<b>48</b>	<b>29</b>	<b>54</b>
	%	.0	11.1	<b>11.1</b>	<b>35.2</b>	24.1	29.6	<b>88.9</b>	<b>53.7</b>	<b>100.0</b>
Individual participant	N	0	6	<b>6</b>	<b>11</b>	7	2	<b>20</b>	<b>9</b>	<b>26</b>
	%	.0	23.1	<b>23.1</b>	<b>42.3</b>	26.9	7.7	<b>76.9</b>	<b>34.6</b>	<b>100.0</b>
Collective participant	N	1	13	<b>14</b>	<b>46</b>	23	13	<b>82</b>	<b>36</b>	<b>96</b>
	%	1.0	13.5	<b>14.5</b>	<b>47.9</b>	24.0	13.5	<b>85.4</b>	<b>37.5</b>	<b>100.0</b>
Leader participant	N	2	18	<b>20</b>	<b>22</b>	14	6	<b>42</b>	<b>20</b>	<b>62</b>
	%	3.2	29.0	<b>32.2</b>	<b>35.5</b>	22.6	9.7	<b>67.8</b>	<b>32.3</b>	<b>100.0</b>
Total	N	3	43	<b>46</b>	<b>98</b>	57	37	<b>192</b>	<b>94</b>	<b>238</b>
	%	1.3	18.1	<b>19.4</b>	<b>41.2</b>	23.9	15.5	<b>80.6</b>	<b>39.4</b>	<b>100.0</b>

More than eighty percent of the total respondents of Sample A are either undecided or disagree that ‘decisions are made in an open and transparent way’ (80.6%) (Table 32). Levels of disagreement are led by the more than half of the non participants (53.7%) and the most agreement is indicated by the leaders (32.2%).

**Table 33: Participation level by ‘I believe that decisions are made in an open way’ – Sample B**

Participant level		<i>Sample B – I believe that decisions are made in an open way</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total disagree/undecided	Total disagree	Total
Collective participant	N	3	89	<b>92</b>	<b>174</b>	85	21	<b>280</b>	<b>106</b>	<b>372</b>
	%	.8	23.9	<b>24.7</b>	<b>46.8</b>	22.8	5.6	<b>75.2</b>	<b>28.4</b>	<b>100.0</b>
Leader participant	N	3	23	<b>26</b>	<b>55</b>	23	5	<b>83</b>	<b>28</b>	<b>109</b>
	%	2.8	21.1	<b>23.9</b>	<b>50.5</b>	21.1	4.6	<b>76.2</b>	<b>25.7</b>	<b>100.0</b>
Total	N	6	112	<b>118</b>	<b>229</b>	108	26	<b>363</b>	<b>134</b>	<b>481</b>
	%	1.2	23.3	<b>24.5</b>	<b>47.6</b>	22.5	5.4	<b>75.5</b>	<b>27.9</b>	<b>100.0</b>

With Sample B, similar negative views towards this statement are highlighted and more than three-quarters of these respondents are undecided/disagree (75.5%) (Table 33). Of these the collectives disagree marginally more than the leaders (28.4% and 25.7% respectively).

**Table 34: ‘I believe that decisions are made in an open way’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	238			11712.000	0.001	
<b>Mann-Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	54	48.09	2.00	-3.230	<0.001	0.30
Sample A Leader	62	67.56	3.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between non participant and leader respondents to the random household survey (Table 34). These findings indicate that respondents’ perceptions as to ‘how transparently they consider decisions are made’ is a variable that influences respondents practice or non practice of participation.

### 6.3.16 Efficiency

**Table 35: Frequency analysis: Participation level by ‘I believe that practical solutions are found to local problems’ – Sample A**

<b>Participant level</b>		<b>Sample A – I believe that practical solutions are found to local problems</b>								
		<b>Strongly agree</b>	<b>Agree</b>	<b>Total agree</b>	<b>Undecided</b>	<b>Disagree</b>	<b>Strongly disagree</b>	<b>Total disagree /undecided</b>	<b>Total disagree</b>	<b>Total</b>
<b>Non participant</b>	N	1	11	<b>12</b>	<b>19</b>	15	7	<b>41</b>	<b>22</b>	<b>53</b>
	%	1.9	20.8	<b>22.7</b>	<b>35.8</b>	28.3	13.2	<b>77.3</b>	<b>41.5</b>	<b>100.0</b>
<b>Individual participant</b>	N	0	5	<b>5</b>	<b>11</b>	9	1	<b>21</b>	<b>10</b>	<b>26</b>
	%	.0	19.2	<b>19.2</b>	<b>42.3</b>	34.6	3.8	<b>80.7</b>	<b>38.4</b>	<b>100.0</b>
<b>Collective participant</b>	N	4	31	<b>35</b>	<b>41</b>	16	4	<b>61</b>	<b>20</b>	<b>96</b>
	%	4.2	32.3	<b>36.5</b>	<b>42.7</b>	16.7	4.2	<b>63.6</b>	<b>20.9</b>	<b>100.0</b>
<b>Leader participant</b>	N	5	23	<b>28</b>	<b>21</b>	11	2	<b>34</b>	<b>13</b>	<b>62</b>
	%	8.1	37.1	<b>45.2</b>	<b>33.9</b>	17.7	3.2	<b>54.8</b>	<b>20.9</b>	<b>100.0</b>
<b>Total</b>	N	10	70	<b>80</b>	<b>92</b>	51	14	<b>157</b>	<b>65</b>	<b>237</b>
	%	4.2	29.5	<b>33.7</b>	<b>38.8</b>	21.5	5.9	<b>66.2</b>	<b>27.4</b>	<b>100.0</b>

Only a third of Sample A respondents agree (33.7%) that ‘practical solutions are found to local problems’ (Table 35). Patterns of disagreement are according to participant level with collectives and leaders responding identically (20.9%) in contrast with approximately forty percent of the non and individual participants who disagree (41.5% and 38.4% respectively). The most positive views are led

by the more than forty-five percent of the leaders' (45.2%) compared to only an approximate fifth of the non and individual participants (22.7% and 19.2% correspondingly).

**Table 36: Participation level by 'I believe that practical solutions are found to local problems' – Sample B**

Participant level		<i>Sample B – I believe that practical solutions are found to local problems</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
<b>Collective participant</b>	N	8	126	<b>134</b>	<b>168</b>	55	15	<b>238</b>	<b>70</b>	<b>372</b>
	%	2.2	33.9	<b>36.1</b>	<b>45.2</b>	14.8	4.0	<b>64.</b>	<b>18.8</b>	<b>100.0</b>
<b>Leader participant</b>	N	1	47	<b>48</b>	<b>46</b>	13	3	<b>62</b>	<b>16</b>	<b>110</b>
	%	.9	42.7	<b>43.6</b>	<b>41.8</b>	11.8	2.7	<b>56.3</b>	<b>14.5</b>	<b>100.0</b>
<b>Total</b>	N	9	173	<b>182</b>	<b>214</b>	68	18	<b>300</b>	<b>86</b>	<b>482</b>
	%	1.9	35.9	<b>37.8</b>	<b>44.4</b>	14.1	3.7	<b>62.2</b>	<b>17.8</b>	<b>100.0</b>

With Sample B, a similar stance appears generally to be held with fewer than forty percent (37.8%) of these respondents in agreement with this statement (Table 36). Levels of agreement and disagreement are indicated according to participant level with leaders showing the most agreement (43.6%) and least disagreement (14.5%).

**Table 37: 'I believe that practical solutions are found to local problems': Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	237			11893.500	<0.001	
<b>Mann-Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	53	62.83	3.00	-2.692	0.003	0.22
Sample A collective	96	81.72	3.00			
Sample A non	53	48.25	3.00	-3.024	0.001	0.28
Sample A Leader	62	66.34	3.00			
Sample A individual	26	34.83	3.00	-2.414	0.008	0.26
Sample A Leader	62	48.56	3.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: non participant and collective participants; non and leader respondents and with the individual and leaders to the random household survey (Table 37). These findings demonstrate that the null hypothesis is disproved namely that there is a relationship between the variables that is not purely due to chance. As such, a relationship exists amongst respondents'

views as to their belief that ‘practical solutions are found to local problems’. Thus it is considered a variable that affects the level and extent of a person’s participation.

### *Representation of views*

#### *6.3.17 ‘I believe my views are well represented’*

**Table 38: Frequency analysis: Participation level by ‘I believe that my views are well represented’: Sample A**

Participant level		<i>Sample A – I believe that my views are well represented</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	0	5	<b>5</b>	<b>23</b>	15	11	<b>49</b>	<b>26</b>	<b>54</b>
	%	.0	9.3	<b>9.3</b>	<b>42.6</b>	27.8	20.4	<b>90.8</b>	<b>48.2</b>	<b>100.0</b>
Individual participant	N	0	3	<b>3</b>	<b>15</b>	4	3	<b>22</b>	<b>7</b>	<b>25</b>
	%	.0	12.0	<b>12.</b>	<b>60.0</b>	16.0	12.0	<b>88.</b>	<b>28.</b>	<b>100.0</b>
Collective participant	N	2	21	<b>23</b>	<b>41</b>	24	7	<b>72</b>	<b>31</b>	<b>95</b>
	%	2.1	22.1	<b>24.2</b>	<b>43.2</b>	25.3	7.4	<b>75.9</b>	<b>32.7</b>	<b>100.0</b>
Leader participant	N	1	20	<b>21</b>	<b>22</b>	15	3	<b>40</b>	<b>18</b>	<b>61</b>
	%	1.6	32.8	<b>34.4</b>	<b>36.1</b>	24.6	4.9	<b>65.6</b>	<b>29.5</b>	<b>100.0</b>
Total	N	3	49	<b>52</b>	<b>101</b>	58	24	<b>183</b>	<b>82</b>	<b>235</b>
	%	1.3	20.9	<b>22.2</b>	<b>43.0</b>	24.7	10.2	<b>77.9</b>	<b>34.9</b>	<b>100.0</b>

Negative views are most evident as to ‘how well the respondents consider their views are represented’ (Tables 38 & 39). Approximately just a fifth of the Samples A and B agree with the statement ‘I believe my views are well represented’ (22.2% and 20.4% respectively). Further, in Sample A (Table 38) more than ninety percent (90.8%) of the non participants and almost ninety percent (88%) of the individual participants record their indecision or disagreement with this statement. As with previous findings, the non participants indicate the most negative view of the four participant levels (48.2%) which is especially marked in contrast with the levels of agreement indicated by the leader level (34.4%).

**Table 39: Participation level by ‘I believe that my views are well represented’: Sample B**

Participant level		<i>Sample B – I believe that my views are well represented</i>							
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total disagree/undecided	Total disagree
<b>Collective participant</b>	N	0	73	<b>73</b>	<b>199</b>	73	26	<b>298</b>	<b>99</b>
	%	.0	19.7	<b>19.7</b>	<b>53.6</b>	19.7	7.0	<b>80.3</b>	<b>26.7</b>
<b>Leader participant</b>	N	0	25	<b>25</b>	<b>62</b>	15	7	<b>84</b>	<b>22</b>
	%	.0	22.9	<b>22.9</b>	<b>56.9</b>	13.8	6.4	<b>77.1</b>	<b>20.2</b>
<b>Total</b>	N	0	98	<b>98</b>	<b>261</b>	88	33	<b>382</b>	<b>121</b>
	%	.0	20.4	<b>20.4</b>	<b>54.4</b>	18.3	6.9	<b>79.6</b>	<b>25.2</b>

Table 39 above shows that as with Sample A, the respondents of Sample B show greater indecision and disagreement with this statement (79.6%). Patterns of responses are according to participant levels with the leaders indicating the least negative (20.2%) and the most positive views (22.9%).

**Table 40: ‘I believe that my views are well represented’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	235			11554.500	<0.001	
<b>Mann- Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	54	63.06	3.00	-2.689	0.003	0.22
Sample A collective	95	81.78	3.00			
Sample A non	54	47.70	3.00	-3.266	<0.001	0.30
Sample A Leader	61	67.11	3.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: the non and collective participants and the non and leader participants of the random household survey. The importance of these significances is especially notable with the non and leader pair-wise comparison given the effect size. These findings confirm that perceptions as to ‘how well views are represented’ has a bearing on the level of participation/non participation that can be demonstrated. (Table 40)

### 6.3.18 Decisions made on my behalf are acceptable to me

Conversely, a relatively positive stance is taken with how well respondents view ‘decisions made on their behalf’ (Tables 41 & 42 below).

**Table 41: Frequency analysis: Participation level by ‘Decisions made on my behalf are acceptable to me’– Sample A**

Participant level		Sample A – Decisions made on my behalf are acceptable to me								
		A lot	A Fair amount	Total agree	Undecided	Not much	Not at all	Total Disagree/ undecided	Total disagree	Total
Non participant	N	2	12	14	21	16	2	39	18	53
	%	3.8	22.6	26.4	39.6	30.2	3.8	73.6	34.0	100.0
Individual participant	N	0	11	11	6	7	1	14	8	25
	%	.0	44.0	44.0	24.0	28.0	4.0	56.0	32.0	100.0
Collective participant	N	2	46	48	27	18	2	47	20	95
	%	2.1	48.4	50.5	28.4	18.9	2.1	49.4	21.0	100.0
Leader participant	N	1	36	37	14	11	0	25	11	62
	%	1.6	58.1	59.7	22.6	17.7	.0	40.3	17.7	100.0
Total	N	5	105	110	68	52	5	125	57	235
	%	2.1	44.7	46.8	28.9	22.1	2.1	53.1	24.2	100.0

**Table 42: Participation level by ‘Decisions made on my behalf are acceptable to me’– Sample B**

Participant level		Sample B – Decisions made on my behalf are acceptable to me								
		A lot	A fair amount	Total agree	Undecided	Not much	Not at all	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	8	171	179	121	66	11	198	77	377
	%	2.1	45.4	47.5	32.1	17.5	2.9	52.5	20.4	100.0
Leader participant	N	1	64	65	31	14	1	46	15	111
	%	.9	57.7	58.6	27.9	12.6	.9	41.4	13.5	100.0
Total	N	9	235	244	152	80	12	244	92	488
	%	1.8	48.2	50.0	31.1	16.4	2.5	50.0	18.9	100.0

With Sample A more than forty-five percent (46.8%) agree with this statement although more than a quarter are undecided (28.9%) and a further quarter disagree (24.2%) with this statement. Levels of agreement and disagreement are indicated according to participant level. Again, the contrast is



particularly marked between the non participants with the leader participants in terms of their respective levels of agreement (26.4% and 59.7%) and disagreement (34% and 17.7%). In Sample B, as with Sample A, more agreement than disagreement is indicated (50% and 18.9% respectively) (Table 42), leaders indicating the highest level of agreement (58.6%) and the least disagreement (13.5%).

**Table 43: ‘Decisions made on my behalf are acceptable to me’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	235			11504.000	<0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	53	63.03	3.00	-2.572	0.005	0.21
Sample A collective	95	80.90	4.00			
Sample A non	53	47.85	3.00	-3.207	<0.001	0.30
Sample A Leader	62	66.68	4.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: the non and collectives participants and the non and leader participants of Sample A (Table 43). As with previous results, the importance of the non and leader pair-wise comparison is emphasised through the effect size calculated. This finding clearly suggests that respondents views as to how acceptable they consider decisions to be made influences their level of participation/non participation.

### 6.3.19 'Community leaders understand local issues'

**Table 44: Frequency analysis: Participation level by 'I believe that community leaders understand local issues' – Sample A**

Participant level		<i>Sample A – I believe that community leaders understand local issues</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total disagree /undecided	Total disagree	Total
Non participant	N	2	14	<b>16</b>	<b>19</b>	13	5	<b>37</b>	<b>18</b>	<b>53</b>
	%	3.8	26.4	<b>30.2</b>	<b>35.8</b>	24.5	9.4	<b>69.7</b>	<b>33.9</b>	<b>100.0</b>
Individual participant	N	0	14	<b>14</b>	<b>8</b>	3	1	<b>12</b>	<b>4</b>	<b>26</b>
	%	.0	53.8	<b>53.8</b>	<b>30.8</b>	11.5	3.8	<b>46.1</b>	<b>15.3</b>	<b>100.0</b>
Collective participant	N	10	41	<b>51</b>	<b>24</b>	15	5	<b>44</b>	<b>20</b>	<b>95</b>
	%	10.5	43.2	<b>53.7</b>	<b>25.3</b>	15.8	5.3	<b>46.4</b>	<b>21.1</b>	<b>100.0</b>
Leader participant	N	5	30	<b>35</b>	<b>20</b>	7	0	<b>27</b>	<b>7</b>	<b>62</b>
	%	8.1	48.4	<b>56.5</b>	<b>32.3</b>	11.3	.0	<b>43.6</b>	<b>11.3</b>	<b>100.0</b>
Total	N	17	99	<b>116</b>	<b>71</b>	38	11	<b>120</b>	<b>49</b>	<b>236</b>
	%	7.2	41.9	<b>49.1</b>	<b>30.1</b>	16.1	4.7	<b>50.9</b>	<b>20.8</b>	<b>100.0</b>

**Table 45: Participation level by 'I believe that community leaders understand local issues' – Sample B**

Participant level		<i>Sample B – I believe that community leaders understand local issues</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	11	185	<b>196</b>	<b>119</b>	46	13	<b>178</b>	<b>59</b>	<b>374</b>
	%	2.9	49.5	<b>52.4</b>	<b>31.8</b>	12.3	3.5	<b>47.6</b>	<b>15.8</b>	<b>100.0</b>
Leader participant	N	2	55	<b>57</b>	<b>40</b>	11	3	<b>54</b>	<b>14</b>	<b>111</b>
	%	1.8	49.5	<b>51.3</b>	<b>36.0</b>	9.9	2.7	<b>48.6</b>	<b>12.6</b>	<b>100.0</b>
Total	N	13	240	<b>253</b>	<b>159</b>	57	16	<b>232</b>	<b>73</b>	<b>485</b>
	%	2.7	49.5	<b>52.2</b>	<b>32.8</b>	11.8	3.3	<b>47.9</b>	<b>15.1</b>	<b>100.0</b>

The most positive perspective on the topic of 'representation' is shown with 'community leaders understand local issues' (Tables 44 & 45) with almost fifty percent of the random household sample agreeing with this statement (49.1%). However, equally more than fifty percent are either undecided/disagree with this statement (50.9%). By participant level, there are higher levels of agreement than disagreement in all cases except for the non participants: leaders (56.5%), collectives (53.7%) and individuals (53.8%) compared to thirty percent of the non participants (30.2%). With

regard to disagreement, whilst one third (33.9%) of non participants disagree, only just over 10% of the leaders do so (11.3%). An equally positive report is indicated with fifty percent of Sample B (52.2%) agreeing with this statement (Table 45).

**Table 46: ‘I believe that community leaders understand local issues’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	236			11513.500	0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	53	62.21	3.00	-2.722	0.003	0.22
Sample A collective	95	81.36	4.00			
Sample A non	53	47.29	3.00	-3.357	<0.001	0.31
Sample A Leader	62	67.15	4.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: the non and collectives participants and especially, given the effect size, between the non and leader participants of Sample A. These findings demonstrate that the null hypothesis is disproved namely that there is a relationship between the variables that is not purely due to chance. As such, a relationship is considered to exist amongst levels of participation/non participation and a respondent’s perceptions as to ‘how well community leaders are considered to understand local issues’ (Table 46).

*Level of influence*

**6.3.20 ‘I believe I can make a difference’**

**Table 47: Frequency analysis: Participation level by ‘I believe I can make a difference’ – Sample A**

Participant level		<i>Sample A – I believe I can make a difference</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	2	16	<b>18</b>	<b>8</b>	20	6	<b>34</b>	<b>26</b>	<b>52</b>
	%	3.8	30.8	<b>34.6</b>	<b>15.4</b>	38.5	11.5	<b>65.4</b>	<b>50.</b>	<b>100.0</b>
Individual participant	N	0	7	<b>7</b>	<b>8</b>	8	4	<b>20</b>	<b>12</b>	<b>27</b>
	%	.0	25.9	<b>25.9</b>	<b>29.6</b>	29.6	14.8	<b>74.</b>	<b>44.4</b>	<b>100.0</b>
Collective participant	N	12	44	<b>56</b>	<b>20</b>	17	2	<b>39</b>	<b>19</b>	<b>95</b>
	%	12.6	46.3	<b>58.9</b>	<b>21.1</b>	17.9	2.1	<b>41.1</b>	<b>20.0</b>	<b>100.0</b>
Leader participant	N	15	35	<b>50</b>	<b>10</b>	2	0	<b>12</b>	<b>2</b>	<b>62</b>
	%	24.2	56.5	<b>80.7</b>	<b>16.1</b>	3.2	.0	<b>19.3</b>	<b>3.2</b>	<b>100.0</b>
Total	N	29	102	<b>131</b>	<b>46</b>	47	12	<b>105</b>	<b>59</b>	<b>236</b>
	%	12.3	43.2	<b>55.5</b>	<b>19.5</b>	19.9	5.1	<b>44.5</b>	<b>25.0</b>	<b>100.0</b>

**Table 48: Participant level by ‘I believe I can make a difference’ – Sample B**

Participant level		<i>Sample B – I believe I can make a difference</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	21	161	<b>182</b>	<b>117</b>	52	18	<b>187</b>	<b>70</b>	<b>369</b>
	%	5.7	43.6	<b>49.3</b>	<b>31.7</b>	14.1	4.9	<b>50.7</b>	<b>19.</b>	<b>100.0</b>
Leader participant	N	23	65	<b>88</b>	<b>17</b>	6	0	<b>23</b>	<b>6</b>	<b>111</b>
	%	20.7	58.6	<b>79.3</b>	<b>15.3</b>	5.4	.0	<b>20.7</b>	<b>5.4</b>	<b>100.0</b>
Total	N	44	226	<b>270</b>	<b>134</b>	58	18	<b>210</b>	<b>76</b>	<b>480</b>
	%	9.2	47.1	<b>56.3</b>	<b>27.9</b>	12.1	3.8	<b>43.8</b>	<b>15.9</b>	<b>100.0</b>

More than a half of the total Sample A participants believe they can make a difference (55.5%) whilst fewer than forty-five percent of the respondents (44.5%) are undecided or disagree (Table 47). Leaders show the highest level of agreement with this statement (80.7%) followed by the collectives (58.9%). Non’ and individual participants show less agreement with half of the non participants (50%) and almost forty-five percent (44.4%) of these respondents disagree that they can make a difference to

decisions taken. Further patterns of disagreement are according to participant level indicating differences of opinion amongst the non and individual levels (50.0% and 44.4% respectively) with those of the collective (20.0%) and leader levels (3.2%).

In Sample B a similar review is indicated with more than half of the respondents indicating agreement (56.3%) while the remainder (43.8%) indicate disagreement and indecision (Table 48). Responses are indicated according to participant level with almost four-fifths (79.3%) of the leaders agreeing with this statement and just over five percent in disagreement (5.4%) compared to less than half of the collectives in agreement (49.3%) and almost a fifth (19%) who disagree with this statement.

Comparing both samples, there is less disagreement portrayed in Sample B by just over fifteen percent of these respondents, compared to a quarter of those from Sample A (15.9% and 25.% respectively).

**Table 49: ‘I believe I can make a difference’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

Jonckheere Terpstra	N			Observed JT	P=<0.05	
Sample A	236			13581.500	<0.001	
Mann- Whitney		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	52	57.31	2.50	-3.690	<0.001	0.30
Sample A collective	95	83.14	4.00			
Sample A non	52	39.13	2.50	-5.740	<0.001	0.54
Sample A Leader	62	72.90	4.00			
Sample A individual	27	41.67	3.00	-3.471	<0.001	0.31
Sample A collective	95	67.14	4.00			
Sample A individual	27	24.02	3.00	-5.388	<0.001	0.57
Sample A Leader	62	54.14	4.00			
Sample A collective	95	70.20	4.00	-3.239	<0.001	0.26
Sample A Leader	62	92.48	4.00			
Sample B collective	369	219.90	3.00	-6.356	<0.001	0.29
Sample B Leader	111	308.99	4.00			

Table 49 shows that on application of the Jonckheere Terpstra test, sufficient difference between the participant levels of the random household survey was indicated to reject the null hypothesis of their equality. Further, except for the pair-wise comparison of non and individual respondents, all of the subsequent Mann Whitney U pair wise comparisons in both samples A and B demonstrated significant differences. These differences are emphasised through the effect sizes especially with the non and leader and the individual and leader participants. Thus, these findings indicate that respondents’ perceptions as to their ‘belief that they can make a difference’ affects their practice or non practice of participation.

### 6.3.21 'I can influence decisions'

**Table 50: Frequency analysis: Participation level by 'I can influence decisions' – Sample A**

Participant level		Sample A – I can influence decisions								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
Non participant	N	0	8	<b>8</b>	<b>7</b>	23	17	<b>47</b>	<b>40</b>	<b>55</b>
	%	.0	14.5	<b>14.5</b>	<b>12.7</b>	41.8	30.9	<b>85.4</b>	<b>72.7</b>	<b>100.0</b>
Individual participant	N	0	5	<b>5</b>	<b>4</b>	12	5	<b>21</b>	<b>17</b>	<b>26</b>
	%	.0	19.2	<b>19.2</b>	<b>15.4</b>	46.2	19.2	<b>80.8</b>	<b>65.4</b>	<b>100.0</b>
Collective participant	N	5	26	<b>31</b>	<b>16</b>	43	6	<b>65</b>	<b>49</b>	<b>96</b>
	%	5.2	27.1	<b>32.3</b>	<b>16.7</b>	44.8	6.2	<b>67.7</b>	<b>51.0</b>	<b>100.0</b>
Leader participant	N	1	31	<b>32</b>	<b>12</b>	15	2	<b>29</b>	<b>17</b>	<b>61</b>
	%	1.6	50.8	<b>52.4</b>	<b>19.7</b>	24.6	3.3	<b>47.6</b>	<b>27.9</b>	<b>100.0</b>
Total	N	6	70	<b>76</b>	<b>39</b>	93	30	<b>162</b>	<b>123</b>	<b>238</b>
	%	2.5	29.4	<b>31.9</b>	<b>16.4</b>	39.1	12.6	<b>68.1</b>	<b>51.7</b>	<b>100.0</b>

More than half of Sample A respondents (51.7%) disagree with the statement 'I can influence decisions' although just under a third (31.9%) agree (Table 50). As with a number of other topics, leaders show the greatest level of agreement and non participants the least. In this instance seventy percent (72.7%) of the non participants and more than sixty-five percent (65.4%) of the individual participants disagree with this statement in comparison with albeit, only a third of the collectives (32.3%) and half of the leader participants indicating their agreement (52.4%).

A similar pattern i.e more disagreement (37.4%) than agreement (32.9%) is reflected in Sample B (Table 51) where more than forty-five percent of the leaders are in agreement, (46.3%), compared to twenty-nine percent of the collectives. (28.9%).

**Table 51: Participation level by ‘I can influence decisions’ – Sample B**

Participant level		<i>Sample B – I can influence decisions</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
<b>Collective participant</b>	N	7	99	<b>106</b>	<b>110</b>	120	31	<b>261</b>	<b>151</b>	<b>367</b>
	%	1.9	27.0	<b>28.9</b>	<b>30.0</b>	32.7	8.4	<b>71.1</b>	<b>41.1</b>	<b>100.0</b>
<b>Leader participant</b>	N	1	49	<b>50</b>	<b>31</b>	25	2	<b>58</b>	<b>27</b>	<b>108</b>
	%	.9	45.4	<b>46.3</b>	<b>28.7</b>	23.1	1.9	<b>53.7</b>	<b>25.</b>	<b>100.0</b>
<b>Total</b>	N	8	148	<b>156</b>	<b>141</b>	145	33	<b>319</b>	<b>178</b>	<b>475</b>
	%	1.7	31.2	<b>32.9</b>	<b>29.7</b>	30.5	6.9	<b>67.1</b>	<b>37.4</b>	<b>100.0</b>

**Table 52: ‘I can influence decisions’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

Jonckheere Terpstra	N			Observed JT	P=<0.05	
Sample A	238			13289.000	<0.001	
Mann- Whitney		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	55	59.03	2.00	-3.809	<0.001	0.31
Sample A collective	96	85.72	2.00			
Sample A non	55	41.68	2.00	-5.338	<0.001	0.50
Sample A Leader	61	73.66	4.00			
Sample A individual	26	30.17	2.00	-3.528	<0.001	0.38
Sample A Leader	61	49.89	4.00			
Sample A collective	96	71.85	2.00	-2.610	0.009	0.21
Sample A Leader	61	90.25	4.00			
Sample B collective	367	225.87	3.00	-3.712	<0.001	0.17
Sample B Leader	108	279.22	3.00			

The Jonckheere Terpstra test demonstrates that sufficient difference exists amongst the participant levels to reject the null hypothesis of their equality. Subsequent Mann Whitney pair wise comparisons indicated significant differences in both samples A and B in all cases except the non with individual and individual with collective comparisons. What is especially notable is the emphasis placed on the non and leader pair-wise comparison given the effect size. These findings demonstrate that the null hypothesis is disproved namely that there is a relationship between the variables that is not purely due to chance. As such, a relationship is considered to exist amongst respondents’ perceptions as to their ‘belief that they can influence decisions’ and their practice or non practice of participation (Table 52).

**6.3.22 'The council and government agencies want to know what people think'**

**Table 53: Frequency analysis: Participation level by 'The council want to know what people think'– Sample A**

Participant level		<i>Sample A – The council want to know what people think</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
<b>Non participant</b>	N	0	12	<b>12</b>	<b>10</b>	19	12	<b>41</b>	<b>31</b>	<b>53</b>
	%	.0	22.6	<b>22.6</b>	<b>18.9</b>	35.8	22.6	<b>77.3</b>	<b>58.4</b>	<b>100.0</b>
<b>Individual participant</b>	N	0	13	<b>13</b>	<b>6</b>	4	2	<b>12</b>	<b>6</b>	<b>25</b>
	%	.0	52.0	<b>52.0</b>	<b>24.0</b>	16.0	8.0	<b>48</b>	<b>24.0</b>	<b>100.0</b>
<b>Collective participant</b>	N	4	39	<b>43</b>	<b>23</b>	24	5	<b>52</b>	<b>29</b>	<b>95</b>
	%	4.2	41.	<b>45.2</b>	<b>24.2</b>	25.3	5.3	<b>54.8</b>	<b>30.6</b>	<b>100.0</b>
<b>Leader participant</b>	N	2	34	<b>36</b>	<b>11</b>	9	4	<b>24</b>	<b>13</b>	<b>60</b>
	%	3.3	56.7	<b>60.0</b>	<b>18.3</b>	15.0	6.7	<b>40.0</b>	<b>21.7</b>	<b>100.0</b>
<b>Total</b>	N	6	98	<b>104</b>	<b>50</b>	56	23	<b>129</b>	<b>79</b>	<b>233</b>
	%	2.6	42.	<b>44.6</b>	<b>21.5</b>	24.	9.9	<b>55.4</b>	<b>33.9</b>	<b>100.0</b>

Almost forty-five percent of Sample A respondents agree that 'the council want to know what people think' (44.6%) while fifty five percent are undecided or disagree (55.4%) (Table 53). The most disagreement is indicated by almost sixty per cent of the non participants (58.4%) and the most agreement by sixty percent of the leaders. Patterns of agreement are according to participant level except for the individuals who show more agreement than the collectives (52.% and 45.2% respectively). With patterns of disagreement, a similar situation is evident with individuals disagreeing less than the collectives (24.0% and 30.6% respectively).

In comparison with Sample A, Table 54 below shows more agreement than disagreement is indicated in Sample B (59.4% and 16.7% respectively) and patterns of responses are according to participant level with leaders indicating the most agreement and least disagreement.



**Table 54: Participation level by ‘The council want to know what people think’ – Sample B**

Participant level		<i>Sample B – the council want to know what people think</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
<b>Collective participant</b>	N	29	185	<b>214</b>	<b>89</b>	50	18	<b>157</b>	<b>68</b>	<b>371</b>
	%	7.8	49.9	<b>57.7</b>	<b>24.0</b>	13.5	4.9	<b>42.4</b>	<b>18.4</b>	<b>100.0</b>
<b>Leader participant</b>	N	14	57	<b>71</b>	<b>26</b>	9	3	<b>38</b>	<b>12</b>	<b>109</b>
	%	12.8	52.3	<b>65.1</b>	<b>23.9</b>	8.3	2.8	<b>35.0</b>	<b>11.1</b>	<b>100.0</b>
<b>Total</b>	N	43	242	<b>285</b>	<b>115</b>	59	21	<b>195</b>	<b>80</b>	<b>480</b>
	%	9.0	50.4	<b>59.4</b>	<b>24.0</b>	12.3	4.4	<b>40.7</b>	<b>16.7</b>	<b>100.0</b>

**Table 55: ‘The council want to know what people think’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	233			11684.000	<0.001	
<b>Mann-Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	53	34.94	2.00	-2.681	0.003	0.30
Sample A individual	25	49.16	4.00			
Sample A non	53	58.96	2.00	-3.427	<0.001	0.28
Sample A collective	95	83.17	3.00			
Sample A non	53	44.25	2.00	-4.078	<0.001	0.38
Sample A leader	60	68.27	4.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: the non and individual participants; non participants with collectives; and given the effect size, is especially notable between the non participants with the leader participants of Sample A. These findings clearly suggest that respondents perceptions of ‘institutions wanting to know what people think’ influences the level and extent of a person’s level of participation/non participation. (Table 55).

**6.3.23 'The council and government agencies want people to participate'**

**Table 56: Frequency analysis: Participation level by 'The council and government agencies want people to participate' – Sample A**

Participant level		<b>Sample A – The council and government agencies want people to participate</b>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
<b>Non participant</b>	N	0	6	<b>6</b>	<b>11</b>	24	10	<b>45</b>	<b>34</b>	<b>51</b>
	%	.0	11.8	<b>11.8</b>	<b>21.6</b>	47.1	19.6	<b>88.3</b>	<b>66.7</b>	<b>100.0</b>
<b>Individual participant</b>	N	1	8	<b>9</b>	<b>7</b>	7	3	<b>17</b>	<b>10</b>	<b>26</b>
	%	3.8	30.8	<b>34.6</b>	<b>26.9</b>	26.9	11.5	<b>65.3</b>	<b>38.4</b>	<b>100.0</b>
<b>Collective participant</b>	N	4	33	<b>37</b>	<b>25</b>	29	4	<b>58</b>	<b>33</b>	<b>95</b>
	%	4.2	34.7	<b>38.9</b>	<b>26.3</b>	30.5	4.2	<b>61.0</b>	<b>34.7</b>	<b>100.0</b>
<b>Leader participant</b>	N	2	25	<b>27</b>	<b>17</b>	12	4	<b>33</b>	<b>16</b>	<b>60</b>
	%	3.3	41.7	<b>45.0</b>	<b>28.3</b>	20.0	6.7	<b>55.0</b>	<b>26.7</b>	<b>100.0</b>
<b>Total</b>	N	7	72	<b>79</b>	<b>60</b>	72	21	<b>153</b>	<b>93</b>	<b>232</b>
	%	3.0	31.0	<b>34.0</b>	<b>25.9</b>	31.0	9.1	<b>66.0</b>	<b>40.1</b>	<b>100.0</b>

**Table 57: Participation level by 'The council want people to participate' – Sample B**

Participant level		<b>Sample B – The council and government agencies want people to participate</b>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
<b>Collective participant</b>	N	16	163	<b>179</b>	<b>110</b>	58	21	<b>189</b>	<b>79</b>	<b>368</b>
	%	4.3	44.3	<b>48.6</b>	<b>29.9</b>	15.8	5.7	<b>51.4</b>	<b>21.5</b>	<b>100.0</b>
<b>Leader participant</b>	N	11	47	<b>58</b>	<b>34</b>	14	4	<b>52</b>	<b>18</b>	<b>110</b>
	%	10.0	42.7	<b>52.7</b>	<b>30.9</b>	12.7	3.6	<b>47.2</b>	<b>16.3</b>	<b>100.0</b>
<b>Total</b>	N	27	210	<b>237</b>	<b>144</b>	72	25	<b>241</b>	<b>97</b>	<b>478</b>
	%	5.6	43.9	<b>49.5</b>	<b>30.1</b>	15.1	5.2	<b>50.4</b>	<b>20.3</b>	<b>100.0</b>

Of the total respondents in Sample A just over a third of the respondents (34.0%) believe that 'the council and government agencies want people to participate', whilst two-thirds disagree and are undecided (66.0%) (Table 56). As with previous findings, the most disagreement is shown by two-thirds of the non participants (66.7%) and almost two-fifths (38.4%) of the individual participants. As reported previously, patterns of agreement and disagreement are indicated according to participant level with forty-five per cent of the leaders of the most positive and least negative views (26.7%).

A more balanced response is shown in Table 57 with Sample B and almost half of the respondents (49.5%) indicating their agreement and just over fifty percent (50.4%) indicating their indecision and disagreement. Of this latter figure, only a fifth indicates their total disagreement (20.3%). Responses are indicated according to participant level with leaders indicating the most agreement and the least disagreement (52.7% and 16.3%).

**Table 58: ‘The council want people to participate’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	232			11840.000	<0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	51	34.74	2.00	-2.454	0.007	0.28
Sample A individual	26	47.37	3.00			
Sample A non	51	53.68	2.00	-4.333	<0.001	0.36
Sample A collective	95	84.14	3.00			
Sample A non	51	41.74	2.00	-4.473	<0.001	0.42
Sample A leader	60	68.12	3.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: non and individuals participants, non and collectives, and in consideration of the effect size, significance is emphasised with the non and leader participants of sample A. These findings indicate that respondents’ views on ‘whether the council want people to participate’ influences the level and extent of a person’s participation (Table 58).

### *Trust in institutions*

A relationship is evident in terms of levels of participation and the degree to which respondents trust or mistrust an institution.

**6.3.24 I trust my local councillor (s) (town, parish, district or county)**

**Table 59: Frequency analysis: Participation level by ‘I trust my local councillor (s) (town, parish, district or county)’ – Sample A**

Participant level		Sample A – I trust my local councillor								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	0	16	<b>16</b>	<b>17</b>	14	8	<b>39</b>	<b>22</b>	<b>55</b>
	%	.0	29.1	<b>29.1</b>	<b>30.9</b>	25.5	14.5	<b>70.9</b>	<b>40.</b>	<b>100.0</b>
Individual participant	N	0	11	<b>11</b>	<b>8</b>	6	1	<b>15</b>	<b>7</b>	<b>26</b>
	%	.0	42.3	<b>42.3</b>	<b>30.8</b>	23.1	3.8	<b>57.7</b>	<b>26.9</b>	<b>100.0</b>
Collective participant	N	10	29	<b>39</b>	<b>38</b>	15	4	<b>57</b>	<b>19</b>	<b>96</b>
	%	10.4	30.2	<b>40.6</b>	<b>39.6</b>	15.6	4.2	<b>59.4</b>	<b>19.8</b>	<b>100.0</b>
Leader participant	N	4	22	<b>26</b>	<b>27</b>	5	3	<b>35</b>	<b>8</b>	<b>61</b>
	%	6.6	36.1	<b>42.7</b>	<b>44.3</b>	8.2	4.9	<b>57.4</b>	<b>13.1</b>	<b>100.0</b>
Total	N	14	78	<b>92</b>	<b>90</b>	40	16	<b>146</b>	<b>56</b>	<b>238</b>
	%	5.9	32.8	<b>38.7</b>	<b>37.8</b>	16.8	6.7	<b>61.3</b>	<b>23.5</b>	<b>100.0</b>

Table 59 shows that indecision as to trust of councillors at town, parish, district and county levels is indicated by almost two-fifths of Sample A (37.8%). However, almost forty percent (38.7%) do trust councillors, while almost a quarter do not (23.5%). The level of disagreement is indicated according to participation level and is notably higher among the non participants (40%) when compared to the other three levels of participation. Patterns of agreement are also according to participant level except for the collectives who indicate less agreement than the individuals (40.6% and 42.3% respectively).

As with Sample A, in Sample B almost forty-five percent of this sample (44.3%) is undecided as to trusting their local councillor (Table 60). Yet more than two fifths do agree with this statement (40.6%). A similar figure of trust is recorded by the collective participants (40.1%) and by the leaders (42.3%). Patterns of agreement and disagreement are indicated according to participant level with leaders agreeing the most and disagreeing the least.

**Table 60: Participation level by ‘I trust my local councillor (s) (town, parish, district or county)’ – Sample B**

Participant level		<i>Sample B – I trust my local councillor</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
<b>Collective participant</b>	N	12	138	<b>150</b>	<b>164</b>	46	14	<b>224</b>	<b>60</b>	<b>374</b>
	%	3.2	36.9	<b>40.1</b>	<b>43.9</b>	12.3	3.7	<b>59.9</b>	<b>16.</b>	<b>100.0</b>
<b>Leader participant</b>	N	3	44	<b>47</b>	<b>51</b>	11	2	<b>64</b>	<b>13</b>	<b>111</b>
	%	2.7	39.6	<b>42.3</b>	<b>45.9</b>	9.9	1.8	<b>57.6</b>	<b>11.7</b>	<b>100.0</b>
<b>Total</b>	N	15	182	<b>197</b>	<b>215</b>	57	16	<b>288</b>	<b>73</b>	<b>485</b>
	%	3.1	37.5	<b>40.6</b>	<b>44.3</b>	11.8	3.3	<b>59.4</b>	<b>15.1</b>	<b>100.0</b>

**Table 61: ‘I trust my local councillor (s) (town, parish, district or county)’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	238			11567.000	0.002	
<b>Mann- Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	55	63.76	3.00	-2.717	0.007	0.22
Sample A collective	96	83.01	3.00			
Sample A non	55	49.65	3.00	-2.830	0.002	0.26
Sample A leader	61	66.48	3.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between the non and collectives and the non and the leader participants of the random household survey (Table 61). These findings demonstrate that the null hypothesis is disproved namely that there is a relationship between the variables that is not purely due to chance. As such, a relationship exists amongst respondents’ ‘trust of their local councillors’ and their level of participation/non participation.

### 6.3.25 'I trust my local MP'

**Table 62: Frequency analysis: Participation level by 'I trust my local MP' Sample A**

Participant level		Sample A – I trust my local MP								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	1	13	<b>14</b>	<b>16</b>	15	10	<b>41</b>	<b>25</b>	<b>55</b>
	%	1.8	23.6	<b>25.4</b>	<b>29.1</b>	27.3	18.2	<b>74.6</b>	<b>45.5</b>	<b>100.0</b>
Individual participant	N	2	9	<b>11</b>	<b>11</b>	2	2	<b>15</b>	<b>4</b>	<b>26</b>
	%	7.7	34.6	<b>42.3</b>	<b>42.3</b>	7.7	7.7	<b>57.7</b>	<b>15.4</b>	<b>100.0</b>
Collective participant	N	12	32	<b>44</b>	<b>34</b>	14	4	<b>52</b>	<b>18</b>	<b>96</b>
	%	12.5	33.3	<b>45.8</b>	<b>35.4</b>	14.6	4.2	<b>54.2</b>	<b>18.8</b>	<b>100.0</b>
Leader participant	N	8	19	<b>27</b>	<b>20</b>	10	4	<b>34</b>	<b>14</b>	<b>61</b>
	%	13.1	31.1	<b>44.2</b>	<b>32.8</b>	16.4	6.6	<b>55.8</b>	<b>23.0</b>	<b>100.0</b>
Total	N	23	73	<b>96</b>	<b>81</b>	41	20	<b>142</b>	<b>61</b>	<b>238</b>
	%	9.7	30.7	<b>40.4</b>	<b>34.0</b>	17.2	8.4	<b>59.6</b>	<b>25.6</b>	<b>100.0</b>

Table 62 shows that two fifths of Sample A respondents (40.4%) trust their local MP compared to almost sixty percent who are undecided or do not (59.6%). As with previous findings reported, the most disagreement is indicated by more than forty-five per cent of the non participants who indicate their mistrust (45.5%). Further patterns of disagreement are reported by the collectives and to a greater extent by the leaders, who disagree more with this statement than the individuals (18.8%, 23.0% and 15.4% respectively). Conversely, patterns of agreement are indicated according to participant level except for the leaders who rank second to the collectives (44.2% and 45.8% respectively).

A similar pattern by total respondents' views is recorded with Sample B and fewer than forty percent (37.5%) trusting their local MP compared to more than sixty percent (62.5%) who are undecided or do not (Table 63). Patterns of agreement and disagreement are indicated according to participant level with leaders agreeing the most and who disagree the least.

**Table 63: Participation level by ‘I trust my local MP’ – Sample B**

Participant level		<i>Sample B – I trust my local MP</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
<b>Collective</b>	N	23	110	<b>133</b>	<b>163</b>	58	21	<b>242</b>	<b>79</b>	<b>375</b>
	%	6.1	29.3	<b>35.4</b>	<b>43.5</b>	15.5	5.6	<b>64.6</b>	<b>21.1</b>	<b>100.0</b>
<b>Leader</b>	N	8	41	<b>49</b>	<b>42</b>	19	1	<b>62</b>	<b>20</b>	<b>111</b>
	%	7.2	36.9	<b>44.1</b>	<b>37.8</b>	17.1	.9	<b>55.8</b>	<b>18.</b>	<b>100.0</b>
<b>Total</b>	N	31	151	<b>182</b>	<b>205</b>	77	22	<b>304</b>	<b>99</b>	<b>486</b>
	%	6.4	31.1	<b>37.5</b>	<b>42.2</b>	15.8	4.5	<b>62.5</b>	<b>20.3</b>	<b>100.0</b>

**Table 64: ‘I trust my local MP’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	238			11616.500	0.002	
<b>Mann- Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	55	36.83	3.00	-2.407	0.008	0.27
Sample A individual	26	49.83	3.00			
Sample A non	55	59.25	3.00	-3.695	<0.001	0.30
Sample A collective	96	85.59	3.00			
Sample A non	55	49.12	3.00	-2.947	0.001	0.27
Sample A leader	61	66.96	3.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between the non and individual participants; non and collective participants; and the non and the leader participants of sample A (Table 64). Degrees of trust are as such indicated to corroborate with levels of participation/non participation.

### 6.3.26 'I trust my local council'

**Table 65: Frequency analysis: Participation level by 'I trust my local council (town, parish, district or county)' Sample A**

Participant level		Sample A – I trust my local council								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
Non participant	N	0	15	15	17	16	7	40	23	55
	%	.0	27.3	27.3	30.9	29.1	12.7	72.7	41.8	100.0
Individual participant	N	0	7	7	15	2	1	18	3	25
	%	.0	28.0	28.	60.0	8.0	4.0	72.	12.	100.0
Collective participant	N	6	29	35	39	18	4	61	22	96
	%	6.2	30.2	36.4	40.6	18.8	4.2	63.6	23.0	100.0
Leader participant	N	2	26	28	24	8	0	32	8	60
	%	3.3	43.3	46.6	40.0	13.3	.0	53.3	13.3	100.0
Total	N	8	77	85	95	44	12	151	56	236
	%	3.4	32.6	36.0	40.3	18.6	5.1	64.0	23.7	100.0

**Table 66: Participation level by 'I trust my local council (town, parish, district or county)' Sample B**

Participant level		Sample B – I trust my local council								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
Collective participant	N	9	139	148	157	50	16	223	66	371
	%	2.4	37.5	39.9	42.3	13.5	4.3	60.1	17.8	100.0
Leader participant	N	0	50	50	46	10	4	60	14	110
	%	.0	45.5	45.5	41.8	9.1	3.6	54.5	12.7	100.0
Total	N	9	189	198	203	60	20	283	80	481
	%	1.9	39.3	41.2	42.2	12.5	4.2	58.9	16.7	100.0

The level of trust towards the local council is indicated according to participant level (Table 65). However, although more than thirty-five percent of Sample A (36.0%) indicate their trust more than three-fifths are undecided or do not (64.0%). The most mistrust is indicated by more than two-fifths of the non participants (41.8%) whereas the individuals and the leaders indicate the least mistrust (12% and 13.3% respectively). Nevertheless, the individuals also record the highest level of indecision (60%) of the four participant levels followed by the collectives (40.6%) and the leaders (40.0%). With



Sample B, (Table 66) more trust than mistrust is indicated (41.2% and 16.7% respectively). This is led by more than forty-five percent of the leaders (45.5%). Patterns of disagreement are also indicated according to participant level.

**Table 67: ‘I trust my local council’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	236			11626.500	<0.001	
<b>Mann-Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	55	65.45	3.00	-2.348	0.009	0.19
Sample A collective	96	82.04	3.00			
Sample A non	55	47.62	3.00	-3.370	<0.001	0.31
Sample A leader	60	67.52	3.00			

Table 67 shows that statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between non participant and collectives and given the effect size, significance is emphasised with the non participant and leaders to the random household survey. These findings indicate that degrees of trust towards the local council influences the respondents’ practice or non practice of participation.

### 6.3.27 'I trust local traditional forest organisations'

**Table 68: Frequency analysis: Participation level by 'I trust traditional Forest organisations' Sample A**

Participant level		Sample A – I trust traditional Forest organisations								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
Non participant	N	7	16	23	18	7	7	32	14	55
	%	12.7	29.1	41.8	32.7	12.7	12.7	58.1	25.4	100.0
Individual participant	N	4	16	20	6	1	0	7	1	27
	%	14.8	59.3	74.1	22.2	3.7	.0	25.9	3.7	100.0
Collective participant	N	9	46	55	30	8	3	41	11	96
	%	9.4	47.9	57.3	31.2	8.3	3.1	42.6	11.4	100.0
Leader participant	N	3	40	43	15	3	1	19	4	62
	%	4.8	64.5	69.3	24.2	4.8	1.6	30.6	6.4	100.0
Total	N	23	118	141	69	19	11	99	30	240
	%	9.6	49.2	58.8	28.7	7.9	4.6	41.2	12.5	100.0

It is evident that local traditional forest organisations enjoy a far higher level of trust than other institutions with as shown in Table 68 with Sample A, almost sixty percent of the respondents indicating a positive stance (58.8%). However, more than quarter show indecision (28.7%) and almost thirteen per cent (12.5%) indicate their mistrust. The results reveal that the pattern seen elsewhere of leaders agreeing the most does not apply in this case. The most agreement (74.1%) and least disagreement (3.7%) is led by individuals; leaders rank second with agreement (69.3%) and disagreement (6.4%); collectives are in third place; and non participants, as with other topics show the least agreement (41.8%) and the most disagreement (25.4%).

As with Sample A, Sample B is most trusting of local forest organisations, which is indicated by approximately half of these respondents. This is led by almost sixty percent (56.8%) of the leaders who also show less disagreement than the collective level (8.1% compared to 12.3%). (Table 69)

**Table 69: Participation level by ‘I trust traditional Forest organisations’ Sample B**

Participant level		<i>Sample B – I trust traditional Forest organisations</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
<b>Collective participant</b>	N	16	166	<b>182</b>	<b>146</b>	29	17	<b>192</b>	<b>46</b>	<b>374</b>
	%	4.3	44.4	<b>48.7</b>	<b>39.0</b>	7.8	4.5	<b>51.3</b>	<b>12.3</b>	<b>100.0</b>
<b>Leader participant</b>	N	7	56	<b>63</b>	<b>39</b>	6	3	<b>48</b>	<b>9</b>	<b>111</b>
	%	6.3	50.5	<b>56.8</b>	<b>35.1</b>	5.4	2.7	<b>43.2</b>	<b>8.1</b>	<b>100.0</b>
<b>Total</b>	N	23	222	<b>245</b>	<b>185</b>	35	20	<b>240</b>	<b>55</b>	<b>485</b>
	%	4.7	45.8	<b>50.5</b>	<b>38.1</b>	7.2	4.1	<b>49.4</b>	<b>11.3</b>	<b>100.0</b>

**Table 70: ‘I trust local Forest organisations’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	240			11239.500	0.028	
<b>Mann-Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	55	36.92	3.00	-2.604	.004	.29
Sample A individual	27	50.83	4.00			
Sample A non	55	51.19	3.00	-2.520	.006	.23
Sample A leader	62	65.93	4.00			

Table 70 shows that statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between non participant and individuals and with non and leader respondents to the random household survey. These findings indicate that trust towards the local Forest organisations is a variable that influences participation/non participation.

*Respondents' perceptions as to their capability and ability to participate*

**6.3.28 'I know how to get involved'**

**Table 71: Frequency analysis: Participation level by 'I know how to get involved' Sample A**

Participant level		<i>Sample A – I know how to get involved</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total disagree/ undecided	Total disagree	Total
Non participant	N	5	20	<b>25</b>	<b>9</b>	13	5	<b>27</b>	<b>18</b>	<b>52</b>
	%	9.6	38.5	<b>48.1</b>	<b>17.3</b>	25.0	9.6	<b>51.9</b>	<b>34.6</b>	<b>100.0</b>
Individual participant	N	1	9	<b>10</b>	<b>11</b>	5	0	<b>16</b>	<b>5</b>	<b>26</b>
	%	3.8	34.6	<b>38.4</b>	<b>42.3</b>	19.2	.0	<b>61.5</b>	<b>19.2</b>	<b>100.0</b>
Collective participant	N	9	58	<b>67</b>	<b>19</b>	7	2	<b>28</b>	<b>9</b>	<b>95</b>
	%	9.5	61.	<b>70.5</b>	<b>20.0</b>	7.4	2.1	<b>29.5</b>	<b>9.5</b>	<b>100.0</b>
Leader participant	N	8	38	<b>46</b>	<b>10</b>	3	0	<b>13</b>	<b>3</b>	<b>59</b>
	%	13.6	64.4	<b>78.0</b>	<b>16.9</b>	5.1	.0	<b>22.0</b>	<b>5.1</b>	<b>100.0</b>
Total	N	23	125	<b>148</b>	<b>49</b>	28	7	<b>84</b>	<b>35</b>	<b>232</b>
	%	9.9	53.9	<b>63.8</b>	<b>21.1</b>	12.1	3.0	<b>36.2</b>	<b>15.1</b>	<b>100.0</b>

**Table 72: Participation level by 'I know how to get involved' Sample B**

Participant level		<i>Sample B – I know how to get involved</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	22	171	<b>193</b>	<b>114</b>	46	10	<b>170</b>	<b>56</b>	<b>363</b>
	%	6.1	47.1	<b>53.2</b>	<b>31.4</b>	12.7	2.8	<b>46.9</b>	<b>15.5</b>	<b>100.0</b>
Leader participant	N	9	73	<b>82</b>	<b>19</b>	8	0	<b>27</b>	<b>8</b>	<b>109</b>
	%	8.3	67.0	<b>75.3</b>	<b>17.4</b>	7.3	.0	<b>24.7</b>	<b>7.3</b>	<b>100.0</b>
Total	N	31	244	<b>275</b>	<b>133</b>	54	10	<b>197</b>	<b>64</b>	<b>472</b>
	%	6.6	51.7	<b>58.3</b>	<b>28.2</b>	11.4	2.1	<b>41.7</b>	<b>13.5</b>	<b>100.0</b>

Over sixty percent (63.8%) of Sample A indicate they 'know how to get involved' (Table 71). The most agreement is shown by almost eighty percent of the leaders (78%), the least agreement of the four levels is shown by almost two-fifths of the individuals (38.4%) and the most disagreement is indicated by more than a third of the non participants (34.6%). Levels of disagreement are indicated according to participation level.

Similar results are reflected in Sample B with almost sixty percent (58.3%) of this sample who indicate they know how to get involved. Patterns of agreement and disagreement are indicated according to participant level (Table 72).

**Table: 73: ‘I know how to get involved’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

Jonckheere Terpstra	N			Observed JT	P=<0.05	
Sample A	232			11676.000	<0.001	
Mann- Whitney		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	52	61.80	3.00	-2.804	0.002	.23
Sample A collective	95	80.68	4.00			
Sample A non	52	45.86	3.00	-3.386	<0.001	.32
Sample A leader	59	64.94	4.00			
Sample A individual	26	45.60	3.00	-2.802	0.002	.25
Sample A collective	95	65.22	4.00			
Sample A individual	26	30.37	3.00	-3.473	<0.001	.38
Sample A leader	59	48.57	4.00			
Sample B collective	363	224.25	4.00	-3.891	<0.001	.18
Sample B leader	109	277.30	4.00			

Table 73 shows that statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: non participants and collectives; non and leader participants ; individual and collectives and individual and leader respondents to the random household survey. Of emphasis with Sample A are the effect sizes indicated against the pair-wise comparisons of both the non and leader and the individual and leader participants. Additionally, with respondents of the citizen panel survey, Sample B, significant differences were indicated between the collectives and the leaders. These findings demonstrate that the null hypothesis is disproved namely that there is a relationship between the variables that is not purely due to chance. As such, a relationship exists amongst respondents’ ‘knowledge as to how they can participate’, and their practice or non practice of participation.

### 6.3.29 'Ability to get involved'

**Table 74: Frequency analysis: Participation level by 'I feel able to get involved' Sample A**

Participant level		<i>Sample A – I feel able to get involved</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N %	0 .0	14 26.4	<b>14</b> <b>26.4</b>	<b>6</b> <b>11.3</b>	17 32.1	16 30.2	<b>39</b> <b>73.6</b>	<b>33</b> <b>62.3</b>	<b>53</b> <b>100.0</b>
Individual participant	N %	0 .0	8 30.8	<b>8</b> <b>30.8</b>	<b>5</b> <b>19.2</b>	6 23.1	7 26.9	<b>18</b> <b>69.2</b>	<b>13</b> <b>50.</b>	<b>26</b> <b>100.0</b>
Collective participant	N %	4 4.2	41 43.2	<b>45</b> <b>47.4</b>	<b>21</b> <b>22.1</b>	25 26.3	4 4.2	<b>50</b> <b>52.6</b>	<b>29</b> <b>30.5</b>	<b>95</b> <b>100.0</b>
Leader participant	N %	5 8.2	36 59.0	<b>41</b> <b>67.2</b>	<b>10</b> <b>16.4</b>	9 14.8	1 1.6	<b>20</b> <b>32.8</b>	<b>10</b> <b>16.4</b>	<b>61</b> <b>100.0</b>
Total	N %	9 3.8	99 42.1	<b>108</b> <b>45.9</b>	<b>42</b> <b>17.9</b>	57 24.3	28 11.9	<b>127</b> <b>54.1</b>	<b>85</b> <b>36.2</b>	<b>235</b> <b>100.0</b>

**Table 75: Participation level by 'I feel able to get involved' Sample B**

Participant level		<i>Sample B – I feel able to get involved</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N %	14 3.8	151 41.0	<b>165</b> <b>44.8</b>	<b>104</b> <b>28.3</b>	73 19.8	26 7.1	<b>203</b> <b>55.2</b>	<b>99</b> <b>26.9</b>	<b>368</b> <b>100.0</b>
Leader participant	N %	8 7.5	67 62.6	<b>75</b> <b>70.1</b>	<b>18</b> <b>16.8</b>	14 13.1	0 .0	<b>32</b> <b>29.9</b>	<b>14</b> <b>13.1</b>	<b>107</b> <b>100.0</b>
Total	N %	22 4.6	218 45.9	<b>240</b> <b>50.5</b>	<b>122</b> <b>25.7</b>	87 18.3	26 5.5	<b>235</b> <b>49.5</b>	<b>113</b> <b>23.8</b>	<b>475</b> <b>100.0</b>

More than forty-five percent (45.9%) of Sample A respondents feel 'able to get involved' (Table 74). However, more than half (54.1%) are either undecided or do not. Substantial disagreement is indicated by more than sixty percent (62.3%) of the non participants and half of the individual participants (50%). Conversely, almost half (47.4%) of the collectives and more than sixty five percent (67.2%) of the leaders show their agreement.

With Sample B, although just over fifty percent (50.5%) of this sample agrees with this statement just under fifty percent (49.5%) are either undecided or disagree (Table 75).

**Table: 76: 'I feel able to get involved': Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	235			13073.500	<0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	53	55.99	2.00	-4.096	<0.001	.34
Sample A collective	95	84.83	3.00			
Sample A non	53	40.65	2.00	-5.355	<0.001	.50
Sample A leader	61	72.14	4.00			
Sample A individual	26	47.13	2.50	-2.390	0.008	.22
Sample A collective	95	64.79	3.00			
Sample A individual	26	29.48	2.50	-3.776	<0.001	.40
Sample A leader	61	50.19	4.00			
Sample A collective	95	71.65	3.00	-2.547	0.005	.20
Sample A leader	61	89.17	4.00			
Sample B collective	368	223.18	3.00	-4.651	<0.001	.21
Sample B leader	107	288.96	4.00			

Table 76 shows that statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons in all cases of Samples A and B except for the non and individual comparison. In consideration of effect sizes, emphasis is placed on the significances of the individual and leader but especially the non and leader pair-wise comparisons. These findings indicate that respondents' perceptions as to their ability to get involved is a variable that influences their practice or non practice of participation.

### 6.3 30 Time to participate

**Table 77: Frequency analysis: Participation level by ‘I have the time to get involved’ Sample A**

Participant level		<i>Sample A – I have the time to get involved</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	2	13	<b>15</b>	<b>9</b>	14	12	<b>35</b>	<b>26</b>	<b>50</b>
	%	4.0	26.0	<b>30.</b>	<b>18.0</b>	28.0	24.0	<b>70.</b>	<b>52.</b>	<b>100.0</b>
Individual participant	N	0	6	<b>6</b>	<b>4</b>	8	9	<b>21</b>	<b>17</b>	<b>27</b>
	%	.0	22.2	<b>22.2</b>	<b>14.8</b>	29.6	33.3	<b>77.7</b>	<b>62.9</b>	<b>100.0</b>
Collective participant	N	8	31	<b>39</b>	<b>20</b>	28	8	<b>56</b>	<b>36</b>	<b>95</b>
	%	8.4	32.6	<b>41.</b>	<b>21.1</b>	29.5	8.4	<b>59.0</b>	<b>37.9</b>	<b>100.0</b>
Leader participant	N	4	24	<b>28</b>	<b>10</b>	19	2	<b>31</b>	<b>21</b>	<b>59</b>
	%	6.8	40.7	<b>47.5</b>	<b>16.9</b>	32.2	3.4	<b>52.5</b>	<b>35.6</b>	<b>100.0</b>
Total	N	14	74	<b>88</b>	<b>43</b>	69	31	<b>143</b>	<b>100</b>	<b>231</b>
	%	6.1	32.0	<b>38.1</b>	<b>18.6</b>	29.9	13.4	<b>61.9</b>	<b>43.3</b>	<b>100.0</b>

**Table 78: Participation level by ‘I have the time to get involved’ Sample B**

Participant level		<i>Sample B – I have the time to get involved</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	18	129	<b>147</b>	<b>72</b>	108	37	<b>217</b>	<b>145</b>	<b>364</b>
	%	4.9	35.4	<b>40.3</b>	<b>19.8</b>	29.7	10.2	<b>59.7</b>	<b>39.9</b>	<b>100.0</b>
Leader participant	N	3	52	<b>55</b>	<b>28</b>	20	4	<b>52</b>	<b>24</b>	<b>107</b>
	%	2.8	48.6	<b>51.4</b>	<b>26.2</b>	18.7	3.7	<b>48.6</b>	<b>22.4</b>	<b>100.0</b>
Total	N	21	181	<b>202</b>	<b>100</b>	128	41	<b>269</b>	<b>169</b>	<b>471</b>
	%	4.5	38.4	<b>42.9</b>	<b>21.2</b>	27.2	8.7	<b>57.1</b>	<b>35.9</b>	<b>100.0</b>

Almost equal amounts of respondents in Sample A indicate ‘they have time to get participate’ (38.1%) as do not (43.3%) (Table 77). Patterns of agreement and disagreement are indicated according to participant levels, but only in the cases of leaders and collectives. In these cases, more than forty percent of each sub group agree that they have time (47.5% and 41.0% respectively) whereas more than sixty percent of the individuals (62.9%) and over half of the non participants (52%) do not have time to get involved.



A similar pattern by total respondents is indicated with Sample B and the relatively equal amounts agreement (42.9%) and disagreement (35.9%) indicated. (Table 78)

**Table: 79: ‘I have time to get involved’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	231			11151.500	<0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	50	47.10	2.00	-2.497	0.006	.24
Sample A leader	59	61.69	3.00			
Sample A individual	27	44.56	2.00	-2.917	0.002	.26
Sample A collective	95	66.32	3.00			
Sample A individual	27	31.15	2.00	-3.235	<0.001	.35
Sample A leader	59	49.15	3.00			
Sample B collective	364	227.23	3.00	-2.698	0.003	.12
Sample B leader	107	265.82	4.00			

Table 79 shows that statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: non and leader respondents; between individual and collective, and especially the individual and leader respondents, given the effect size, to the random household survey. Further statistical significance was indicated between the collectives and the leaders of the citizen panel survey (B). Thus respondents’ perceptions as to ‘having time to participate’ are considered to have a bearing on the level and extent of participation/nonparticipation.

### 6.3.31 'I have enough information to get involved'

**Table 80: Frequency analysis: Participation level by 'I have enough information to get involved' Sample A**

Participant level		Sample A – I have enough information to get involved								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	3	19	<b>22</b>	<b>9</b>	17	4	<b>30</b>	<b>21</b>	<b>52</b>
	%	5.8	36.5	<b>42.3</b>	<b>17.3</b>	32.7	7.7	<b>57.7</b>	<b>40.4</b>	<b>100.0</b>
Individual participant	N	1	7	<b>8</b>	<b>8</b>	9	1	<b>18</b>	<b>10</b>	<b>26</b>
	%	3.9	26.9	<b>30.8</b>	<b>30.8</b>	34.6	3.8	<b>69.2</b>	<b>38.4</b>	<b>100.0</b>
Collective participant	N	6	39	<b>45</b>	<b>27</b>	19	4	<b>50</b>	<b>23</b>	<b>95</b>
	%	6.3	41.1	<b>47.4</b>	<b>28.4</b>	20.0	4.2	<b>52.6</b>	<b>24.2</b>	<b>100.0</b>
Leader participant	N	7	26	<b>33</b>	<b>19</b>	6	0	<b>25</b>	<b>6</b>	<b>58</b>
	%	12.1	44.8	<b>56.9</b>	<b>32.8</b>	10.3	.0	<b>43.1</b>	<b>10.3</b>	<b>100.0</b>
Total	N	17	91	<b>108</b>	<b>63</b>	51	9	<b>123</b>	<b>60</b>	<b>231</b>
	%	7.4	39.4	<b>46.8</b>	<b>27.3</b>	22.1	3.9	<b>53.3</b>	<b>26.0</b>	<b>100.0</b>

**Table 81: Participation level by 'I have enough information to get involved' Sample B**

Participant level		Sample B – I have enough information to get involved								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	8	137	<b>145</b>	<b>115</b>	89	11	<b>215</b>	<b>100</b>	<b>360</b>
	%	2.2	38.1	<b>40.3</b>	<b>31.9</b>	24.7	3.1	<b>59.7</b>	<b>27.8</b>	<b>100.0</b>
Leader participant	N	5	69	<b>74</b>	<b>25</b>	10	0	<b>35</b>	<b>10</b>	<b>109</b>
	%	4.6	63.3	<b>67.9</b>	<b>22.9</b>	9.2	.0	<b>32.1</b>	<b>9.2</b>	<b>100.0</b>
Total	N	13	206	<b>219</b>	<b>140</b>	99	11	<b>250</b>	<b>110</b>	<b>469</b>
	%	2.8	43.9	<b>46.7</b>	<b>29.9</b>	21.1	2.3	<b>53.3</b>	<b>23.4</b>	<b>100.0</b>

More than half of the random household respondents (46.8%) feel that they have enough information to get involved. Whereas, more than half are either undecided or feel they do not (53.3%). Approximately two-fifths of individuals (38.4%) and two-fifths of the non participants (40.4%) disagree with this statement. As with previous variables, leaders show the most agreement (56.9%) however, the individuals show less agreement than the non-participants (30.8% and 42.3% respectively). Patterns of disagreement are according to participant level. (Table 80)

A similar pattern is reflected with Sample B and more than forty-five percent of this sample agreeing with this statement (46.7%) and almost a quarter (23.4%) disagrees. Patterns of agreement and disagreement are reflective of participant levels with almost seventy percent of the leaders showing the most agreement (67.9%) and fewer than ten percent of these respondents indicating their disagreement (9.2%).(Table 81)

**Table: 82: ‘I have enough information to get involved’: Jonckheere Terpstra Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	231			11101.000	<0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	52	47.19	3.00	-2.719	0.003	.26
Sample A leader	58	62.95	4.00			
Sample A individual	26	31.63	3.00	-2.882	0.002	.31
Sample A leader	58	47.37	4.00			
Sample B collective	360	217.74	3.00	-5.346	<0.001	.25
Sample B leader	109	292.01	4.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: the non and leaders; especially between the individual and leaders, given the effect size, of the random household sample, (A); and between the collectives and the leaders of Sample B. These results indicate that perceptions of having enough information to get involved influence the level and extent of a person’s participation. (Table 82)

### ***6.3.32 Perceptions of the local community and of the local area***

Although of debate, (Field 2008) a theory particularly expounded by politicians is that political participation can be enhanced by features of social capital such as encouraging informal social contacts, trust amongst citizens and their social integration through associations and networks (Halpern 2005). This view is evidently taken in research in the UK context which includes these measures as features representative of an active community (DCLG 2006a; DCLG 2006g). This includes, as indicated below in Tables 83 to 93 inclusive, associations with groups, people’s views on their local community, and suggestive of recognition for reciprocal relationships and ‘...mutual collaborations...’, (Field 2008 p35) the extent to which people are willing to help each other.

**6.3.33 'Local people are willing to help their neighbours'**

**Table 83: Frequency analysis: Participation level by 'People in this area are willing to help their neighbours' Sample A**

Participant level		Sample A – People in this area are willing to help their neighbours								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
Non participant	N	6	34	<b>40</b>	<b>6</b>	5	2	<b>13</b>	<b>7</b>	<b>53</b>
	%	11.3	64.2	<b>75.5</b>	<b>11.3</b>	9.4	3.8	<b>24.5</b>	<b>13.2</b>	<b>100.0</b>
Individual participant	N	7	20	<b>27</b>	<b>0</b>	0	0	<b>0</b>	<b>0</b>	<b>27</b>
	%	25.9	74.1	<b>100.</b>	<b>.0</b>	.0	.0	<b>.0</b>	<b>.0</b>	<b>100.0</b>
Collective participant	N	33	46	<b>79</b>	<b>11</b>	3	2	<b>16</b>	<b>5</b>	<b>95</b>
	%	34.7	48.4	<b>83.1</b>	<b>11.6</b>	3.2	2.1	<b>16.9</b>	<b>5.3</b>	<b>100.0</b>
Leader participant	N	15	44	<b>59</b>	<b>3</b>	0	0	<b>3</b>	<b>0</b>	<b>62</b>
	%	24.2	71.0	<b>95.2</b>	<b>4.8</b>	.0	.0	<b>4.8</b>	<b>.0</b>	<b>100.0</b>
Total	N	61	144	<b>205</b>	<b>20</b>	8	4	<b>32</b>	<b>12</b>	<b>237</b>
	%	25.7	60.8	<b>86.5</b>	<b>8.4</b>	3.4	1.7	<b>13.5</b>	<b>5.1</b>	<b>100.0</b>

Table 83 shows that more than eighty-five percent (86.5%) of Sample A feel that 'local people are willing to help their neighbours'. Just over five percent (5.1%) disagree. All participant levels show substantially more agreement than disagreement with this statement. However, individuals show one hundred per cent agreement. Subsequent results by participant levels follows previous trends of agreement and/or disagreement according to participation level with leaders agreeing the most and non participant the least.

In Sample B, as with Sample A, there is substantially more agreement than disagreement with this statement led by more than eighty percent of the leaders (81.8%). (Table 84).

**Table 84: Participation level by ‘People in this area are willing to help their neighbours’ Sample B**

Participant level		<i>Sample B – People in this area are willing to help their neighbours</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/undecided	Total disagree	Total
<b>Collective participant</b>	N	52	227	<b>279</b>	<b>53</b>	40	5	<b>98</b>	<b>45</b>	<b>377</b>
	%	13.8	60.2	<b>74.</b>	<b>14.1</b>	10.6	1.3	<b>26.</b>	<b>11.9</b>	<b>100.0</b>
<b>Leader participant</b>	N	14	76	<b>90</b>	<b>10</b>	9	1	<b>20</b>	<b>10</b>	<b>110</b>
	%	12.7	69.1	<b>81.8</b>	<b>9.1</b>	8.2	.9	<b>18.2</b>	<b>9.1</b>	<b>100.0</b>
<b>Total</b>	N	66	303	<b>369</b>	<b>63</b>	49	6	<b>118</b>	<b>55</b>	<b>487</b>
	%	13.6	62.2	<b>75.8</b>	<b>12.9</b>	10.1	1.2	<b>24.2</b>	<b>11.3</b>	<b>100.0</b>

**Table: 85: ‘People in this area are willing to help their neighbours’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	N			Observed JT	P=<0.05	
Sample A	237			11158.500	0.008	
<b>Mann- Whitney</b>		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	53	36.08	4.00	-2.877	0.002	.32
Sample A individual	27	49.19	4.00			
Sample A non	53	62.46	4.00	-2.814	0.002	.23
Sample A collective	95	81.22	4.00			
Sample A non	53	49.38	4.00	-3.106	0.001	.29
Sample A leader	62	65.37	4.00			

Table 85 shows that statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons particularly between the non and individuals, given the effect size, but also with the non and collectives and with the non and leader participants. As such, perceptions as to ‘local people being willing to help their neighbours’ is indicated as a variable that affects levels of participation/non participation.

### 6.3.34 'People in the local area pull together to improve the area'

**Table 86: Frequency analysis: Participation level by 'People in this area pull together to improve the area' Sample A**

Participant level		Sample A People in this area pull together to improve the area								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	4	19	23	17	11	2	30	13	53
	%	7.5	35.8	43.3	32.1	20.8	3.8	56.7	24.6	100.0
Individual participant	N	3	11	14	8	3	1	12	4	26
	%	11.5	42.3	53.8	30.8	11.5	3.8	46.1	15.3	100.0
Collective participant	N	12	49	61	28	5	2	35	7	96
	%	12.5	51.0	63.5	29.2	5.2	2.1	36.5	7.3	100.0
Leader participant	N	6	30	36	21	5	0	26	5	62
	%	9.7	48.4	58.1	33.9	8.1	.0	42.0	8.1	100.0
Total	N	25	109	134	74	24	5	103	29	237
	%	10.5	46.0	56.5	31.2	10.1	2.1	43.4	12.2	100.0

**Table 87: Participation level by 'People in this area pull together to improve the area' Sample B**

Participant level		Sample B – People in this area pull together to improve the area								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	22	123	145	151	69	9	229	78	374
	%	5.9	32.9	38.8	40.4	18.4	2.4	61.2	20.8	100.0
Leader participant	N	7	52	59	30	17	4	51	21	110
	%	6.4	47.3	53.7	27.3	15.5	3.6	46.4	19.1	100.0
Total	N	29	175	204	181	86	13	280	99	484
	%	6.0	36.2	42.2	37.4	17.8	2.7	57.9	20.5	100.0

Whilst almost sixty percent of the respondents of Sample A agree that 'people in their area pull together to improve the area' (56.5%) more than forty percent (43.4%) are undecided and disagree (Table 86). Patterns of agreement and disagreement are according to participant level except in the case of the collectives who show the most agreement (63.5%) and the least disagreement (7.3%).

As with Sample A, Sample B respondents also show more agreement (42.2%) than disagreement with this statement (20.5%). This pattern is constant with both sub-groups with leaders agreeing the most and disagreeing the least. (Table 87).

**Table: 88: ‘People in this area pull together to improve the area’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	237			10982.000	0.023	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	53	62.83	3.00	-2.734	0.003	.22
Sample A collective	96	81.72	4.00			

Table 88 shows statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between non participant and collective respondents to the random household survey. These findings strongly suggest that respondents’ perceptions as to whether ‘local people pull together to improve the area’ is a variable that influences respondents levels of participation/nonparticipation.

### 6.3.35 'I am concerned about my local area'

**Table 89: Frequency analysis: Participation level by 'I am concerned about things in the area' Sample A**

Participant level		<i>Sample A – I am concerned about things in the area</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	12	35	<b>47</b>	<b>6</b>	1	1	<b>8</b>	<b>2</b>	<b>55</b>
	%	21.8	63.6	<b>85.4</b>	<b>10.9</b>	1.8	1.8	<b>14.5</b>	<b>3.6</b>	<b>100.0</b>
Individual participant	N	6	18	<b>24</b>	<b>2</b>	0	0	<b>2</b>	<b>0</b>	<b>26</b>
	%	23.1	69.2	<b>92.3</b>	<b>7.7</b>	.0	.0	<b>7.7</b>	<b>.0</b>	<b>100.0</b>
Collective participant	N	47	42	<b>89</b>	<b>5</b>	1	0	<b>6</b>	<b>1</b>	<b>95</b>
	%	49.5	44.2	<b>93.7</b>	<b>5.3</b>	1.1	.0	<b>6.4</b>	<b>1.1</b>	<b>100.0</b>
Leader participant	N	27	33	<b>60</b>	<b>2</b>	0	0	<b>2</b>	<b>0</b>	<b>62</b>
	%	43.5	53.2	<b>96.7</b>	<b>3.2</b>	.0	.0	<b>3.2</b>	<b>.0</b>	<b>100.0</b>
Total	N	92	128	<b>220</b>	<b>15</b>	2	1	<b>18</b>	<b>3</b>	<b>238</b>
	%	38.7	53.8	<b>92.5</b>	<b>6.3</b>	.8	.4	<b>7.5</b>	<b>1.2</b>	<b>100.0</b>

**Table 90: Participation level by 'I am concerned about things in the area' Sample B**

Participant level		<i>Sample B I am concerned about things in the area</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	118	234	<b>352</b>	<b>12</b>	6	0	<b>18</b>	<b>6</b>	<b>370</b>
	%	31.9	63.2	<b>95.1</b>	<b>3.2</b>	1.6	.0	<b>4.8</b>	<b>1.6</b>	<b>100.0</b>
Leader participant	N	44	65	<b>109</b>	<b>0</b>	1	0	<b>1</b>	<b>1</b>	<b>110</b>
	%	40.0	59.1	<b>99.1</b>	<b>.0</b>	.9	.0	<b>.9</b>	<b>.9</b>	<b>100.0</b>
Total	N	162	299	<b>461</b>	<b>12</b>	7	0	<b>19</b>	<b>7</b>	<b>480</b>
	%	33.8	62.3	<b>96.1</b>	<b>2.5</b>	1.5	.0	<b>4.</b>	<b>1.5</b>	<b>100.0</b>

With both Samples A and B, (Tables 89 & 90) the greater majority of each sample (92.5% and 96.1% respectively) is concerned about their area and agreement is indicated according to participant level. Although relatively small percentages are indicated with indecision/disagreement, the highest figure is indicated by the non participants in Sample A by fewer than fifteen per cent (14.5%).



**Table: 91: ‘I am concerned about things in the area’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	238			11700.500	<0.001	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	55	61.17	4.00	-3.428	<0.001	.28
Sample A collective	95	83.79	4.00			
Sample A non	55	50.46	4.00	-2.929	0.001	.27
Sample A leader	62	66.57	4.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between the non and collectives participants, and between the non and leader participants of sample A (Table 91). Respondents’ concern for their locality is as such, considered to be substantiated as a variable that affects levels and the extent of participation and non participation.

***6.3.36 The degree of social integration of respondents measured through their association with clubs and societies***

As previously noted, people’s membership through clubs and societies is argued to associate with encouraging greater participation of the public in local affairs (Braun & Giraud 2001; Buchecker et al. 2003; Lyons 2006; Parry et al. 1992; Putnam 1993). In this research, club and society membership is indeed evident with respondents of the collectives and the leader levels of both Samples A and B (Tables 92 & 93 below). What is also notable is that comparing the collectives and leaders of Sample A with their counterparts of Sample B, membership of clubs is more popular than of societies and especially so with Sample A respondents. A further noteworthy distinction amongst the three participant levels of Sample A, is the absence of club and society membership on the part of the individual respondents of Sample A.

## Associations with clubs and societies

**Table 92 Comparative view of multi-responses - *Sample A* collectives with *Sample B* collectives**

Participatory method	Total N of multi-responses by participatory method	% of number of multi-responses by participant level <i>N</i> <sup>17</sup>	% of N of multi-responses by participatory method - <b>334</b> *		Participatory method	Total N of multi-responses by participatory method	% of number of multi-responses by participant level <i>N</i> <sup>18</sup>	of N of multi-responses by participatory method - <b>1,129</b>
Signing petitions	58	60.42	17.37		Citizen panel membership	384	99.74	34.02
Completing questionnaires	54	56.25	16.17		Signing petitions	180	46.75	15.95
Attending public meetings	43	44.80	12.88		Completing questionnaires	97	25.19	8.06
Contact with Councillor	40	41.67	11.98		Attending public meetings	91	23.64	8.07
Contact with council official	33	34.38	9.89		Contact with Councillor	88	22.86	7.8
Member of a community group	26	27.09	7.79		Contact with council official	56	14.55	4.97
Member of a club	23	23.96	6.89		Contact with local MP	57	14.81	5.05
Member of a society	21	21.88	6.29		Member of a community group	54	14.03	4.79
Contact with local MP	18	18.75	5.39		Member of a club	42	10.91	3.73
Attending public demonstrations	6	6.25	1.80		Member of a society	30	7.8	2.66
Member of a focus group	4	4.17	1.20		Member of a focus group	21	5.45	1.87
Member of citizen panel	3	3.13	.90		Demonstrations	13	3.38	1.16
Member of a stakeholder group	3	3.13	.90		Forum member	12	3.12	1.07
Forum member	1	1.05	.30		Member of a stakeholder group	3	0.78	.27
Picketing	1	1.05	.30		Picketing	1	0.26	.09
Total	<b>334</b>		100.05 <sup>19</sup>		Total	<b>1,129</b>		99.56 <sup>20</sup>

**Table 93 Comparative view of multi-responses - *Sample A* leaders with *Sample B* leaders**

Participatory method	Total N of multi-responses by participatory method	% of number of multi-responses by participant level $N^{21}$	% of N of multi-responses by participatory method - <b>288</b>		Participatory method	Total N of multi-responses by participatory method	% of number of multi-responses by participant level $N^{22}$	% of N of multi-responses by participatory method - <b>548</b>
Member of a community group	43	69.36	14.93		Citizen panel membership	112	100.00	20.44
Member of a club	38	61.30	13.20		Signing petitions	60	53.58	10.95
Completing questionnaires	37	59.68	12.85		Club membership	59	52.68	10.77
Attending public meetings	32	51.62	11.11		Member of a community group	57	50.90	10.41
Signing petitions	27	43.55	9.37		Public meetings	45	40.18	8.22
Member of a society	23	37.10	7.99		Contact with councillor	44	39.29	8.03
Contact with local councillor	21	33.88	7.29		Member of a society	36	32.15	6.57
Contact with local MP	18	29.04	6.25		Contact with local MP	34	30.36	6.21
Contact with local council official	21	33.88	7.29		Contact with local council official	32	28.58	5.84
Member of a stakeholder group	9	14.52	3.12		Completing questionnaires	32	28.58	5.84
Attending public demonstrations	8	12.91	2.78		Focus group	13	11.61	2.38
Member of a focus group	7	11.30	2.43		Forum member	9	8.04	1.65
Forum member	5	8.07	1.74		Taking part in public demonstrations	9	8.04	1.65
Citizen panel membership	4	6.46	1.39		Member of a stakeholder group	6	5.36	1.1
Picketing	1	1.62	.35					
Total	<b>288</b>		102.09 <sup>23</sup>		Total	<b>548</b>		100.06 <sup>24</sup>

### ***6.3.37 Interest in and motivations to participate***

A general level of interest can be expected to be in place for the practice of participation to occur. This variable is initially examined. Additionally, specific motives to participate have been argued to affect participation and are associated with reasons for the local community, the local environment, local politics, for local businesses and for 'personal reasons' (Parry et al 1992; Moran 2005).

An emphasis on these factors as motives to participate are further associated with objectives for social inclusion and community participation by institutions (DCLG 2006a; DCLG 2006b; DCLG 2007g; Lyons 2006) and particularly in the context of the management of public open spaces (Natural England 2007). The focus on environmental interests specifically is additionally associated with theoretical arguments advocating increases in individualisation that are related to a growth in environmental concerns and the public's association with environmental lobbying (Barnett et al. ca. 2006). Yet in this research the only statistically significant variables indicated were on motives for the local community, for local politics and with a general interest to participate.

### 6.3.38 General interest to participate

**Table 94: Frequency analysis: Participation level by ‘I want to be involved’ Sample A**

Participant level		<i>Sample A – I want to be involved</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Non participant	N	1	6	7	14	17	16	47	33	54
	%	1.9	11.1	13.	25.9	31.5	29.6	87.	61.1	100.0
Individual participant	N	1	4	5	7	10	4	21	14	26
	%	3.8	15.4	19.2	26.9	38.5	15.4	80.8	53.9	100.0
Collective participant	N	9	40	49	20	21	5	46	26	95
	%	9.5	42.1	51.6	21.1	22.1	5.3	48.5	27.4	100.0
Leader participant	N	5	34	39	6	13	2	21	15	60
	%	8.3	56.7	65.0	10.0	21.7	3.3	35.0	25.0	100.0
Total	N	16	84	100	47	61	27	135	88	235
	%	6.8	35.7	42.5	20.0	26.0	11.5	57.5	37.5	100.0

**Table 95: Participation level by ‘I want to be involved’ - Sample B**

Participant level		<i>Sample B I want to be involved</i>								
		Strongly agree	Agree	Total agree	Undecided	Disagree	Strongly disagree	Total Disagree/ undecided	Total disagree	Total
Collective participant	N	31	149	180	105	56	25	186	81	366
	%	8.5	40.7	49.2	28.7	15.3	6.8	50.8	22.1	100.0
Leader participant	N	14	63	77	24	7	1	32	8	109
	%	12.8	57.8	70.6	22.0	6.4	.9	29.3	7.3	100.0
Total	N	45	212	257	129	63	26	218	89	475
	%	9.5	44.6	54.1	27.2	13.3	5.5	46.	18.8	100.0

More than forty percent of the random household respondents want to participate (42.5%) whereas almost sixty percent are either undecided or do not want to get involved (57.5%) (Table 94). Levels of agreement and disagreement are indicated according to participation level. However, what is additionally notable is the relatively similar split of opposing views comparing leaders’ and collectives’ levels of interest (65.0% and 51.6% respectively) with the levels of disinterest shown by more than sixty percent of the non participants (61.1 %) and more than half of the individuals (53.9%).

A relatively higher level of agreement is shown in Sample B in comparison with Sample A and more than half of the respondents (54.1%); as also is a lower level of disagreement and indecision indicated in sample B (46%). Patterns of agreement and disagreement are indicated according to participant level with the leaders agreeing the most and disagreeing the least. (Table 95).

**Table: 96: 'I want to be involved': Jonckheere Terpstra, Mann-Whitney U & Effect Size**

Jonckheere Terpstra	N			Observed JT	P= $<0.05$	
Sample A	235			13141.500	$<0.001$	
Mann- Whitney		Mean Rank	Median Value	Z Derived	P= $<0.01$	Effect Size
Sample A non	54	51.46	2.00	-5.180	$<0.001$	.43
Sample A collective	95	88.38	4.00			
Sample A non	54	40.43	2.00	-5.428	$<0.001$	.51
Sample A leader	60	72.87	4.00			
Sample A individual	26	43.17	2.00	-3.044	0.001	.28
Sample A collective	95	65.88	4.00			
Sample A individual	26	29.83	2.00	-3.542	$<0.001$	.38
Sample A leader	60	49.52	4.00			
Sample B collective	366	224.45	3.00	-4.184	$<0.001$	.19
Sample B leader	109	283.50	4.00			

Table 96 shows that statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between: non participant and collectives; non participant and leaders; individuals and collectives; and individual and leaders to the random household survey. Further, the effect sizes emphasise the importance of pair-wise comparisons especially amongst the non and leader participants but also with the non and collective and subsequently with the individual and leader participants. Significant differences were also highlighted with the citizen panel sample B and the collectives and the leaders. These findings demonstrate that the null hypothesis is disproved namely that there is a relationship between the variables that is not purely due to chance. As such, a relationship exists amongst respondents' general interest to participate and levels of participation and non participation.

*Specific motives to participate*

**6.3.39 Motives for the local community**

**Table 97: Frequency analysis: Participation level by ‘Motives for my local community’ Sample A**

Participant level		Motives for local community – <i>Sample A</i>			
		A lot	Depends on issue	Not at all	Total
<b>Non participant</b>	N	12	37	4	53
	%	22.6	69.8	7.5	100.0
<b>Individual participant</b>	N	7	19	1	27
	%	25.9	70.4	3.7	100.0
<b>Collective participant</b>	N	40	54	2	96
	%	41.7	56.2	2.1	100.0
<b>Leader participant</b>	N	22	38	1	61
	%	36.1	62.3	1.6	100.0
<b>Total</b>	N	81	148	8	237
	%	34.2	62.4	3.4	100.0

More than a third of Sample A respondents are motivated to participate for their local community (34.2%). However over sixty percent indicated that their involvement would depend on the issue (62.4%). The highest motivation is led by the collectives (41.7%) followed by the leaders (36.1%) and the individuals (25.9%). Levels of complete demotivation are according to participant level with the non participants showing the highest level of demotivation (7.5%). The highest levels of conditional motivation are expressed by ‘depends on the issue’ with the individuals (70.4%) followed by the non participants (69.8%). (Table 97)

**Table 98: Participation level by ‘Motives for my local community’ Sample B**

Participant level		Motives for local community - <i>Sample B</i>			
		A lot	Depends on issue	Not at all	Total
Collective participant	N	121	241	9	371
	%	32.6	65.0	2.4	100.0
Leader participant	N	44	66	1	111
	%	39.6	59.5	.9	100.0
Total	N	165	307	10	482
	%	34.2	63.7	2.1	100.0

With Sample B, levels of motivation and demotivation are indicated according to participant level with the leaders showing the highest motivation and the least demotivation. As with Sample A, a third of this sample indicates interest (34.2%) and almost two-thirds suggest their motivation to participate ‘depends on the issue’ (63.7%). (Table 98).

**Table: 99: ‘Motives for my local community’: Jonckheere Terpstra, Mann-Whitney U & Effect Size**

Jonckheere Terpstra	N			Observed JT	P=<0.05	
Sample A	237			10948.000	0.018	
Mann-Whitney		Mean Rank	Median Value	Z Derived	P=<0.01	Effect Size
Sample A non	53	64.53	2.00	-2.576	0.005	.21
Sample A collective	96	80.78	2.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between non and collectives of sample A (Table 99). This finding strongly suggests that a motive to participate for community reasons is a variable that affects participant levels and their extent of participation/non participation.



### 6.3.40 Motives for local politics

**Table 100: Frequency analysis: Participation level by ‘Motives for local politics’ Sample A**

Participant level		Motives for local politics – <i>Sample A</i>			
		A lot	Depends on issue	Not at all	Total
Non participant	N	1	21	30	52
	%	1.9	40.4	57.7	100.0
Individual participant	N	0	13	14	27
	%	.0	48.1	51.9	100.0
Collective participant	N	8	58	29	95
	%	8.4	61.1	30.5	100.0
Leader participant	N	1	37	22	60
	%	1.7	61.7	36.7	100.0
Total	N	10	129	95	234
	%	4.3	55.1	40.6	100.0

Politics indicates the least motivation of all of the reasons offered to the respondents in both Sample A and Sample B. Table 100 shows that with Sample A, only 4 percent of this sample would be interested in participating and more than forty percent (40.6%) indicate their complete demotivation. What is further notable is that the most interest is shown by the collectives (8.4%), followed by both the non participants and the leaders (1.9% and 1.7% respectively). The individuals are not represented at all as being motivated for local political reasons. Interestingly, also, due to the role and responsibilities invariably associated with community group leaders, more than a third of these respondents (36.7%) are completely disinterested for local political reasons ranking this group above the collectives in terms of disinterest.

**Table 101: Participation level by ‘Motives for local politics’ Sample B**

Participant level		Motives for local politics - <i>Sample B</i>			
		A lot	Depends on issue	Not at all	Total
Collective participant	N	24	233	111	368
	%	6.5	63.3	30.2	100.0
Leader participant	N	7	78	25	110
	%	6.4	70.9	22.7	100.0
Total	N	31	311	136	478
	%	6.5	65.1	28.5	100.0

In Sample B, as with Sample A, the least motivation to participate for any of the motives offered and the highest demotivation, is shown against local politics (28.5%). Similar levels of interest are indicated by the collectives and the leaders (6.5 and 6.4%). In terms of disinterest, this is shown more by the collectives than the leaders (30.2% and 22.7% respectively). (Table 101).

**Table: 102: ‘Motives for local politics’ : Jonckheere Terpstra, Mann-Whitney U & Effect Size**

<b>Jonckheere Terpstra</b>	<b>N</b>			<b>Observed JT</b>	<b>P=&lt;0.05</b>	
Sample A	234			10916.000	0.006	
<b>Mann- Whitney</b>		<b>Mean Rank</b>	<b>Median Value</b>	<b>Z Derived</b>	<b>P=&lt;0.01</b>	<b>Effect Size</b>
Sample A non	52	60.04	1.00	-3.330	<0.001	.27
Sample A collective	95	81.64	2.00			
Sample A individual	27	49.44	1.00	-2.304	0.01	.21
Sample A collective	95	64.93	2.00			

Statistical significance was indicated in the Jonckheere Terpstra test and subsequent Mann – Whitney U pair-wise comparisons between non participant and collectives and individuals and collectives to the random household survey. As such local political motives are indicated as a variable affecting participation/non participation. (Table 102).

### 6.3.41 *Patterns of responses*

A key overall finding resulting from both descriptive and inferential tests conducted was that a pattern of responses was quite clearly indicated (Table 103 below). A review of the statistical significances resulting from a series of Mann-Whitney U pair-wise comparisons indicated that the patterning effect reported was most evident with the responses of Sample A, amongst the non and the leaders participants and especially with these respondents' views on government and governance.

However, although findings from the Mann-Whitney U comparisons are of interest, they may be considered optimistic; therefore, a more cautious interpretation of the findings is provided through the calculation of effect sizes<sup>25</sup>.

As indicated in Table 103 and in Appendix 10, Table 10.1, overall these reflected comparable patterns to those resulting from the Mann-Whitney U pair-wise comparisons. Based on large effect sizes, distinctions were highlighted especially between the non and the leader participants according to variables associated with responsibility to participate, level of influence, cynicism, ability to participate and a general interest to get involved. Subsequently, a further distinction could be made with individuals and leaders on 'level of influence'.

With medium effect sizes these again are predominantly focused on non and collective and non and leader comparisons and to a lesser degree, amongst individual and leader comparisons of Sample A. The key variables emphasised are as detailed above and additionally concern 'a right to participate', variables associated with views on equitable and transparent decision-making, 'representation of views', 'trust of institutions', and 'knowledge as to how to participate'. Only two variables are distinguished against the non and individual pair-wise comparisons: the first is associated with governance and respondents' perceptions of institutions' and the second emphasises a social capital variable and respondents' 'perceptions of their local community'.

Overall, the effect sizes and the patterning effect indicated in their presentation, further supports the distinctions observed in Mann-Whitney U pair-wise comparisons. From the results of these observations and findings, it is proposed that the wider the distance between forms of activity i.e. non participation to leader participation, the more significance appeared to be indicated and the greater the effect size.

The frequency analyses, in many cases, additionally indicated that degrees of positive and/or negative opinions were indicated according to the level of participation reported. This meant that the leaders,

for example, were inclined to report more positive views on a statement, *or* conversely were characterised by expressing less negative views than, at the opposite end of the continuum of participation, the non participants. These patterns were for examples, evident with variables of: *levels of influence, respondents' perceptions as to their individual capability to participate*, and in terms of their *general motivation to get involved* in nearly all pair-wise comparisons<sup>26</sup> and in *both* samples A and B.

The pattern of responses indicated does accord with previous research undertaken by for examples, Almond and Verbie (1962), Parry et al. (1992), and of more recent review, Bucheker et al. (2003) the DCLG (2006) and Vetter (2007). All of whom have demonstrated, to varying degrees and emphasis on social capital or governance principles, that levels of participation do appear to align themselves with negative/positive perceptions of governance/government, with respondents views towards their local community/area; and further can to some extent be associated with educational attainment and by the person's length of residence in a community.

On the whole, these findings may well indicate that 'non' and 'individual' participants' show a tendency towards the negative of Likert scale responses, of varying degrees; and 'collective' and 'leader' levels tend towards a more positive perception. Certainly, with the pair wise comparisons and effect size calculations, distinctions are indicated between at the least the strong levels of participation and individual and non participation levels.

**Table 103: Patterns of perceptions: - Samples A & B**

Variable by theme	Sample A Patterns – Mann-Whitney U pair-wise comparisons  Where large effect sizes are additionally noted these are indicated by: <span style="border: 1px solid black; border-radius: 5px; padding: 2px 5px;">X</span>  and medium effect sizes are marked in bold						Sample B – Mann-Whitney U pair-wise comparisons	Increasing % agreement survey A Non-Leaders	Decreasing % disagreement Survey A Non-Leaders
	Non-Ind	Non-col	Non-leader	Ind/col	Ind/leader	Col/leader	Col/leader		
<b>Right:</b> It's my right		<b>X</b>	X					Yes	
<b>Responsibility:</b> It's my responsibility		<b>X</b>	<span style="border: 1px solid black; border-radius: 5px; padding: 2px 5px;">X</span>	X	<b>X</b>			Yes	Yes
<b>Equity:</b> I believe that decisions are made fairly			<b>X</b>			X		Yes	Yes
<b>Transparency:</b> I believe that decisions are made in an open way			<b>X</b>						
<b>Efficiency:</b> I believe that practical solutions are found to local problems		X	X		X				Yes
<b>Representation of views:</b> I believe that my views are well represented		X	<b>X</b>					Yes	
Decisions made on my behalf are acceptable to me		X	<b>X</b>					Yes	Yes
I believe that community leaders understand local issues		X	<b>X</b>					Yes	
<b>Level of influence:</b> I believe I can make a difference		<b>X</b>	<span style="border: 1px solid black; border-radius: 5px; padding: 2px 5px;">X</span>	<b>X</b>	<span style="border: 1px solid black; border-radius: 5px; padding: 2px 5px;">X</span>	X	X		Yes
I can influence decisions		<b>X</b>	<span style="border: 1px solid black; border-radius: 5px; padding: 2px 5px;">X</span>		<b>X</b>	X	X	Yes	Yes
The council and agencies want to know what we think	<b>X</b>	X	<b>X</b>						
The council and agencies want people to participate	X	<b>X</b>	<b>X</b>					Yes	Yes
<b>Trust:</b> I trust my local councillor		X	X						Yes
I trust my local MP	X	<b>X</b>	X						

I trust my local council		X	<b>X</b>					Yes	
I trust local Forest organisations	X		X						
<b>Capability:</b> I know how to get involved		X	<b>X</b>	X	<b>X</b>		X		Yes
I feel able to get involved		<b>X</b>	<div>X</div>	X	<b>X</b>	X	X	Yes	Yes
I have the time to get involved			X	X	<b>X</b>		X		
<b>Access to information:</b> I have enough information to get involved			X		<b>X</b>		X		Yes
<b>Social Capital</b>									
People in this area are willing to help their neighbours	<b>X</b>	X	X						
People in this area pull together to improve the area		X							
<b>Concern for the locality:</b> I am concerned about things in the area		X	X					Yes	
<b>General interest to participate:</b> I want to be involved		<b>X</b>	<div>X</div>	X	<b>X</b>		X	Yes	Yes
<b>Specific motives to participate:</b> Motives for local community		X							Yes
Motives for local politics		X		X					
Education			X						
Lived in New Forest for x years				X					

### 6.3.42 Summary of Surveys' Findings

#### *Characteristics of the total sample*

By participation level the results show that of **Sample A**<sup>27</sup>:

Leaders rank third, subsequent to individuals in the highest level of self-confidence indicated; they are the second highest qualified of the four participant levels and rank second to the individuals in terms of their professional and managerial backgrounds. Although they include a younger age group of 26-45, an older representation is especially overt in the 60-65 age groups.

Collectives show the highest self-confidence level of the four participant levels of Sample A, the lowest amount of those highly qualified, and comprise the second lowest sum of people from professional or managerial backgrounds. This group attracts the highest number of respondents from the 60+ age groups.

Individuals show the second highest level of confidence of Sample A participant levels; comprise the most highly qualified and are of the highest number of indications in the professional and managerial categories of work. They tend to reflect a younger profile than the other three participant levels in Sample A of 36-55 years.

Non participants record the lowest level of confidence; they rank as the third highest of those highly qualified and albeit, marginal, comprise the lowest of the four participant levels in terms of those from a professional or managerial background. Their age range tends to show greater representation in the 60+ age bracket, second to the collectives.

With Sample B<sup>28</sup>:

Collectives show a lower level of confidence to the leaders, report fewer respondents in the 60+ age bracket, and are not as highly qualified as the leaders. However, whilst they are from similarly high level employment backgrounds to the leaders of Sample B, they indicate wider representation across the range of employment categories.

With all participant levels in Sample A, participation appears to decrease in the pre retirement age of 56-60 similar to previous research (Parry et al 1992), returns in the 60-65 age range, save with individuals where participation rates remain static, and decreases again in the 66-75 range in all cases. With the collectives and leaders of Sample B participation rates also decrease in 56-60 years and

increases as with sample A, at 60-65 years. Unlike sample A, the participation rates of sample B's collectives remain static at 66-75 years and with the leaders, participation increases. From 76+ the pattern of sample B respondents' participation rates decrease as seen with their counterparts in sample A. Conversely with the individual participants participation rates are increased and with the non participants, their rate of participation remains constant.

*Levels of education* proved to be of some statistical significance and are considered to have some effect on participation. Indeed, in comparing non-participants with leaders, differences were statistically highlighted (Table 14). Previous research in this area, suggests that participation increases with higher levels of education (Moran 2005). Rather, non participants and especially individual participants show high levels of qualifications achieved comparable to those recorded at the collective and leader levels of especially Sample A but also with the leaders of Sample B.

That which has been particularly noticeable is regarding the *length of residence*. Statistical significance was demonstrated amongst comparisons of individuals with collectives and with leaders (Table 15). In addition, as shown with the frequency analyses, those who participate as collectives or leaders in both Samples A and B, by comparison with other participant types have lived longest in the area; whereas individuals and non participants record the highest percentages of those who have lived in the area for 10 years or less.

### *Quantity, degrees and methods of participation*

A key research finding shows that of the Random Household respondents, (Sample A), more than seventy-five percent of respondents (76.7%) have participated over the previous 12 months; and fewer than twenty-five percent have not participated at all (23.2%). Of those who have participated, more than a quarter have done so at a leadership level, (25.7%), fewer than forty percent have participated as part of a collective/group (39.8%) and fewer than twelve percent as individuals and not as part of a collective (11.2%). (Table 16)

With the citizen panel respondents, (Sample B), less than a quarter have reported additional responsibilities of leadership of other forms of collective/ groups (22.5%). (Table 17)

With regard to the main methods of participation used, by participant level and by sample:

Leaders of Sample A, show the use of the full range of participation methods, especially those concerned with collective action. That which is also interesting, is that more innovative forms of



collective participation such as attending ‘stakeholder groups’, ‘forums’, and/or ‘focus groups’, in comparison with other participatory methods, have been used to a limited degree. (Table 20)

Sample A Collectives have also shown that they have used the full range of collective, individual, traditional and ‘innovative<sup>29</sup>’ forms of participation. However, in terms of collective activities, other than their attendance at ‘public meetings’, alternative group oriented forms of participation such as, forum and stakeholder groups, appear to be less popular. (Table 19)

Unlike, both leaders and collectives, individuals participate in, as Moran (2005) depicts, ‘weak’, independent forms of participation (See Table 1, p.79). These reflect traditional forms of participation tending to call for individual action as opposed to participation through collective activities. (Table 18)

Sample B collective respondents, other than their membership of the citizen panel, indicate almost identical order of popularity for the range of participation methods offered to Sample A collectives (Tables 21 and 19). Differences are predominantly seen with ‘contact with local MP’ and ‘being a forum group member’, taking higher places in the ranking of the range of participatory methods of Sample B collectives than those of Sample A’s. Conversely the collectives of Sample A appear to more frequently associate with community groups, clubs and societies than their counterparts in Sample B.

Leaders of Sample B do not use as wide a range of participation methods as their counterparts of Sample A (Tables 22 and 20). Further, although their association with clubs and community groups is evident as amongst the most frequently used methods of participation, ‘signing petitions’ ranks higher than collective participation and is the second most frequently used form of participation to their citizen panel membership.

### *Perceptions of governance and participation*

A further key finding from the survey shows that in nearly all cases, with both Samples A and B, the higher the level of participation indicated, the higher the tendency to a positive and/or negative perception of a governance or participation principle. This results that the non and individual participants tend in the greater number of cases, to have a less positive perception or more negative view on a governance or social capital principle than the collectives and especially the leaders.

This trend was evident with both samples and in terms of both patterns of agreement and disagreement, the respondents' views as to: right and responsibility to participate, equitable decision-making; acceptability of decisions made by institutions; level of influence; respondents' perceived ability to participate; and with a general interest to participate.

A similar trend of patterning, highlighting distinctions amongst pairs of participation levels, was suggested in Mann Whitney U pair-wise comparisons and although of less emphasis, with effect sizes (see Table 103 and Appendix 10). A key observation was made that the wider the distance between forms of activity i.e. non participation to leader participation, the more significance appeared to be indicated and the greater the effect sizes.

On the whole, the sum of these findings indicate that 'non' and 'individual' participants' show a tendency towards the negative of Likert scale responses, of varying degrees; and 'collective' and 'leader' levels tend towards a more positive perception. Certainly, with the pair wise comparisons and effect size calculations, distinctions are indicated between at the least the strong levels of participation and individual and non participation levels of Sample A; and although to a far lesser extent, between the collective and leaders levels of Sample B.

Of those survey results that did not follow the patterns detailed above what was still noticeable was at the non participant level, a relatively consistent negative view of disagreement with a statement. This distinction was especially contrasted with the leaders' responses and subsequently those of the collective levels.

Some results were further notable in terms of their majority agreement or disagreement indicated towards a perception. '*Participation is a right*' and a '*responsibility*' indicated particularly high agreement amongst all participant levels, excluding in the latter case. With this variable more than a third (35.8%) of the non participants were undecided and a quarter (24.6%) disagreed that participation was their responsibility converse to almost ninety-percent (88.8%) of the leaders who agree with this statement (Table 26).

Equitable and transparent decision-making and representation of views encouraged, to varying degrees, more than three-quarters of Samples A and B respondents to either disagree or be undecided as to their views (Tables 29, 30, 32 and 33). A similar result of both samples was equally evident with views on the efficiency of institutions favouring responses of indecision and disagreement by more than sixty percent of the total respondents (Tables 35 and 36).

Levels of influence tended to highlight a less negative view although even here and with both samples approximately forty-five percent of each sample was undecided and/or disagreed with the statement 'I believe I can make a difference' (Tables 47 and 48). Further, fewer than seventy percent were undecided and disagreed that they 'could influence decisions'. Distinctions are especially highlighted with the first variable on comparing responses of the non and individual participants with those of the leaders (Tables 47 and 49) and with the second, particularly amongst the non and the leader participants (Tables 50 and 52).

Trust towards institutions showed far higher levels of indecision and disagreement in both samples than agreement. With Sample A, the most negative stance of this group was shown towards the local council (64%) (Table 65) and subsequently towards local councillors (61.3%) (Table 59). With Sample B, the highest level of indecision and disagreement was indicated towards the local MP (62.5%) (Table 63) and as with Sample A, subsequently, shown towards the local councillors (59.4%) (Table 60). What was especially interesting, in consideration of the historical association and conflicts amongst traditional Forest organisations, such as the Verderers, the Commoning community and the Forestry Commission was that the highest levels of trust were indicated towards these institutions by the respondents of both Samples A and B (Tables 68 and 69).

Of variables associated with capability, knowledge as to how to participate attracted approximately sixty percent agreement with both samples (Tables 71 and 72). Ability to participate also attracted more agreement than disagreement with both samples although higher agreement than disagreement was apparent with Sample B (50.5% and 45.9% respectively) led by the leader levels in each sample (Sample A 67.2% and Sample B, 70.1%) (Tables 74 and 75). Time to participate was especially notable with higher levels of disagreement/indecision than agreement indicated with both Samples A and B. However, levels of agreement indicated were marginally higher as a total of respondents in Sample B compared with Sample A (Tables 77 and 78). Distinctions in Sample A were especially marked by seventy percent of the non participants and more than three quarters of the individual participants (77.7%) who are either undecided/disagree that they have time to participate. Conversely, approximately forty percent of the collectives and almost fifty percent of the leaders considered they had time to participate (41% and 47.5% correspondingly).

### *Features of social capital and social integration*

Unlike patterns of responses to governance principles, views on Social Capital principles and respondents' perceptions of their local community were not generally indicated in Sample A, *except* in

one case. This was seen with levels of agreement and the statement ‘I am concerned about things in my area’. Patterns of responses according to levels of agreement and disagreement are evident with Sample B responses (Tables 89 and 90).

In addition, with both samples, views tended to be much more positive than had been previously seen with views on governance. Nonetheless, the non participants still recorded the lowest levels of agreement and highest levels of disagreement on each statement.

Of the three statements that were statistically significant, the most positive views were associated with ‘concern for the locality’ by more than 90% of both Samples A and B respondents (Tables 89 and 90). What was also noticeable in relation to perceptions of ‘neighbours’ willingness to help each other’ was that 100% of the individuals agreed with this statement followed by ninety-five percent (95.2%) of the leaders (Table 83).

Respondents’ associations with clubs and societies were mostly indicated by the leaders in both samples. Complete *disassociation* was shown by the individuals and the non participants (Tables 92 and 93).

### *Motives to participate*

In relation to motives to participate and Sample A, an almost equal split of forty percent is indicated by the total respondents and those who do or do not want to participate. This finding is notably highlighting distinctions between non and individual participant levels who indicate the highest disagreement levels of the four participant levels with this statement (61.1% and 53.9% respectively) against more than half of the collectives (51.6%) and sixty-five percent of the leaders who do ‘want to participate.’ As such, the level of interest to participate is reported according to participant level with leaders agreeing the most and non participants the least (Table 94).

With Sample B respondents, more than fifty percent (54.1%) want to be involved and fewer than thirty percent are undecided (27.2%). What is marked is that seventy percent (70.6%) of the leaders want to participate compared to less than fifty percent (49.2%) of the collectives (Table 95).

Relating to *specific reasons for participation*, only two of the five motives to participate offered to all respondents showed any statistical significance. The first and ‘*motives for my community*’ showed similar results amongst the Samples A and B. More than a third of the total respondents in each case

would be motivated a lot (34.2% respectively); and approximately two-thirds of each sample indicated that their involvement would 'depend on the issue' (62.4% and 63.7% correspondingly). Levels of agreement and disagreement were indicated according to participant level in all cases with leaders showing the most agreement and least disagreement except with Sample A whereby more than forty percent (41.7%) of the collectives indicated their motivation to participate compared to thirty-six percent (36.1%) of the leaders (Tables 97 and 98).

The second variable of significance, '*motives for local politics*', overall indicated substantially less encouragement to participate. This is indicated by more than ninety-five percent of Sample A (95.7%), and ninety-three percent of Sample B (93.6%) reporting that their participation either depended on the issue or that political motives did not encourage them at all. Whilst with both samples, in all but one case, levels of disagreement are indicated according to participant level, with levels of motivation, this is not the case. What is notable in Sample A, is that the individuals are not motivated at all to participate. Further that the collectives, and to a far lesser degree, the non participants, show more motivation than the leaders to get involved for local political reasons. Additionally, the collectives of Sample B indicate marginally higher levels of motivation for this topic than the leaders (Tables 100 and 101).

## *Chapter VI: Part Two*

### *Section Four: The Interviews*

#### **6.4.1 Introduction**

A series of interviews were conducted between October and December 2007 with a randomly selected sample of non participants and individual participants of Sample A, and collective and leader participants from both Samples A and B. To protect these representatives' anonymity, a coding system is provided against responses made. These codes comprise of an abbreviation of the participant level and sample represented, followed by a number denoting their order on the respondent database.

Following an approach of thematic analysis, (See *Chapter IV Section: 4.3.36*), interpretation of these findings resulted in similar findings to that previously presented in the Surveys' Findings. However, through the total of 20 detailed interviews the further opportunity was created to investigate results and comments raised in the survey in more detail.

The interviews centred on nine main themes investigated in the surveys. However, also, in accordance with imperatives for contextual considerations of research (Krishna & Schrader 1999), this stage of research included a review of the respondents perceptions of the national, regional and local context in which respondents are governed and governance and participation opportunities are created.

The nine themes were:

1. reasons for participation or non participation;
2. views on the management of the National Park;
3. views on government, governance and participation opportunities in the New Forest;
4. representation of the respondents' views;
5. the environmental value of the area as a driver for participation;
6. actual and perceived barriers to participation;
7. views on national government;
8. views on the public's inclination towards political participation;
9. respondents' interpretation of 'community';

Following an introductory overview of results, the findings are discussed according to each of the participant levels and where relevant and significant, in a comparative discussion of the four participant levels.

#### **6.4.2 Overview of results from the interviews in consideration of the Surveys findings**

As previously discussed, the surveys findings show that with regard to perceptions of governance and participation in the case study area, that in many cases, as the level of participation increases so does a more positive perception of a variable become evident. Nevertheless, based on previous research conducted (DCLG 2006 a; Parry et al. 1992) there are key topics which did not prove to be statistically significant, yet where a mixed reaction and unified agreement or disagreement also appears evident. These topics are still reported as they are of contextual significance as background information on the case study area and on the respondents (Krishna and Schrader 1999; Moran 2005; Parry et al. 1992).

Additionally, an analysis of each interview, by participant level, in both samples and further compared across the four participant levels, results in a finding which does not necessarily follow the trends previously discussed which emerged from the quantitative research. These findings indicate that levels of disagreement are overall, higher than positive views reported. A negative view is inferred by interviewees in some cases, and forthrightly stated by others throughout the participant levels. Therefore, the interviews illustrate a perspective which needs to be considered in the overall findings of the primary research conducted.

Illustrative of negative comments it was apparent that at all participant levels there are negative views towards national Government with specific concerns over perceived anti- democratic actions such as declaring war on Iraq and a perception that the public views are not considered. At a local level, there are negative perceptions towards the institutions with responsibilities for the placing of the national park boundary. The interviewees felt that they had been deceived. Further, there are negative views in terms of the efficiency and performance of local governing institutions. In addition, cynicism is displayed over the genuine level of influence a community can actually exert.

A key further finding was that rather than there being apathy towards local decision making and politics the converse was the case with interest either being inferred or directly stated. This is an attitude that is further confirmed by the interviewees expressing genuine interest in this research inquiry and more than thirty-five percent of Sample A (35.5%) and almost sixty per cent of Sample B (56.9%) who indicated their interest in assisting further with this research (Appendix 13).

In addition to issues at an institutional level, concerns were raised as to the New Forest community which showed less of a positive stance than conveyed in the quantitative results. Concerns were raised in the non' and individual participant levels for how an interviewee will be treated by their fellow

residents should they disagree with the majority view in their local area. This they fear may potentially result in their being ostracised by their local community (NON/3/180)...*it is very clique...I feel rejected without anyone actually saying we don't want you...*'; (IND/3/191) *if it was going to make really bad feelings with neighbours and if living here would be dreadful if I spoke up, ... I certainly wouldn't want to move from here so I suppose you have to get on with everybody.....*'.

Several interviewees inferred that the population comprised of those from the Forest as insiders and those inferred as outsiders and newcomers: (NON/3/148) '*...my accent gives me away as an outsider...and I am on a backfoot already*'; (COL/2/256)... *our people the people of the Forest .....the Forest to me belongs to the people of the Forest who live in the Forest..... people ... who have lived here forever and a day, hate the grockels<sup>30</sup> and newcomers with a passion they ruin the place, come on holiday, when retire move here, and turn it into Welwyn garden city or Bristol or wherever they have come from and so the area has lost its identity .....And that is very sad.*'

#### **6.4.3 Reasons for participation and non participation**

Practical reasons were given for not being involved in any form of participation. These included time constraints, also evident in the survey results, but also reported was the amount of effort perceived to be necessary and a lack of transport. However, that which was also generally conveyed was a negative attitude regarding the institutional environment (NON/3/151) *I wanted to challenge the local parish council on their abuse of power... It's also a time factor ... so I decided to let them go along their own stupid little way, and try and ignore (the situation) ....*

Individual participants offered practical reasons, personal interests and various other issues as their motivation to participate. These 'other' issues principally related to planning matters and nuisance neighbours. However, as with non participants, and reflective of survey results, a negative perception and cynicism of genuine community influence was shown towards institutions, governance, participation and politics: (IND/3/140) *.....why bother asking when you have already made your mind up.....(IND/3/159) ... the majority interest in the Forest is Conservative thus, there is not much point as there is no parity nor balance..... (you are encouraged to participate through) a sense and feeling of influence...*'

Collective participants in both Samples A and B also indicated their personal interests as motivations for participation. However, within this participant level, the governing system was questioned, an interest in local politics was shown and as shown by this participation level in the survey, participation



was highlighted as a duty: (COL/3/155).’ ... *one of the things I have looked at is local politics not that I am necessarily that enamoured of it (COL/2/723) ... like giving a vote it is your duty to use it ....*

Leaders predominantly quoted their invitation to participate and being coaxed or coerced to get involved: (LEA/2/267) *as far as the leader of a community group, it is quite difficult to get them so you tend to get brow beaten into them a bit. ....Its not entirely from choice....* Emphasis was also drawn to the use of leaders’ previous experience, skills and opportunities to (LEA/3/156) ... *give back a little bit.* Nevertheless, again the governing system, efficiency and performance were questioned (LEA/2/332) *...we pretty quickly realised that we had to resolve it as the group rather than rely on the Council.*

#### **6.4.4 Views on the management of the National Park**

All participant levels in both samples showed predominantly negative attitudes towards the management of the National Park and its governance. However, as shown in many cases in the quantitative analyses, as the level of participation increases the level of negativity decreases: (NON/3/151) *...for me it just makes me angry rather than want to get involved because I know that they have their own agenda (NON/3/167).... Pathetic...;* (IND/3/683) *Well I think first of all I wish it wasn’t there...the whole thing we are getting so much duplication;* (IND/3/191) *I wish they hadn’t made it into a National Park.....a double layer of the same people doing the same job...its too much. ...there are so many restrictions now...it is really quite appalling...(COL/2/256) the management of it...its fractured...too many people having a say...I preferred the Forest when it was just the New Forest ....(COL/2/212)...we are too remote from the management side to comment on it...(LEA/2/332) (re the boundary) we were deceived...(LEA/2/346) I think the boundary is wrong ...(LEA/2/365).*

One positive comment reported ‘...*I think at the conceptual and organisational level its sound they have the National Park Authority and a board of management...(LEA/2/267) I think it is managed well....*

#### **6.4.5 Views on government, governance and participation opportunities in the New Forest**

A mix of views is apparent across and amongst each of the participant levels. As with the survey results, mistrust was shown towards local government bodies and agencies and more trust was shown towards local Forest organisations. Non participants either had no view or singled out different

organisations such as the Forestry Commission as (NON/3/180) ... *a bit silly* or that the management of the area was better in its previous predominant structure led by traditional Forest organisations (NON/3/153) *My feeling is the forest is a particular special environment that needs protection ... on the whole those most likely to do that are those concerned directly, the Commoners, the Agisters, the Verderer's Court ... they are directly in touch with the important things ... in the forest, ... and the further you get away from that interface ...you get a more dispassionate view I think....*

Conversely and in general, in the individual category no particular view was offered other than the Forestry Commission was discussed in a positive light (IND/3/197) *I see ... the Forestry Commission very active very able very easy to talk to they know who the locals are...* and (IND/3/159) *the Agisters (provide) outstanding services...'*

All interviewees in the collective group were negative in this subject, criticising governance structures and emphasising the previous management structure was better<sup>31</sup> (COL/2/423) ... *There are so many parties involved I'm surprised they'd make any decision...it really is a mess...why? ...the whole funding structure's difficult as well and I don't think that helps either because a parish council can't then upset the next council up the level 'coz they are getting their money from them so they're beholden to them and that's wrong. (COL/2/256) .... in terms of decision making it used to be the Forest bodies like the Agisters and so on and the Forestry Commission did the day to day work of running of it didn't they? And I don't think it was badly run by them...there are too many people making decisions and not for the sake of the Forest but for their own power...that is how I feel. (COL/2/723.) There is far too much of it just too many people its all too expensive most things run considerably better ...when their hands are off the reins.*

The leader category showed a mix of positive and negative views and also questioned the creation of the NFNPA and its efficiency (LEA/2/267) *I am quite pleased with the District Council... ...The National Park? I am not sure I still think they waste money... making things like paperwork having to look so professional and glossy I think that's a waste! ... (LEA/2/365) I think that for the New Forest ... the cohesion of those main players is extremely strong...in fact the biggest objection and there was a huge objection to the National Park was that we had a New Forest Committee...who worked together perfectly well under the New Forest Committee again informed by the same panel and why do you need a Park and the National Park Authority?*

#### 6.4.6 Representation of the respondents' views

That which is particularly interesting with this variable is that non and leader participants (of both samples) all tended to a negative view, (bar one in the non participant category) of varying degrees towards how well their views are represented by elected members: (NON/3/151) *It is to pursue their own ends their own pathetic ends....(NON/3/153).... probably not very well in as much as most of the candidates are party based and if your views are not represented to a large extent, by a particular party then you are kind of disenfranchised, ... (LEA/2/332) That's a difficult one ... I'm not sure because what a councillor says and what actually is done is two very different things in my mind....To me these days ... there's a hell of a lot of lip service paid and not much action (LEA/2/346) Our representatives are not elected here<sup>32</sup> the New Forest District Council(lors) are (LEA/3/156).*

With individuals a mix of both positive and negative views were presented: (IND/3/197) *... I don't vote currently.....I don't think (my views) are (nor can be) as I am not putting them (my views) forward (IND/3/136).....(IND/3/140) I've got to stop and think about this to give a good answer ... I have got to say yes 75% of the time (IND/3/159)... (I) do get the feeling of being very extrapolated from the Forest....*

The collective participant levels voiced the most negative stance: (COL/2/423) *they're not.... definitely not, ... I don't think they make the effort to collect the views. (COL/2/256) The political parties in this area are self-interested (COL/2/212) ... I always vote ... but whether my views are represented I suppose they must be. (COL/3/155) ... we have a labour government haven't we? My views are not represented at all.... very little to be honest with you (COL/3/181) Well with regard to this last issue<sup>33</sup> ....they didn't represent our views. They were representatives who didn't live in the actual area so they weren't affected personally (COL/2/723) Not well at all.*

#### 6.4.7 Environmental value of the area as a driver for participation

Although environmental motives were not statistically of significance, in nearly all cases throughout the four groups of sample A and the two of sample B, the response was to agree that the environmental value of the area is a driver for participation. The non participants personalised this motivator (NON/3/153)... *I think it would come down to an individual issue rather than a pre-existing condition or designation (NON/3/148) Yeah it is probably the only issue I would feel passionate about the environmental issue and anything to do with the dogs....*

However, with the individual participants, the amount of designations and their potential for restrictions were emphasised (IND/3/140) *it does not need much more control really... sometimes perhaps there is a bit of an overlap....*

Within the collective category all but one stated concerns over the natural environment is a reason for their participation. However, as with the non participant category all inferred that the issue would have to affect them personally.

The majority of the Leaders agreed that the environmental value of the area is a driver for their participation. Although one interviewee again personalised their motivation and did not feel that any higher level of participation is achieved due to the environmental importance of the area .... (LEA/2/332) *It's what affects (the person) really....you do get one or two people who are really forest people who get involved... ....I don't think that being in or near the Forest really motivates anybody to do anything extra other than what they would normally do if they were anywhere else.*

#### **6.4.8 Actual and perceived barriers to participation**

For the non participant group an image of participants detracted participation and was viewed as of (NON/3/153) ... *'tub thumpers' who ... perhaps ....have got a less than obvious reason for being involved maybe, ... people who jump on bandwagons.* Further a fear of not being made welcome is overt, and as with the surveys findings, time plays a part (NON/3/180) as do concerns over being an outsider (NON/3/148). A concern over unpleasantness is also evident with (NON/3/151) *a lack of respect, ... I suppose just the general gossip as no one can keep their mouths shut about anything here, ..... So with that in mind I am not comfortable exposing myself to a parish council ... it's just exposing yourself to more unpleasantness....*

Social class divisions were also highlighted: (NON/3/704) *There have been social barriers, certainly...I have tried to persuade people to join the parish council that I am sure would have been valuable members and they haven't done it because 'it is not the sort of thing I do its not my job its yours' (accent used), that was 10 years ago.... In the old days the parish council was made up of the vicar, the local doctor and a GP and a retired colonel ... nowadays we have the chap who owns the shop, the lady of the pub ... and one or two from the council estate as such (it) is great, it means that they are taking responsibilities ....*

The Individual category provided a mixed review but also showed concern over class divisions, being disenfranchised and associated concerns over representation which are derived from a barrier to participation created through the National Park, Government, democratic and governance structures: (IND/3/197) *The council for NFDC was made up of some of the urban fringe of Southampton such as Totton, Dibden Purlieu.....which gave a really balanced half .... to the council so you did have those who were facing their own urban and transport problems and didn't just have the villages and the hamlets being represented ... having the fringe districts in I think gave it a good balance to the council...what I don't know is if that balance has been addressed....or whether we have just those of National Park status....I don't think there is necessarily the depth of knowledge and breadth of opinion that I think a council needs.... it becomes too specialist and therefore to influence it is much more difficult as the voting system is (difficult) when we have such a skewed populace. (IND/3/159) For me personally no, for people in the lower groups, travelling communities, deprived people i.e. in Pennington ... – what voice do they have? I suspect none as I feel disenfranchised from the process so they probably are too.*

The collective group perceived no barriers to participation although age and mobility were questioned: (COL/2/423) *Obstacles won't stop me if I put my mind to it...* (COL/2/256) *No, coz I can communicate, I think it is just the physical thing and I am old:* (COL/2/212) *... its not so much difficulty but...for instance I don't know who the local councillor is....If I had an issue ...I would have to look up the local town hall. ...I would have to be motivated though to do something like that.* As with Leaders, a perceived lack of influence was also conveyed (COL/3/155) *If you want to go along and shout your odds at a public meeting you can, nobody is stopping you as such I just don't think they take much notice ...'*

The leader category quoted the public's lack of confidence in their own ability, time, money, and the perceived lack of genuine influence as barriers to participation. In addition the rhetoric of the term 'participation' was highlighted: (LEA/2/267) *(the public) often don't have ... the confidence ....they think they don't know anything about it and wouldn't be able to do it. And of course the biggest obstacle, biggest obstacle is time.....:* (LEA/2/346) *I think (barriers) are all probably financial that is the real barrier.....; a perceived lack of genuine influence (LEA/2/365) In strategic decision making...I keep returning to this ... cynicism- is it notional?, is it a tick box? We hear what you say you don't see the broader picture we in government do... we can balance economic matters but versus your views and there is a persistent view that the voluntary sector is amateur in the worst sense .....*

#### 6.4.9 Views on national government

All responses for the non participants and for the leader participants centred on negative views of Government. The key areas of concern here were of cynicism, mistrust and a perception that the practice of government has become more centralised: (NON/3/153) *I feel very cynical about politicians, national politicians, very, very cynical....* ; (NON/3/148) *... I don't vote ... because I can't see any difference between the political parties* (NON/3/151) *you only have to think on Iraq as far as the government is concerned ...now I have no respect for our government whatsoever, ....*(NON/3/704) *... I think the government has become much more a reactive government, ... apart from the Thatcher times things have largely been reactive not proactive in setting things up.* (NON/3/180) *I am very cynical about the government yes...*

The leader levels again display negative views: (LEA/2/267) *In 1960 I used to think the government laws were based on Christianity .... now....its all about economics and I hate it. ....* . (LEA/3/156) *....I get the feeling that more and more (decisions are made) nationally and not locally.* (LEA/2/332) *..... now they have got much more powerful and ... they just rail road us so you get someone like Tony Blair who has got opinions...and...whether you agree or disagree with what he does at the end of the day he was autocratic really ...and the Government is at the moment ... ...they think so little of the populace in so far as well they've elected us we can do what the hell we like so they are far too powerful now ...because we just sit back and let these things happen...don't we?...like the Iraq War..... how that could possibly happen when we were all so obviously against it and ... they still went ahead with it...so if they are going to do that with that sort of issue you can imagine all these hundreds of other little issues that we don't even know about...so I think government these days, far too powerful and got far too familiar and I think that they can just do what they want and whether they think they are doing it for our benefit or not is another matter....*

With both individual and collective participants the views were mixed although negative comments centred on questioning a lack of political choice and the system, showing again, as with non and leader participants, mistrust and cynicism: (IND/3/197) *... why should I vote for a government who have been lying blatantly for years....* : (IND/3/159) *They are trying to get a community voice but I feel it is a sop really of voice and action. ... integrity in process is needed* (IND/3/191) *No, I think they are all crooks, ... what I disagree with most is the government... if we had an independent man I would vote for him as he would have an independent view.....*(COL/2/256) *... there is too much government, ... national, regional, district and here we even have town council. Too many tiers of government and too much intervention in peoples lives .... We are over governed by too many different people ...*

*everything is too complex .... (COL/3/155) ... I do feel pretty strongly that standards in public life have just gone to hell and gone. ... they have all cut rough shod through any form of morality or probity (COL/3/155) .....Well you know the Atlee government after the war there was none of this scandal that hits the lot we have at the moment. Whatever you think of Attlee's government, they did it with honour and public spiritedness which you just don't see anymore.... (COL/2/723) ...I always felt disconnected I still do...*

A positive perspective from individuals and collectives was shown in the minority of cases and was founded on support for the democratic system, more participatory opportunities and knowledge through the media although it was perceived that the level of influence is no different to past practices: *(IND/3/179) ... I think things have changed with national government especially – ... I think there is more opportunity today than there was( IND/3/683) ...We complain about our government but by and large it is a jolly good system .....(COL/2/212) ... because of modern communication we know all about the individuals whereas going back 60 odd years we had to rely on the papers and the radio, the wireless... There are more opportunities to get involved now... (Interviewer: Do you feel people have more or less influence?)People have about the same influence I should think (COL/3/181) I suspect it is exactly the same...it is more open these days in the sense you get to hear more in the news and the press ...*

#### **6.4.10 Views on public inclination towards political participation**

The majority of participants across the four participation levels of *sample A* and two of *sample B*, agreed with 'it is probably fair to say that in Britain we do not have a culture naturally inclined towards political participation' (DCLG 2006c p11). With non and individual participants all agreed except one non participant, an ex Parish Councillor, who felt that the situation is changing *(NON/3/704)... and I think communication and TV has a lot to do with it.'*

One respondent in the collective group did not agree with this quote feeling that *(COL/2/423) people are inclined to do it but they are frustrated by the system so they don't.... there are too many barriers put in their way....but I think intrinsically they would want to do it if it were done in some sort of way they could do so easily....*

As with the collectives, one participant in the leader category disagreed *(LEA/3/156)*; and one other highlights that participation *(LEA/2/365) ... is going to depend on your social class and age....*

#### 6.4.11 Respondents' interpretation of 'community'

The survey results painted a relatively positive perspective towards the local community. However, in the interviews an alternative negative view was presented by non participants. Of these, four of the interviewees reported the most negative statements of the four participant levels in terms of their interpretation of 'community'.

The main comment was centred on the local aspect of the term, followed by the interaction perceived by a community (NON/3/704) *in order to improve the collective lot as basically we are herd animals.*

Issues were presented through a perceived 'layering' (NON/3/153) of types of people in the Forest (NON/3/151) *with those who keep themselves to themselves to detach from the unpleasantness experienced in the area.* It was also viewed that although the term is commonly considered to be about the 'local people' that *it's a shame because it used to mean ....living common lives, helping each other, having common values, common views, looking after their street, their own place where they lived* (NON/3/148). A negative connotation was also represented through not identifying with the local community (NON/3/167) *as the token northerner in a very peculiar place.*

Within the individual group, 3 of the interviewees simply stated that they do not get involved with their local community. Two interviewees viewed their community as those in their work place who they *spend most time with* (IND/3/197). A judgmental stance was shown of a 'good and bad community' (IND/3/683); *a crowd of people who get on and are friendly and if not, (a person) cannot be part of that community* (IND/3/188). (IND/3/140) stated the local element of the term but also introduced both a tangible and intangible perspective that community is *'what they stand for isn't it... it is not just the group of people it is who they are, what they are jointly, they are the community whether they live in a council house down the road or they own a damn yacht down at Beaulieu'.*

The collective group predominantly stated the local element of community although this was also extended to *Southampton* (COL/3/155), and that the term represented an *enlarged family* (COL/2/256) for which interaction was important (COL/3/155). A negative inference was shown that the community is split in the local area (COL/2/256) and made explicit with the view that (COL/2/723) *'community' is a buzz word...doesn't mean much... a cover all word frequented in the press and is meaningless.*



Within the Leader category, infrastructure was represented including work, social facilities (LEA/2/332) and the Church (LEA/2/346) *to make the place a bit more liveable than that which it would be* (LEA/2/332). This does suggest that a positive result of community interaction is improving the local area. This stance was extended further in the emphasis placed on intangible features of community: *it is the aggregate characteristic of the people that live in a specific geographical area, a...culture and spirit and their attitudes and degree of co working and cohesion* (LEA/2/365).

*Section Five: A précis of key results from the surveys and the interviews.*

### **6.5.1 Introduction**

This final section of this chapter summarises key findings from the overall primary research conducted in 2007 and in doing so, highlights the main similarities and differences amongst the results of the two surveys and the interviews. These results provide reasons for participation or otherwise through a review of the respondents characteristics by participant level, what participation means for the respondents, their perceptions as to governance and participation opportunities, their views on their local area and communities and their general interest and motives to participate. These features will be discussed further in *Chapter VII*.

### **6.5.2 Characteristics of the two samples, amount of participation, perceptions on governance, on the local community and motivations to participate**

The characteristic profile of participant levels was not statistically distinguished in all cases. Only 'education' and 'length of residence' proved to be of some statistical significance especially highlighting differences amongst the non and leader participants in the former, and between the individual and collectives and individual and leaders levels of Sample A in the latter case (Tables 14 & 15 pp 287 & 288). As such, the working hypothesis that '*levels of participation are not influenced by socio-economic, demographic and psychographic characteristics*' is rejected according to statistical significance in cases of 'education' and 'length of residence'.

However, as with other research of this subject (see DCLG 2006 a and b), all frequency analyses have been provided as descriptive context of the two samples. This afforded some differentiation amongst the samples and the four participant levels by varying degrees with age, in terms of education and employment, in terms of levels of self-confidence and associated with the length of the respondents' residence in the New Forest area.

Of more than seventy-five percent of the Sample A respondents who have participated over the previous 12 months, a quarter have done so at a leadership level, fewer than two-fifths as part of some form of collective action and fewer than twelve percent as individuals and not as part of a collective. With Sample B, less than a quarter of these respondents have also held leadership roles (Tables 16 & 17 pp289 & 290).

With regard to forms of participation and their frequency of use by participant level, leaders and collectives use similar methods. Although where leaders especially of Sample A, showed the use of more group oriented processes, the collectives tended not to use group forms of engagement to the same degree as the leaders. Individuals only indicated individual forms of engagement, and do not associate with clubs nor societies in stark contrast with the collectives and especially the leaders of both samples (Tables 18 to 22 pp291 to 295).

The second working hypothesis, *'levels of participation are not related to the respondents' perceptions on governance and social capital'*, was rejected especially, in terms of perceptions on governance with both samples. This was due to indications that positive and negative responses and perceptions tended to differentiate between the non and individual and the strong forms of participant levels in Sample A and almost consistently between comparisons of the collective and leaders levels of Sample B.

However, although of statistical significance, the more positive perceptions indicated in the survey across the four participant levels on the local community/area, suggest that with all but one of these variables, a respondent's level of participation may not be affected to the same degree as shown with responses on governance. Respondents' views on 'concern for the local area' in both Samples A and B, did however, seem to equate with the levels of participation in terms of agreement (Table 89 to 91 pp340 to 341). However, with all variables associated with the 'local community and area', non participation was, as indicated with perceptions on governance, indicated to show that this level consistently produced the lowest level of agreement and highest rate of disagreement amongst the four groups of Sample A.

Conversely, the interviews reported a darker view of respondents towards their community and highlighted concerns over being newcomers and concerns over not being seen to disagree with the sum of local community views.

In terms of the general view of the total sample on the practice of participation, this tends to be of indecision on a principle or of a negative stance. This is most overtly indicated by the non and the individual participants. In addition and especially conveyed through the interviews, there is more dissatisfaction than satisfaction displayed across the participant levels towards the current institutions but particularly the National Park Authority and their presence as the governing and governance authority for the management of the area. Questions are indeed raised as to the need for this authority in comparison with the governance process of the previous New Forest Committee and the efficiency perceived of its past partnership working practices (refer to *Section: 6.4.5 p.366*).

The principle of trust was notable in terms of its importance in encouraging positive political efficacy and less cynicism towards participation (Parry et al 1992). Traditional Forest organisations tended to attract more trust than other bodies, and the council with sample A, and MPs with Sample B attracted the most mistrust and indecision. In both samples, the second most mistrust and indecision is demonstrated towards local councillors (Tables 59 to 70 pp320 to 327). However, through the interviews, views on especially the New Forest National Park Authority tended to indecision and mistrust.

The third working hypothesis is that *'apathy and disinterest are not reasons for non or limited amounts of participation'*. These commonly perceived reasons for non and limited participation, were not considered to be wholly appropriate causes for the levels of participation and non participation demonstrated amongst Sample A or B, nor were they considered as prime reasons for the non and the individual respondents not to participate. This interpretation is proposed as whilst a pattern of general interest to participate is detailed according to participant level in both samples, there is still a significant quarter of the non and individual participants who are interested to participate for example, for 'community' reasons; and a further seventy per cent at each level who indicate that their participation would 'depend on the issue' (Table 97 p347). Further, whilst recognising that 'motives to participate for reasons associated with the natural environment' was not proven to be statistically significant, there are still half of the non participants and fewer than sixty percent of the individual participants who report that they are motivated for this reason (see Appendix 12).

Nevertheless, it is equally recognised that 'political reasons' discourage participation or are questioned by the greater number of the respondents in both Samples A and B (Tables 100 & 101 p349).

However, in consideration that fewer than sixty percent of Sample B respondents and thirty-five percent of Sample A respondents, inclusive of almost thirty percent of the non-participants and forty percent of the individual respondents demonstrated their interest in contributing further to this research, concerns over apathy and disinterest are diluted (see Appendix 13). Additionally, during the interviews, and inclusive of the non and individual participants, more interest than disinterest was expressed, although vast amounts of dissatisfaction with participation, governance, the institutions and to some extent, the local communities was emphasised.

Yet, what is identified, and likely, is that shown through the patterns of perceptions resulting in respondents positive/negative views on governance principles, these features do indicate an association with the levels of participation. Further, and as noted above, some patterning in terms of specific responses is also indicated in both Samples A and B (Table 103 pp353 to 354). This mixed review on

findings means that any claim on this working hypothesis is not conclusive and thus, results that this working hypothesis is not confirmed nor rejected.

Motives for engagement were specifically investigated with the fourth working hypothesis which concerned '*local environmental concerns do not encourage community action*'. This motive was demonstrated in the frequency analysis as the most popular motive to participate at all participant levels and in both samples (see Appendix 12). Thus, it was unsurprising that no sufficient difference was indicated in the Jonckheere-Terpstra test.

Nevertheless, although almost all interviewees responded that care for the environmental value of the area was a driver for their participation, it was not specifically highlighted during the interviews as a specific motive. Further, whilst this finding could have potentially inferred a characteristic according to the patterns of participation indicated, the individuals showed the second highest level of interest in Sample A and the leaders, the second least. However, of additional consideration and as highlighted in *Chapter VII*, due to a requirement to participate for these reasons in collective forms of participation, it is not expected that these interests would encourage community engagement. Rather, community participation especially of the non participants and individual participants is suspected to be discouraged.

## **Chapter Summary**

This final section has drawn together the key strands of the primary research undertaken and in doing so has suggested characteristics associated with and contributory reasons for participation or inactivity.

As shown in previous research undertaken, (Parry et al. 1992; Almond & Verba 1963; Vetter 2007), perceptions, cynicism and political efficacy are demonstrated to have an affect on participation. This is generally indicated with more positive perceptions led by the collective and leader levels of both samples and a less positive stance indicated by the non and individual participant levels of Sample A.

A further area of this research, which also appears to support previous studies conducted (DCLG 2006b; Parry et al. 1992; Vetter 2007) derives from results on 'length of residence'. The results are especially distinguishable between the non and individual participants with those of the collective and leader levels of Sample A.

Yet, with few exceptions, in terms of governance principles, the survey findings and the interview results in many cases, presented a less positive view on the practice of participation and of the institutions. In addition, through the interviews a further negative stance was evident in terms of perspectives on institutions, governance principles and the community regardless of participant level and sample. The qualitative element of this research has therefore, introduced a dimension to this research that presents another consideration to the surveys' results for reasons for participation and non participation as well as consideration over the research approaches generally taken in this subject area.

A further finding which was notable through the surveys was regarding selected social capital principles and the positive perceptions shown by respondents towards their local community. Literature in the domain of social capital associates positive levels of social trust with developments in social integration through, for example, membership to groups (Adam & Roncevic 2003; Govan et al 1998; Uphoff 2000). In turn, it is hypothesised that collective community participation and discourse with the state can be strengthened. However in this study, amongst the most positive perceptions held towards the local community were those of the individual participants - a group that indicates limited participatory activity and no association with groups and societies. This result could thus, imply that:

- the power of social capital advocated to result in increased participation and based on positive levels of i.e. of social trust and positive perceptions of the local community, may not be as reliable a 'measure' of participation as initially considered;
- or that simply, as inferred through the interviews, the model of collective action does not appeal to the individual and non participants.

Ultimately, the results suggest that although reasons for participation or other wise can be distinguished by participant levels and associated with positive or negative perceptions on participation and governance, an additional consideration of these findings, particularly derived from the interviews, is warranted. This considers that reasons for engagement or disengagement may also be encouraged through the intensity of an opinion on a subject and/or the group associations which need to be made in order to participate in the UK context (Moran 2005). This suggestion particularly relates to the findings on the types of activity by participant level associated with membership to community groups, clubs and societies and the length of residence. All of these factors, to varying degrees, contribute to making distinctions between the non and individual participants with the collectives and leader participants of Sample A and between the collective and leader participants of Sample B. As discussed in the following chapter, interpretation of these findings does infer a fundamental division amongst the four levels of participation in sample A, and evident between the two participant levels of Sample B. These findings are considered to be exacerbated by the predominant practice deployed, throughout the UK and in turn in the New Forest, of collective action. The key results comprising reasons for

participation or non participation will be examined further in the following chapter. Discussions are developed against the research objectives and in consideration of the literature and previous research reviewed.

## Notes

1. See *Chapter IV, Section: 4.3.36* for details on the thematic analysis techniques used.
2. See *Chapter IV, Section: 4.3.8 p.167* for details on working hypotheses
3. This is a formal group that has the purpose of providing the NFDC with a mechanism to capture the local public's views on topics of interest to the NFDC.
4. Percentages are rounded to the nearest integer
5. This variable on 'gender' proved not to be of statistical significance
6. Statistical Null hypothesis ( $H_0$ ) : The pair of medians are equal ( $H_1$ ) the median of the higher level group is greater than the median for the lower level group (therefore, it is a directional one-tailed test)
7. See Appendix 10 for calculations
8. At least 3 citizen panels held per year (personal communication D. Holmes NFDC officer 2007)
9. Most frequently used methods: Sample A Collectives = signing petitions, completing questionnaires, attending public meetings; Leaders = community group and club memberships and completing questionnaires; Sample B Collectives = citizen panel membership, signing petitions and completing questionnaires; Leaders = citizen panel membership, signing petitions and club membership.
10. Missing values equate to respondents who did not provide information to distinguish themselves amongst the levels of participation nor non participation.
11. Total number of multi-responses, indicated by the participant level against each participatory method
12. Percentage total of multi-responses by participatory method by total in participant level- respect rounding errors
13. Percentage totals of multiresponses in respect rounding errors
14. Percentage totals of multiresponses in respect rounding errors
15. Percentage totals of multiresponses in respect rounding errors
16. Percentage totals of multiresponses in respect rounding errors
17. Total collectives in sample A = 96
18. Total collectives in sample B=385
19. Percentage totals - respect rounding errors
20. Percentage totals - respect rounding errors
21. Total leaders in sample A = 62
22. Total leaders in sample B=112
23. Percentage totals - respect rounding errors
24. Percentage totals - respect rounding errors
25. See Appendix 10 for calculations
26. *except* for those that compared the non and individual & individual and collective participants – Level of influence (Table 52); non and individual participants – ability to get involved (Table 76); and with general interest to participate, of the non and individual & collective and leader participants of Sample A (Table 96)
27. See pages 280 to 284 inclusive
28. See pages 280 to 285 inclusive
29. For example: Innovative forms are considered to include stakeholder groups/forums (DCLG 2006). Albeit the principles of these, 'to involve as many citizens as possible' derives from Athenian style democracy (Tansey 2004 p171) the current model of i.e. forums aim to include a balanced representation of agendas for discussion aiming for consensual agreement on decisions taken (Richardson & Connelly 2002).
30. Term used in the New Forest to refer to especially tourists to the area.
31. Referring to the New Forest Committee and prior to the establishment of the NFNPA .
32. Referring especially to the Parish councillors
33. Paying attention to the placing of the Park boundary

## *Chapter VII*

### *An assessment of community participation in local decision-making in the New Forest*

#### **Introduction**

This chapter presents a critical discussion of the findings from the series of interviews conducted and from the analysis of the responses to the two surveys<sup>1</sup>. The contents of this chapter should also be considered together with the discussions presented in *Chapter V*, the case specific secondary research relating to the case study area and with the interviews conducted with institutions' representatives and community group leaders. The combination of these sources provides for both a historical review together with current information as to community participation in the New Forest. As such, this chapter addresses each of the research objectives and ultimately, demonstrates the achievement of the research aim assessed in regard to the initial research questions of: What is the amount of community participation currently occurring in the New Forest and why is this amount and degrees of participation and non participation occurring?

This chapter begins with a reflection on the origin and rationale for the research inquiry which led to the formation of the research aim and objectives. A discussion of the extent to which this aim and the associated objectives were achieved forms the main body of this chapter. Each objective is discussed in relation to the research findings, previous research reviewed and the concepts and theories that were adopted as a theoretical basis for this research. A critique is progressed as to the extent to which institutions' have addressed best practice principles in protected area governance (see *Chapter III*, p.117), against which the dual practice of government and governance is examined. This dominant system for community engagement is further related to the levels of participation and non participation demonstrated and in turn, associated with public perceptions' of the institutions, of the method of governance and community participation practiced which are ultimately considered as contributory reasons for participation or non participation. The chapter concludes by questioning how feasible wider community engagement is in practice.



## 7.1 Origin and development of the inquiry

This research originated from an interest in the increasing emphasis on civic participation in local decision making (Borrini-Feyerabend et al. 2005a and b; 2006; IUCN 2003a, b and c; Lockwood et al. 2006b). Strong predominantly theoretical arguments are advanced to encourage increases in community engagement not least to safeguard the existence of the protected area concept in the future.

The importance of preserving the protected area concept is reflected in the protected area literature that broadly presents prescriptive guidelines and best practices for an audience comprised of institutions and are principally focused on case studies in less developed countries. These literary works concentrate on the advantages and challenges of community participation, together with highlighting the risks of discouraging community engagement. However, in consideration of the importance placed on community engagement in protected areas, there appears to be far less research in civic and political participation than expected. Even less appears to have been conducted on the diversity of reasons and characteristics for both participation and non participation in local protected area governance and in the Western context.

At the same time, as demonstrated in the UK context, a strong emphasis on encouraging civic and political participation in the more general socio-political context has been occurring with particular statutory emphasis since 2000. In this context, as has been reported worldwide, increases in community **dis**engagement with traditional forms of participation are being reported and conversely, increases in alternative forms of participation are being asserted. These trends are not, as research in the subject of participation expects, considered specifically in the National Park context. However, if the same level of civic disengagement is occurring in a National Park, it would not be unreasonable to presume that the positive advantages envisaged from community engagement in protected area governance are limited in their reach. As such, equally challenging to attain are objectives for safeguarding the very concept of a protected area.

Reasons conveyed by institutions for disengagement include apathy and citizens being motivated purely for selfish reasons. These assumptions are debated. Furthermore, this thesis, as with literature and previous research conducted in the socio-political context, has demonstrated that influences on community participation can derive from: a citizen's perceptions of their community and especially with their perceptions of governance and of government institutions leading on participation in an area;

and can be associated with the types of participatory processes made available; and that levels of participation can be further distinguished in terms of, for example, demographic features.

Concerns over the importance for community engagement in the protected area context, together with a lack of research and potential lack of community engagement in this context resulted in the aim of this thesis to: *‘Rigorously analyse community participation in local decision making in the New Forest, Hampshire, England’*. This aim was achieved through addressing the following objectives in order to:

- identify the degree of participation in respect of four categories: non participation, individual participation, collective and leadership participation;
- critically examine and determine the characteristics of these four groups and the reasons for their engagement or disengagement in local decision-making;
- identify what participation in local decision making means to the New Forest community;
- investigate the context of the governance and participation opportunities established in the case study area and to examine the influences of these upon community participation;
- compare and critically assess current governance and participation practice in the case study area with the guidelines and best practices recommended for protected area governance.

Each of these objectives is taken in turn and discussed below in relation to the research findings, previous research and relevant theoretical assertions and debates.

## **7.2 ‘To identify the degree of participation in respect of four categories: non participation, individual participation, collective and leadership participation’:**

This research indicated that the majority (76.7%) of respondents to the Random Household survey had demonstrated at least one form of participation in the last 12 months (Table 16 p289). This initial result was a key finding in itself as the protected area literature infers and reports assumptions of a general malaise on the part of communities in participatory processes, (Buckingham-Hatfield & Percy 1999; Parker & Selman 1999; Richardson & Connelly 2002). Further, more generally lower levels of civic participation are reported<sup>2</sup> (Lyons 2006; Kolovos & Harris ca. 2004). In addition, trends in voting patterns, a mechanism asserted by Parry et al. (1992) to provide a gauge of local participation, report

serious declines in political participation at both a national and local level (Kavanagh ca. 2006; Travis and Ward 2002; Woolf 2005a & b).

It is suspected that the amount of participation indicated in the New Forest during the 12 month period of June 2007 to June 2008 maybe seen as supportive of the attention to protected area governance that has emerged at an international level (IUCN 2003 a, b and c; Pretty 2003). This international concern together with in the UK and since 2000, an increased statutory emphasis on community engagement in any context, may have enhanced levels of participation. Moreover, and specifically in the New Forest, as discussed in *Chapter V*<sup>3</sup>, it is considered that the apparently high rate of participation is indicative of the numerous opportunities created for community engagement in the case study area. As discussed in *Chapter V*, these participatory opportunities derive as a result of broadening the NPA<sup>4</sup>'s duties to include social and environmental well-being. Yet they may also be a result of the many consultations conducted prior and during the research period to inform the development of the draft National Park Management Plan, the draft Recreation Strategy and reflective of current planning reforms, consultations associated with the draft Core Strategy.

Although these documents by themselves, will not have directly affected the rates of participation reported in this thesis, since the research conducted, they have all, to varying degrees, further aggravated the public and resulted during the latter part of 2009, in public demonstrations and in 2010, to further rounds of public consultations. These contextual influences and participatory processes contribute to an already long history of institution-community interaction and participatory culture developed in the New Forest (NFNPA 2003; Tubbs 2001) prior to its official recognition as a National Park. However, they also contribute to supporting the claim that increased levels of social capital are evident in the area. This is additionally suggested through the respondents' positive perceptions conveyed towards their local community (Tables 83 to 88 pp336 to 339). Yet is further evidenced through the amount of community and special interest groups established in the Forest and the forums created, such as the New Forest Consultative Panel, (See *Chapter V*, p.245) that effectively 'bridge' groups interests (Moran 2005; Tansey 2004) and enhance two-way communication amongst the groups and governing institutions (IUCN 2003 a and b). Such features are not only deemed to deepen the collective consciousness, but also ultimately, to contribute to increasing social capital, and in turn, (Field 2008; Halpern 2005) to facilitate collective participation (McGrory Klyza et al.2004; Putnam and Goss 2002).

Furthermore, a strong sense of the community's identity with the New Forest, associated with participation (Buchecker et al. 2003; Lyons 2006) and social capital (Serageldin & Grootaert 2000) was conveyed in interviews with the institutions<sup>5</sup> (FC/1; NFDC/1; NFNPA/1). This is considered to be

characteristic of forest locations, (Witasari et al. 2006) and contributes to the sense of attachment people have with an area (Harmon et al. 2006). This attachment is based on the distinctive historical, cultural, and environmental features of the New Forest that assist in the formation of the Park's society, its traditions, values and ways of working and are further enhanced through the numerous opportunities for the community to integrate (Buchecker et al. 2003; McGrory Klyza et al. 2004; Putnam and Goss 2002; Smith 2008; Trotter 2008; Wuthnow 2002). Such integration, envisaged at the least, as promoting social well being, includes public activity in civic and political participation (HMSO 2007).

Collective participation emerges as the most common form of participation and characterised slightly less than forty per cent of sample A. A further twenty-five percent undertook a leadership role (Table 16 p289). A very similar percentage of leaders characterised the sample drawn from the established citizens panel (Sample B), the remainder of whom participated collectively (Table 17 p290). This apparent popularity for collective participation maybe associated with members of the collectives and especially leaders' views of both samples, who indicated that they have the time to get involved, (Tables 77 & 78 p332), in stark contrast with the majority of the individual and non participants of sample A who indicated their indecision or that they do not have time to participate. This situation may also presumably reflect more disposable leisure associated with the older/retirement age profiles of the collectives and the leaders in both samples (Tables 4 & 5 p280). However, as the non participants have a similar age profile 'free' time suggests non age related factors may also be influencing non-participation (Table 4 p280).

The individuals are represented by eleven per cent (11.2%) of sample A respondents (Table 16 p289). This finding was notable as an upward trend is generally asserted with individuals (Braun & Giraud 2001; Debicka & Debicki ca. 2005) expressing their views independently of the traditional collective, potentially expressing their '...intolerance of the binding commitments of associative action...' (Offe & Fuchs 2002 p205). Yet, in the case of the New Forest, individual acts of participation are in the minority and may reflect the claim that the phenomenon of individualisation is rarely found in rural areas (Buchecker et al. 2003) due to a traditional emphasis on a sense of cooperation and collaboration amongst the community and communities in such environments (Buchecker et al. 2003). However, a negative view of the local community and fear of being ostracized is equally evident in the New Forest<sup>6</sup> which as found in other research previously conducted (Buchecker et al. 2003) may again be contributing to the limited participation through individual action.

Whilst participation levels are overall considered as high and tend to be expressed by collective models of participation, the very act of participation itself, most practised by the participant levels of sample A and of sample B, are in practice individual acts rather than group or association based. Of especially

the collective but also the leader levels of sample A, 'signing petitions' and 'completing questionnaires' were amongst the main methods deployed. With sample B, other than responding to consultations as the 'Citizen Panel', 'signing petitions' were again most frequently used by both the collective and leader participants. Subsequently, with the collectives, 'completing questionnaires' and perhaps unsurprisingly, with the leaders, club membership were emphasised (Tables 18-22 pp291 to 295). These findings are very similar to that reported in previous research (see Active Citizenship Survey 2005).

Differences amongst degrees of participation distinguish the leaders and the collectives from the individuals, with Leaders particularly indicating a preference for traditionally accepted forms of collective action and participation (Moran 2005) such as 'club and society membership' and 'membership of community groups'. It was anticipated that Leaders in both samples would indicate their engagement in stronger and potentially more innovative forms of participation such as 'stakeholder groups' and 'forums'. This representation was indeed evident but in comparison with their use of for examples 'membership of community groups' or 'signing petitions', 'forums' and 'stakeholder groups' were used but to a limited degree (Table 93 p343). This is potentially reflective of the reduced numbers of opportunities for such forums, or of a lack of knowledge on these institution-community processes in comparison with other participatory processes.

Collectives also indicated their use of the full range of methods including both traditional and innovative processes (Moran 2005). However, as shown through sample B, through their predominant use of the 'citizen panel' as a 'consultation', and with both samples, 'signing petitions' and 'completing questionnaires', lower levels of commitment than leaders to group oriented participatory processes are indicated, although their attendance at 'public meetings' for example, is as with the leaders also evident (Tables 92 & 93 p342 & 343).

What is further common to both leaders and collectives is their use of participatory methods that are both suggestive of working towards a collective objective or outcome and through their use of more individual forms of participation, their motivation to participate potentially for more personal objectives (Hall 2002; Halpern 2005). Indeed, as indicated in the surveys findings approximately a quarter of the collectives in both samples, the leaders of Sample B and fewer than a fifth of Sample A's leader levels are motivated for personal reasons (Table 14.1 p491). This finding is considered to at least dilute institutional claims that participation for personal reasons is purely associated with those who choose not to participate or do so to a limited degree. (Burton 2003; Halpern 2005; Parker & Selman 1999).

Unlike, both leaders and collectives, individuals **only** indicate their participation in what are classed as weak participatory methods (see Table 1 p79) with their highest percentage recorded for ‘completing questionnaires’ (Table 18 p291). In addition, whilst their forms of action could result in a collective objective, it is proposed that this grouping is defined as participants whose potentially primary objective is an individual goal. This claim is further supported by the individuals recording the highest percentage of the four groups in being motivated to participate for ‘personal reasons’ (Table 14.1 p491).

What was particularly striking in this analysis was the pattern of association by participation level with social networking and community integrative forms of clubs and societies. Memberships of these are most characteristic, perhaps unsurprisingly, of the leader levels in both samples (Tables 92 & 93 p342 & 343). Individual participants and non participants however, indicate a further distinction to the collectives and leaders by their complete lack of association with both clubs and societies (Table 18 p291).

This finding could suggest that either non and individual participants are indicating a simple lack of interest in participating, are indicating a lack concern for the case study area and/or for their community, or suggest that they choose not to engage in collective forms of participation. Each of these suppositions is discussed further in consideration of comparable results from previous research conducted.

### **7.3 ‘To critically examine and determine the characteristics of these four groups and the reasons for their engagement or disengagement in local decision-making’:**

To further this examination of the distinctions amongst the levels of participation, this second research objective considered the findings from previously conducted research as to five key influences on participation: *respondents’ characteristics; perspectives on governments’ institutions and governance principles; perspectives on the local community and area; and motivations as potential interests to participate* (Moran 2005; Parry et al.1992; Sobel 2002; Van Schaik 2002; Vetter 2007).

This exploration characterised the four degrees of participation for which a full review is detailed in *Chapter VI*. In brief, findings from this study were similar to those of previous research conducted. Distinctions by age tended to show the individuals were of a younger profile (Table 4 p280), both samples comprise a generally well qualified population (Tables 6 & 7 pp281 & 282) and as with Parry

et al.'s (1992) and DCLG's (2006a) studies these findings suggest that elevated numbers of active participation can be demonstrative of higher levels of education and employment status. Nonetheless, unlike previous research, forty percent of the non participants are highly educated and the individual participants are a more highly educated group than either the collectives or the leaders (Table 6 p281). In addition, the individual participants comprise respondents who have held or hold more professional posts than any other participant level (Table 8 p283). However of all the characteristics identified, the findings that attract particular interest are associated with 'levels of self-confidence', length of residence, disassociation from clubs and societies and respondents' perceptions of their local community. These features are, as discussed in previous research (Parry et al. 1992), considered to be further indicative of the types of participation practiced in this case, in the New Forest.

*Levels of self-confidence* have been suggested as contributing to a person's level of participation. Buchecker et al. (2003) deduced that an individual's perceptions of their community, of themselves as part of that community and of their level of self-confidence, influences a citizen's social integration, and ultimately affects the level of participation they exercise. A similar interpretation emerges from this research through the differences indicated amongst the four groupings:

- Buchecker's *participation* type relates to this thesis' leadership level in both samples. Association with the community is evidenced through their memberships of community groups, social integration is indicated through attachments to clubs and societies (Table 93 p343) and to '...express their wishes and ideas in public...' (Buchecker et al 2003 p39), their high level of self-confidence is exercised (Tables 10 & 11 p284 & 285);
- The collectives demonstrate a combination of Buchecker's participatory types. In sample A, they indicated the highest level of self-confidence of their respective groups whereas in sample B, they report lower self-confidence levels than the leaders (Tables 10 & 11 p284 & 285). Yet approximately forty-five percent of the collectives in both samples express their ability to participate (Tables 74 & 75 p330). As such, they are related to Buchecker's *adaptive* type that tends to work for '...collective interests...' (Buchecker et al. 2003 p39) but they are also considered to associate with *withdrawal* and *distance* types. This stance maybe due in part to their long 'length of residence in the area', (Tables 12 & 13 p286), in comparison with the leaders, their relatively lower association with groups, clubs and societies, and what appears to be their greater tendency to more frequently use participatory processes which are of more independent rather than collective action (Tables 92 & 93 p342 & 343);
- The individuals show another hybrid of Buchecker's typology with a diluted level of *participation type*, as although, second to the collectives (sample A), they indicate a high level of self-confidence, (Table 10 p284) they participate privately. As such, an element of *distance*

is associated as the most recent newcomers of the four groupings (Table 12 p286) and withdrawal, by choosing to keep their aspirations private. In addition, although their confidence is high and almost a third (30.8%) indicates a positive stance on their ability to participate, (Table 74 p330), concern was indicated during the interviews over a potential to be ostracized from their community should their views be different to the collective majority (e.g. IND/3/191<sup>7</sup>).

- Non participants show similarities to the individuals and Buchecker's *distance* and *withdrawal types* as they also represent the relevant newcomers to the New Forest (Table 12 p286). However, the non participants additionally, *distance* '...themselves off from the village collective...' (Buchecker et al 2003 p39). This view is not to say that non participants lack self-confidence, quite the contrary almost ninety percent (89.1%) of this group express that they are self-confident (Table 10 p284). However, as found in Buchecker et al's research (2003) and expressed during interviews, (NON/3/180; NON/3/148<sup>8</sup>), the detachment of non participants from the collective groups and associations maybe due to their expressed desire to not wish to upset the status quo should their views be different to the collective majority.

This concern over the local community was indicated during the interviews especially with the non and individual participants who conveyed negative perceptions of and experiences with local people. This included expressing their sense of being an outsider, (NON/3/148), being rejected from the local community (NON/3/180; IND/3/191)<sup>9</sup> and avoiding any 'unpleasantness' should they decide to participate (NON/3/151)<sup>10</sup>. However, the survey findings did not demonstrate such negativity to any extent. In regards to the respondents' views on social capital and their local community, a relatively high positive opinion characterised all the participant levels in both samples (tables 83, 84, 86 & 87 pp336 to 338). The majority of respondents replied positively in terms of 'willingness to help their neighbours' (Tables 83 & 84 pp336 & 337) and in the two further examples, more than ninety percent (92.3%) of the individuals 'are concerned about their area' (Table 89 p340) and more than half of this group (53.8%) consider that their local community 'pull together to improve their area' (Table 86 p338). Yet, whilst the non participants expressed positive views on their local community, they were the least positive of the four participant levels of Sample A. Nonetheless, the positive opinions expressed by non participants and especially those of the individuals question political arguments and join academic debate (Field 2008; Halpern 2005). These debates question the premise that citizens' positive perceptions of their local community contribute to and indicate for examples, social trust and community cohesion, are evidenced through people's associations with clubs and societies (Adam and Roncevic 2003; Halpern 2005; Putnam and Goss 2002; Wuthnow 2002;) and are further associated with enhanced levels of community and particularly political participation (Field 2008). However, although positive perceptions towards the local community are indicated by the non and individual



participants, they clearly do not engage in the social space created by associations through for examples, 'clubs' and 'societies'.

Buchecker et al. (2003) argue in their research that limited or non participation is discouraged by the model and features of collective action in itself. This claim is part founded on requirements for people to conform and to pursue action as one of the majority.

This claim may equally be appropriate for the New Forest population. As discussed below, perceptions on governance indicated in the survey show marked distinctions between non and individual participants especially with the leader levels (Table 103 p353 & 354). Moreover, as emphasised above, through the community interviews, negative views and connotations were indicated towards the local community and were further associated with negative images of collective groups and of institutions' being seen as representatives of for examples '...cliques...' (NON/3/180;IND/3/191<sup>11</sup>) and 'tub-thumpers'(NON/3/153<sup>12</sup>) who were concerned with their own predetermined issues (NON/3/153<sup>13</sup>; IND/3/159<sup>14</sup>). In addition, by the complete disassociation with clubs and societies by non and individual participants as with Buchecker et al. (2003), some merit is equally given in this thesis to the claim that the model of collective action in itself is a contributory deterrent to especially non and individual participants but potentially also to the collective respondents.

However, discouragement from social integration through groups, clubs and societies may also simply relate to the time a respondent has to participate. This factor was classed as significant in the surveys findings (Table 79 p333), and as discussed above, a distinction can be made especially between the leaders indicating positive levels of time whereas the individuals and non participants indicate much lower levels of having time to get involved (Tables 77 & 78 p332). Yet, as previously introduced with the typology of participants and non participants, (see pp387 & 388) a further explanation for the detachment of especially the non and individual participants may also be associated with a person's *length of residence in the New Forest*. As with other studies on this subject, (DCLG 2006b; Parry et al. 1992; Vetter 2007) 'length of residence' is associated with the degree to which a person integrates with their community and this does affect levels of participation (Table 15 p288). This is notable when comparing the non and especially the individual participants period of residence with that of the collectives and the leader participants in both samples (Tables 12 & 13 p286) who unlike the non and individual participants, indicate their associations with groups and their memberships to clubs and societies (Table 92 & 93 p342 & 343). Through these participatory processes for community integration, increased levels of participation are argued to ensue (Buchecker et al. 2003; Lyons 2006). Furthermore, as shown through the Active Citizenship Survey 2005, increased participation is

associated with living in an affluent area, (DCLG 2006a) which, as reported in *Chapter V*, the New Forest can, in many ways, be considered as being.

Given the inaction of the non participants and limited action of the individuals, both of whom live in the Park where social capital and community integration opportunities are at least theoretically, claimed to be high (CBD 2008; Powell et al. 2002; Senior & Townsend 2005), and given that both groups, especially individuals indicate positive perceptions towards their local community, (Table 83 p336), additionally implies that as social capital is associated with collective action, that this form of action in itself is dissuading individual and non participants from participating. As discussed previously, in Buchecker et al.'s study (2003 p29) a similar claim was made whereby '...participation was mainly prevented by the persistent identification with the village community, which is connected with a pressure to adapt to collective standards...' and related to a fear of not being seen to conform to collective views.

A trend of disassociation with traditional forms of collective activities and seeking alternative ways to express a view are suggested in this study through the results and types of participation associated especially with the individual level (Buckeker et al. 2003; Debicka & Debicki ca. 2005). This phenomenon is not new and was hypothesised to have been occurring in Parry et al's work in 1992. Their study associated this change with age and to be more evident with younger people and was further considered to be associated with people's heightened concerns over values and specific cause orientated motives to participate, especially those associated with environmental issues (Parry et al. 1992). These concerns are equally evident in this study and especially in the individual category in which sixty percent of this group (59.3%) reported that environmental issues would constitute reasons for their participation (Appendix 12, Table 12.1). Further, this participant level also appears to attract, a greater number of younger respondents than at the non, collective and leader levels. However, with regard to the non participants, whilst half of this group also indicated that environmental issues would encourage their participation, unlike the individuals they tend more to an older age group.

A common justification for non participation advanced by institutions is associated with apathy, disinterest and incentives for self-interest (Hall 2002; Kelly 2001; Lyons 2006; ODPM 2002; IPPR 2004; Richardson & Connelly 2002). Claims of disinterest are supported in this thesis by the majority (87%) of this group expressing that they did not *want to get involved or were undecided* (Table 94 p345) distinguishing them from the collective and particularly the leader levels (Table 96 p346). However, with more than ninety percent (92.4%) of this group either quoting their interest to participate for community reasons or at least consideration for participating on this motive, (Table 97

p347) together with half of this group interested to participate for ‘environmental reasons’, (Appendix 12, Table 12.1) suggests that disinterest is not as significant a factor as some institutions imply.

Yet, although these non and many of the individual participants indicate their participation could be encouraged for environmental motives, (Appendix 12, Table 12.1) their actual engagement on these issues is further not expected. This claim is proposed as with the environment viewed as a public good, ‘...no single person can determine the collective decision...’ and therefore, ultimately collective action is required (Frey & Stutzer 2006 p3; McGroarty Klyza et al.2004).

Overall, key distinctions amongst the participant levels of the two samples are made in terms of their time and general interest to participate, their length of residence in the area, their forms of participation and especially in relation to their degrees of social integration or disengagement with their local community. However, an additional key distinction amongst these four levels and contributing to factors to consider in reasons for participation and non participation is highlighted in the participants’ *perceptions on government and governance*.

#### **7.4 ‘To identify what participation in local decision making means to the New Forest community’:**

People’s interpretation of their world equates to what meaning this context has for an individual which is further associated with how they perceive, in this case government, governance and their local community and area. Arising from their perceptions and the meaning that these hold for that person, their beliefs are developed and expressed in the forms of action/inaction they choose to take (James 1995 after Peirce 1878).

Such action in this thesis has been identified as primarily of four dimensions comprised of inaction, individuals expressing their views independently, as community members who have chosen to participate as part of a group or through other models of collective participation or by taking a leadership role.

The majority of the two survey samples expressed their views collectively as indicated in other studies (DCLG 2006a; Moran 2005; Parry et al. 1992). This result could simply be reflective of the main methods deployed by the institutions to engage with their communities. However, in consideration that, excluding the individual participants more than half of the respondents at each participant level

and in both samples, were over the age of 60, (Tables 4 & 5 p280), this result may equally be reflective of their generation which could be considered to be more politically active (Parry et al. 1992).

This proposition as to political activity could further be associated with the sense of duty conveyed by the respondents and through the survey findings especially of sample A, as a 'right' whatever the degree of participation or non participation shown (Tables 23 & 24 p297). Participation was also related to a 'sense of responsibility' with the level of enthusiasm towards this variable expressed in both samples according to the degree of participation with leaders emphasising this stance the most and non participants the least (Tables 26, 27 and 28 p299 & 300).

Nevertheless, what distinguishes participatory action and inaction can also be aligned to other more personal characteristics, as previously discussed, and has most frequently been researched in the past according to analysing the political choices of the electorate. However, as Parry et al. asserts '...what participants do politically is not just a matter of their social and economic circumstances (but) a matter of the particular outlooks they have about politics and the specific values they may seek to express...' (Parry et al. 1992 p172). As highlighted in previous research conducted, the more active a citizen, the more positive perception of institutions and governance does appear to be indicated (DCLG 2006a).

The relevance of these aspects on community participation in the New Forest has equally been demonstrated by the statistical validation of especially governance principles confirming their effect on degrees of participation and non participation. Further, a prominent pattern in the findings, particularly with sample A, shows that the higher levels of participation were associated with positive perceptions or less negative views of a governance or participation principle (Table 103 pp353 & 354). These findings indicate that non and individual participants tend to have a less positive perception or more negative view of a governance principle than the collectives and especially the leaders. A similar interpretation is indicated with the findings from the Mann Whitney U pair-wise comparisons and the effect sizes in which fundamentally, a distinction was indicated in views especially between those practicing weaker<sup>15</sup> forms of participation with the stronger forms of the collectives and particularly leaders. However, at all participant levels, the interviews overall conveyed a less positive stance on institutions, the local community, participatory processes, on governance and, albeit to a lesser degree, on social capital principles<sup>16</sup>.

Thus far, perceptions on institutions and governance, levels of socialisation and integration with the local community and respondents' characteristics appear to be associated or contribute to characterising

the levels of participation. However, a further key finding and contributing factor for encouraging this pattern of responses is discussed in terms of the fourth and fifth research objectives below.

## 7.5 Context and Best Practice

The fourth research objective was: *‘to investigate the context of the governance and participation opportunities established in the case study area and to examine the influences of these upon community participation’*. In order to consider the depth of engagement and quality of participation being achieved, a fifth and associated objective was included: *‘to compare and critically assess current governance and participation practice in the case study area with the guidelines and best practices recommended for protected area governance’*:

Encouragement for community participation in National Parks is evident at international and national levels through conventions, legislation and promoted through key conferences from which best practices are increasingly advocated (Graham et al. a and b 2003; IUCN 2003 a, b and c). At the local level, the outcomes of directives and guidelines are equally evident in the current NFNPA Draft Management Plan (2008) as the strategic vision created by the institutions and members of the community engaged in key participatory and decision-making processes for the New Forest (2008).

Best practices are addressed through the reporting of performance achieved, lines of accountability presented and a legal system and framework. However, as discussed further and cautioned by Kothari (2006), the quality and depth of these governance principles are considered an issue, which contributes to the negative perceptions emphasised in the survey, in the interviews on governance practiced in the New Forest and are further overtly indicated according to levels of participation or non participation.

Potentially exacerbating these negative perceptions, a democratic deficit is apparent with regard to the Executive direction of the NPA and the National Park due to the unelected posts secured (NE-VS/a/1<sup>17</sup>). Weaknesses are further deemed in terms of performance<sup>18</sup> with a lack of resources questioned by both the community<sup>19</sup> and the institutions (FC/1; NFNPA/1<sup>20</sup>) but are critically required due to the amount of consultations taking place.

Concern over the quantity of participatory opportunities has further implications in terms of accountability. Although hierarchical lines of accountability within each institution are clear, the research findings indicate wider community<sup>21</sup> concerns on three key variables that question the quality

of these lines of communication with the public and the decision-making processes. Access to information, was queried by especially the non, individuals and collective participants of both samples, (Tables 80, 81 & 82 pp334 to 335). All participant levels in both samples showed concern for the principle of 'transparency', as to how decisions are made, (Tables 32, 33 & 34 pp303 & 304). Thirdly in relation to 'knowledge as to how to participate' (Tables 71 & 73 pp 328 & 329) distinctions can clearly be made amongst the participant levels especially in sample A contrasting the responses of the non and individual participants with those of the collective and leader levels. These topics were additionally emphasised during the community interviews with concerns on and confusion created over a perceived duplication of governing layers (IND/3/683; IND/3/191; COL/2/256<sup>22</sup>) encouraged by the sheer number of institutions in the case study area, all of whom have statutory duties to engage with the community. This established governing culture ignores cautions on developing complicated participatory processes. In this context, numerous layers of bureaucracy are created (Buckingham-Hatfield & Percy 1999; Borghi & Van Berkel 2005; Graham et al. 2003b; Parker & Selman 1999 Richardson & Connelly 2002) that can result in a range of objectives to address through a wide variety of engagement methods, that could further lead to a lack of accountability over decisions made and actions agreed (Beausang 2002; Graham et al. 2003b). In addition, reflecting concerns over the UK government's controlling influences, the 'whole funding structure...' of institutions is considered to control and limit local actions and institutions' aims (COL/2/256<sup>23</sup>) which has the potential to infer a further weakened state of accountability.

Nonetheless, whilst lines of communication are considered as potentially ambiguous, the principle of *fairness* in judicial matters is at least considered (Graham et al. 2003 a and b) and includes an independent judiciary, equality before the law, legislation, and citizen rights of appeal (Graham et al. 2003a and b pvi). However, 'fairness' in decisions taken on the management of a National Park equally associates with the amount of and use of environmental legislation. Interviews with members of the key consultative forums did show perceptions of a pejorative effect of legislation on directing or deflecting the community's influence on decisions to be taken (e.g Leader 1<sup>24</sup>). This further relates to the operational aspect of 'fairness' and considerations for equitable decision making. Respondents were mainly indecisive in their views (Tables 29 & 30 p301). Nevertheless, through the establishment of the National Park and its parameters, although consultations and public inquiries were exercised, this event saw divisions created amongst the communities and the institutions concerning the National Park status and the placing of its boundary. The result of these processes has been described as a deception (LEA/2/346;LEA/2/365)<sup>25</sup>; and is considered of further influence on the negative levels of 'trust' indicated towards local government authorities.

On a more positive note, ‘fairness’ in the actual management of the National Park, does suggest that traditional knowledge is captured **to a point** as is evident in the community engagement system detailed below. This is further emphasised as of value, contributing to management decisions, by all the institutions<sup>26</sup>. However, it is pertinent to note that more than three-quarters of the respondents in each sample (78.1% sample A & 75% sample B) indicated indecision or disagreement as to how ‘fairly they viewed decisions were taken’ (Tables 29 & 30 p301).

Whilst best practice guidelines are all addressed, the key issue argued is that they have been exercised to a degree; and whilst the level of participation appears to be high, the quality of the participation and governance achieved is considered to be contentious.

## 7.6 The weakness inherent in the system

This claim associates with the Institute on Governance’s caution that the ‘...devil is ....in the detail.’ (Graham et al. 2003b p ii). This is ultimately, considered through the final two best practice principles discussed of ‘*Legitimacy and voice*’. These fundamental objectives and outcomes of governance and social capital are being met through the participatory culture publicised and by the representative culture apparent in the governmental regime. This is considered through the democratic structures developed and the institutions’ efforts to develop a community voice **predominantly** through collective action (FC/1; NFNPA/1; NFDC/1; NFNPA/2<sup>27</sup>) and an orientation to decision-making by consensus (Graham et al. 2003b;NFDC/1<sup>28</sup>).

Examples of participation are evidenced through the range of engagement processes employed by the institutions from surveys and consultations through to the formation of stakeholder groups, partnerships and the evident successes reported through engagement processes for the development of parish plans (NFDC/1; NFDC/a/2<sup>29</sup>). However, whilst positive in the amount and range of opportunities created, as presented above, both institutions and group leaders consider the sheer quantity of engagement processes, especially of consultations, to be an issue (FC/1 & NFNPA/1<sup>30</sup>; NFDC/1<sup>31</sup>; NFNPA/1<sup>32</sup>; Leader 4<sup>33</sup>). Moreover, concerns are raised by the community leaders that their inclusion should be made far earlier in decision-making processes (Leaders 3 and 4)<sup>34</sup> suggesting potentially that consultations, for example, are based on objectives devised **by** institutions as opposed to **with** communities.

In addition, working by consensus was considered by both institutions and the community as problematic. For the institutions, issues included the diversity of agendas presented and views

discussed (FC/1; NFNPA/1)<sup>35</sup> and for the community leaders, an additional concern was associated with the institutions' statutory duties perceived to have the potential to conflict with group wishes (Leader 1)<sup>36</sup>. Nonetheless, whilst every effort appears to be taken to build on '...the strong participatory culture...' historically developed in the New Forest (NFNPA 2008a p88), a *tiered community engagement process* is evident in practice. This can be further associated with the levels of participation and non participation demonstrated and ultimately, is considered to be related to public perceptions' of the institutions, the form of governance and community participation practiced and are presented as contributory reasons for participation or non participation.

### **7.6.1 Tiers of engagement: government, governance, associated perceptions and levels of influence**

The highest tier of collective action is indicated through at the least the two-way communication demonstrated through 'stakeholder groups', 'workshops' and 'forums', including the New Forest Consultative Panel, NFC Panel. As an example, the NFC Panel, which whilst open to interested members of the public, requires application for membership and as with other key forums, evidently attracts the leaders of local groups, local experts, other governing partners (NFNPA 2008c;FC/1<sup>37</sup>), and parish councillors and is led and administered by the institutions. This tier of community engagement reflects the extent and design of the UK's centralist government system that operates simultaneously behind and within governance processes (Dorey 2005; Hill 2005; Game & Wilson 2006). As such, the form of governance practiced does have the potential to deliver on top-down agendas, rather than as argued in other research and recommendations that advocates, in accordance with governance theory, (IUCN 2003 c; Long 2000), the development of agendas across the forum members (Collingwood 2007). In so saying, two way communications are evident and results are considered to have influenced the designs of the current draft National Park Plan (NFNPA 2008a).

However, the broad range of representatives infers the potential for a diverse range of views to be represented and a parity of decisions is further implied through the objectives of the National Park and commitment voiced to work with local communities and capture local community views in the Management Plan (NFNPA 2008a). Nevertheless, whilst statutory duties dictate attention is paid to social and environmental objectives (NFNPA 2008a), in practice environmental interests appear to dominate across the range of forums and an increased range of objectives are urged (Collingwood 2007). Furthermore, and influenced by the governmental context within which governance is practiced, the fullest level of collaborative management is not evidenced nor is the highest level of participation of citizen control occurring (IUCN 2003 a and b). Rather, a weak form of collaborative management and



a joint planning partnership is at best suggested (see Wight 2004). Further and to cross reference to the Scope of Participation, (Table 1 p79), a diluted level of ‘strong participation’ or ‘consultation’ (Collingwood 2007) is demonstrated at this first tier of engagement.

Yet, although a targeting and selection of community members is apparent, attendance at these forums is considered to be evidence of the interest that is shown by ‘some’ local and it is asserted, informed people. However as all institutions further indicated, this practice can also lead to consulting with the same citizens each time. This claim is further considered to associate with a disinterested wider public (NE-VSos/1;FC/1; NFDC/1<sup>38</sup>) and is felt to be an example of the general difficulties experienced in engaging with this wider community (FC/1, NE-Sos/1 & NFDC/1<sup>39</sup>). Conversely, as shown in the surveys’ findings, levels of interest for environmental reasons, key subjects of discussion at these forums, are high (Appendix 12, Tables 12.1 and 12.2) as also are those concerned with the local community (Tables 97 & 98 pp347 & 348). Whereas interest in what is basically a politically designed model of engagement are generally substantially lower (Tables 100 & 101 p349) and especially distinguish, in terms of disinterest, the non and individual participants from the collective and leader participants in sample A. Thus claims of disinterest may not be necessarily an appropriate justification for the non-attendance of these forums by the wider community.

Of further consideration, through the wider community interviews, as Buchecker et al.’s study (2003) indicated, the very act of community integration in for example, collective forums could be associated with a potential to be coercive (NON/3/180; LEA/2/267)<sup>40</sup>; a further assertion highlighted in alternative observations by Sanginga et al. (2007). This claim is particularly considered with the non, individual, and some of the collective participants members of the community. These respondents have also been shown in the survey findings to have the potential to be more inclined to use individualistic forms of engagement and as indicated in the interviews by the non and individual groupings, to avoid agreement with and adherence to collective majority pressures and effectively, convey their disengagement from collective participatory processes (NON/3/180;NON/3/151;NON/3/153; IND/3/159; & IND/3/191)<sup>41</sup>. Therefore, the forum process as a key demonstrative feature of social capital, of UK-style communitarianism, and of representative democratic regime, could in itself be perceived as inadvertently creating designs of exclusion rather than inclusion (Mwamfupe 1998; Trotter 2008) which ‘...places a limit on participation by the people.’ (Parry et al. 1992 p5).

To engage with the wider community, including non and individual participants, but also to a lesser extent, the collective and some of the leader participants of both samples, a second, bottom tier of

participation is evident. Key mechanisms used include 'surveys' and, although considered inadequate, 'consultations' (Richardson & Connelly 2002) of which the New Forest Citizen Panel is an example.

Whilst notification of these opportunities can be advertised, in comparison with the first tier of engagement, second tier engagement processes are not as widely nor energetically broadcast as they are for those members of the many forums at the higher and first tier of engagement. Assumptions are made that knowledge on an issue, of a forum or a public meeting will be notified to the wider community through, for example, the many local interest groups established and to be created in the case study area (NFNPA 2003; NFNPA 2008 a). For those who are members of such groups this could be a reasonable presumption. Yet, as previously indicated, for the non and individual participants, and some of the collectives, such mechanisms of socialisation and integration are not as attractive at these levels as they are for the leader levels. Further, as shown in the research findings, the respondents' opinions of how well their views were represented (Tables 38, 39 and 40 pp306 & 307) and levels of trust in their representatives of local institutions (Tables 59 to 67 inclusive pp320 to 325) especially with the non but also the individual participants, tended to comprise mainly of indecision and dissatisfaction. Mistrust was particularly conveyed towards local councillors, councils and MPs, who in the former two cases represent the most frequent lead institutions of influence in public meetings and with the council, on consultations. Therefore, these community views do not infer a positive expectation that many in the community are likely to turn to nor engage with their local representatives nor institutions.

In addition, the mechanisms used to engage at this level of consultations and surveys are characterised as being of one-way communication rather than the two-way dialogue advocated in best practice (Govan et al. 1998; IUCN 2003 a and b). Thus, if these methods are considered together with the potential for restricted knowledge distribution perceived by more than half of the total respondents, representing the wider community in both samples (Tables 80 & 81 p334), these two points alone could feasibly be contributing to the negative perceptions and views that are indicated particularly by the non and individual participants, but also by members of the collective groupings.

From this perspective, consultation on what could be seen to be based on predetermined objectives, ironically of some influence by the first tier of community engagement as the Kemmis & McTaggart system within the community, could further be associated by the wider community and second tier of engagement, with perceptions associated with their tokenistic engagement. This is commonly labelled in perceived disingenuous consultations (Arnstein 1969; Pimbert & Pretty 1997) that can result in

pejoratively affecting the level of public trust towards the institutions (Weldon 2004). Yet ultimately it is a key example of the rhetoric of governance that can be practiced within a centralised government regime (Dorey 2005; Game & Wilson 2006) whereby control over the public is apparent (Frederickson 2004), but through the engagement process selected, the more acceptable method of ‘...steering...’ public affairs can be deployed (Graham et al. 2003b p2; Hyden & Court 2002). These claims amount to cynicism which was clearly highlighted during the interviews (LEA/2/346 & LEA/2/365<sup>42</sup>; IND/3/140<sup>43</sup>; NON/3/151; NON/3/167<sup>44</sup>; COL/3/155<sup>45</sup>), and further emphasised in both samples through respondents’ cynicism and mixed levels of personal political efficacy. This was particularly notable with the non and individual participants and perceptions as to their level of influence in contrast with the collective and especially leader participants of both Samples A and B (esp. Tables 49, 50, 51 & 52 pp313 to 315). Such weaknesses in participatory processes have been cautioned in theory (Adger et al. 2003; Arnstein 1969; Ledwith 2005; Pimbert & Pretty 1997; Richardson & Connelly 2002), voiced by the institutions<sup>46</sup>, recognised at a national level (Lyons 2006), and acknowledged as contributing to the disengagement of the wider community.

### **7.6.2 The feasibility of attaining wider community engagement**

Whilst it is recognised that wide community engagement and influence may not always be possible (Richardson & Connelly 2002; Weldon 2004), and as expressed through the institutional interviews, can at the least be challenging to encourage and once secured, demanding to manage (FC/1; NFNPA/1; NFDC/2)<sup>47</sup>, the stance maintained in this thesis follows that of the IUCN. This leading international body emphasises the futurity of the protected area concept, and more relevantly of the National Park, has the potential to be enhanced through increasing the breadth of community engagement across the communities that constitute the wider public and by making public participation more effective. As Beierle and Cayford state through their 30 year study, ‘...involving the public not only frequently produces decisions that are responsive to public values and are substantively robust, but it also helps to resolve conflict, build trust, and education and informs the public about the environment.’ (Beirele & Cayford 2002 p74). However, the results of this research raise concerns as to whether institutions’ views, at both the local and national levels for enhanced wider community engagement is a realistic objective to attain. These concerns are associated with limitations on institutions’ resources required to encourage community participation<sup>48</sup>. Currently these resources are controlled or at least guided directly and indirectly by National Government<sup>49</sup>. Moreover, there is a potential need for an increased focus on enhancing staff skills in community engagement (Collingwood 2007) which could further be supported, by increasing guidance on the part of National Government on at the least, benchmarks as to the amount of people to participate with and advice and innovation on additional tools of engagement. .

Additionally, although advocated in best practices, widening the net of communities' views suggests that not only limited resources, but time limits to reach decisions through participatory processes may need to be extended. This infers lengthy decision processes which as highlighted by Borrini-Feyerabend (1999) for some decisions made in the environmental context, may again simply just not be feasible.

Compounding the viability of increasing engagement are the sheer numbers of organisations consulting in and on the management of the New Forest, the range of national and local government objectives to be addressed and the complexity of the lines of accountability. This creates a potentially unattractive setting for engagement and an amalgam of ambiguities not least in terms of understanding and 'keeping up' with information required to participate. (NE-VSoS/1)<sup>50</sup>. Thus, as articulated in the Lyons Inquiry (2006) and purely from an arguably less complex general context, members of the wider community in the New Forest may perhaps, inadvertently, feel further excluded from current participatory processes. Recognition for this issue was indicated during interviews with the institutions (NFNPA/1)<sup>51</sup> and is further implied in the draft National Park Plan (2008) with its actions to broaden communication links with the wider community through the creation of additional networks and enhanced support for parish planning processes. Whilst this may increase current rates of wider community participation, the views of individual and non participants may still not be captured due to the method of collective action highlighted, commonly used and yet through this research, considered to be unattractive by participants at these degrees of engagement. Nonetheless, whilst the action for engagement is based on various forms of collectives, as best practice advocates and policy and statutes<sup>52</sup> infer or demand, all key stakeholders, inclusive of local communities as a collective voice (Countryside Agency 2005b p13) and of individuals (DCLG 2008) should be engaged. To varying degrees of quantity and quality, although governmental control is evident, this criterion is being demonstrated through the two tiers of community engagement.

However, whilst the local and bordering communities are targeted (NFNPA 2008a) as a nationally designated Park, objectives to capture the views of the national community, and also the transient community of tourists are also expected (Countryside Agency 2005b; Eagles 2002; Richardson & Connelly 2002). These two communities are considered in the draft National Park Plan (2008), through a) an informing stance taken with the tourist community (NFNPA 2008a); and b) a national view considered to be represented via Secretary of State Appointees. Both mechanisms can be debated. However, should ever these communities' views actually be captured, a further complexity is considered to unfold as to how to integrate the potentially conflicting views of the tourist and national communities with those of the local and neighbouring communities aspirations for the National Park. This situation is further exacerbated through the complexities and challenges arising from 'bridging'

heterogeneous views of the national and tourist communities with the potentially rather more homogeneous traits of the local Forest communities, who can be additionally considered to be characterised of a potentially closed nature<sup>53</sup> (Coleman 2000) as is found in other forest areas (Witasari et al. 2006).

To address such concerns and develop community engagement, a degree of independence for the NPA is advocated as best practice. Whilst the Park Authority has responsibilities to act independently, its ties to National Government are unsurprisingly strong not only as the Park is viewed as of national interest and receives its funds via Defra but also because the State and its operations are considered to be centralist in character (John 2001). As such, government **of** the people, rather than **by** the people (Hyden & Court 2002) is overt. This is not to suggest a negative connotation to the management of the New Forest, however, in terms of community engagement processes, the engagement methods used are reflective of those endorsed nationally. Therefore, unlike national levels of engagement, whilst the overall number of participants is healthy, the issues arising are not unusual<sup>54</sup>.

There is in general clear recognition of some of these issues (NFNPA 2008a; IUCN 2003a, b and c) an emphasis on features of best practice to enhance both the quality and depth of engagement (Burton 2003). However, whilst ‘good’ governance is equated to community engagement and participation (Kofi Annan in UNDP/UNESCAP/ADB., [ca. 2004]. p1), nothing has been found to date that specifies just what constitutes precisely or is quantifiably universally agreed as ‘good’ governance as such its measurement is further complicated (Hyden & Court 2002). It is argued that without at the least a measurable target by which to monitor both the **number of citizens engaged** and the **level of actual political efficacy** attained, research in this area, inherently context specific and value-laden, is measured in relative terms. Furthermore, the practice of participation deployed has the clear potential to, as Ledwith (2005) argues, become a directly or inadvertently created vehicle for rhetoric.

Depending on the stance taken, this perhaps eutopic and potentially impractical vision of a democratic regime in touch with today’s society, (Burton 2003), relates to a purist form of democracy where power is held by people. For this, wider community engagement is an imperative as are opportunities created for all to have the potential to express their views, be heard and exert influence. Equally, without engagement of this sector of society, ‘...opportunities (are being) missed..’ for communication with the community on at the least nature conservation and sustainable development activities (Campbell & Vainio-Mattila 2003 p. 417).

Whilst an aspiration for a purist democracy could be ridiculed, argued on the basis that the current democratic regime simply is not suited to wide community engagement, it does ironically associate

with the UK Government's current aspirations for '...Communities in Control: Real People, Real Power...' (DCLG 2008).

### **Chapter summary**

The extent of this community power over local decision-making has been uniquely and rigorously investigated in the context of the New Forest with the ultimate goals to determine the quantity of participation in this area and investigate reasons for the degrees of participation and non participation indicated.

Results have demonstrated that a relatively high degree of participation is being indicated which is predominantly exercised through models of collective action. Both the amount and forms of participation are considered to be reflective of increasing attention and statutory imperatives for community engagement together with a broadening of National Park's purposes. Yet, equally participation is additionally suspected to be affected by the long-standing history of community engagement evidenced in this area which in turn is theoretically advocated to derive from enhanced levels of social capital commonly expected in Forest areas.

However, although the non and individual participants reside in the Park where social capital is argued to be higher, there was still a significant quarter of the respondents to the random household survey who chose not to participate in any forms of engagement with institutions. Further, individual participation was evident although in the minority, converse to hypotheses that cautioned on trends of increasing expressions of individualism in today's more informed, secular but potentially more insular societies.

On investigating reasons for the limited or disengagement of these two groups, what was clearly distinguishable with both the non and individual participants was their complete disassociation with any forms of collective action or methods for social integration with their local community. On comparing their responses to the surveys with those of the collectives and the leader participants, evident differences were found especially in relation to their characteristics and a respondent's general level of interest in participating, the time a respondent perceived they had to participate and their length of residence in the case study area. Further, as with previous research conducted (DCLG 2006; Parry et al. 1992; Vetter 2007) degrees of cynicism and of political efficacy, expressed through respondents' perceptions on the governing institutions and the governance practiced, notably emphasised patterns of responses. These were expressed with the non and individual participants tending to convey a less

positive or more negative view in comparison with the more positive opinions of the collective and leader participants. These responses are interpreted as contributing to key factors affecting levels of participation and non participation.

Nevertheless, the interview responses provided an additional interpretation to the survey findings by highlighting with all participant levels a more negative view on the institutions and their governance practices. Moreover, and unlike the surveys' findings negative views were further conveyed by the non and individual participants on the local community that fundamentally centred on feelings of rejection from or simply not feeling part of what appeared to be perceived as the collective majority and their views. As such, and as found through previous research conducted on community participation (Bucheker et al. 2003) and alternative views on the affects of social capital (e.g. Portes 1998), collective forms of participation were additionally interpreted in this thesis to have discouraging affects on the engagement of especially the non and the individual participants.

This stance on the evaluation of community participation in the New Forest has implications for not only an assessment of the institutions' adherence to best practice and recommended guidelines for encouraging broad community engagement but also on the best practices themselves. Clearly in the New Forest all of the guidelines are to varying degrees being achieved and contrasting the institutions' models of engagement with best practices, again there are comparable features with best practice and the use of the tiered engagement system practiced in the New Forest. However, as discussed through this system, the quality of governance is questioned and the very act of collective participation most used in these contexts is considered to effectively dilute the influence of communities and thus pejoratively affects national government aspirations of people power (DCLG 2008). This view ultimately considers that at the local level, collective forms of participation mirror the participatory processes most used at the national level of government supported by what is fundamentally a liberal and representative political regime, converse to what is arguably required as a far broader participatory political culture. Without more encouragement for this political environment, any aspirations for increasing the number of participants and plans to broaden the engagement of community members inclusive of those who currently do not participate or do so a limited degree are much diluted.

As further discussed in the concluding *Chapter VIII* these interpretations of the research findings hold implications for improving at the least community engagement strategies at the local, national and international levels of government. And as with other researchers, increased research on both the practice and the research of this subject is argued in the protected area, and especially, western context.

## Notes

1. As with alternative studies previously conducted (see for examples DCLG 2006; Parry et al 1992; Govan et al. 1998), discussions are informed inclusive of the frequency analyses as descriptive and comparative information on the two samples.
2. A rate of 38% of a national sample had participated in individual contact; 20% had participated in a consultation; and 9% had been involved in direct decision-making about local services or issues in a leadership role at least once in the previous 12 months (DCLG 2006a p18)
3. Chapter V, Sections: 5.1.11, 5.4.2.5, 5.4.3.1 & 5.4.3.3
4. National Park Authority
5. Chapter V, Section 5.4.2.7
6. See Chapter VI, Section: 6.4.2 – NON/3/180 & IND/3/191
7. See Chapter VI, Section: 6.4.2
8. See Chapter VI, Section 6.4.2
9. Chapter VI, Section 6.4.2
10. Chapter VI, Section 6.4.8
11. Chapter VI, Section: 6.4.2
12. Chapter VI, Section 6.4.8
13. Chapter VI, Section 6.4.8
14. Chapter VI, Section 6.4.3
15. See Table 1 and hypotheses of Arnstein (1969) and Pimbert & Pretty (1997) Chapter II, Section 2.3.4
16. See Chapter VI especially Sections: 6.4.2, 6.4.4, 6.4.5, 6.4.6, 6.4.8, 6.4.9 & 6.4.11
17. Chapter V: Section: 5.4.2.1
18. Examples: Chapter VI, Section 6.4.4 – IND/3/683; IND/3/191; COL/2/256 & COL/2/212
19. Chapter V: Sections: 5.4.3.1; 5.4.3.3 Leaders 4 & 5; 5.4.3.7 Leaders 3 & 4
20. Chapter V: Sections 5.4.2.1 concerning lack of institutions' resources; acknowledging lack of community groups' resources Section: 5.4.2.5
21. Incorporates both samples A and B
22. Chapter VI Section: 6.4.4
23. Chapter VI Section: 6.4.5
24. Chapter V, Section: 5.4.3.7
25. Chapter VI, Section 6.4.4
26. Chapter V, Sections: 5.4.2.1, 5.4.2.3 & 5.4.2.12
27. Chapter V, Section 5.4.2.4
28. Chapter V, Section 5.4.2.9
29. Chapter V Section: 5.4.2.1
30. Chapter V, Section 5.4.2.11
31. Chapter V, Section 5.4.2.1
32. Chapter V, Sections 5.4.2.1 & 5.4.2.5
33. Chapter V, Section 5.4.3.3
34. Chapter V, Section 5.4.3.3
35. See Chapter V especially Sections: 5.4.2.1, 5.4.2.5, 5.4.2.6 & 5.4.2.11
36. See Chapter V, Section: 5.4.3.1
37. Chapter V, Section: 5.4.2.4
38. Chapter V, Section 5.4.2.1
39. Chapter V, Section: 5.4.2.1
40. Chapter VI, Sections: 6.4.2 NON/3/180 & 6.4.3 LEA/2/267
41. Chapter VI, Sections: 6.4.2 NON/3/180 and IND/3/191; 6.4.3 NON/3/151; & 6.4.8 NON/3/153 and IND/3/159
42. Chapter VI Sections 6.4.4 LEA/2/346 & 6.4.8 LEA/2/365
43. Chapter VI Sections 6.4.3
44. Chapter VI, Section 6.4.4
45. Chapter VI, Sections 6.4.3 & 6.4.8
46. Chapter V, Sections: 5.4.2.3, 5.4.2.6, 5.4.2.10 & 5.4.2.11
47. Chapter V, Section: 5.4.2.1 & 5.4.2.11 - FC/1; Chapter V Section 5.4.2.6 NFDC/2; Section: 5.4.2.1 NFNPA/1
48. Chapter V, Sections: 5.4.2.1 & 5.4.2.11



49. In consideration of funds and indirectly, through institution's efforts to meet central government's devised targets and objectives.
50. Chapter V, Section 5.4.2.10
51. Chapter V, Section: 5.4.2.5
52. Aarhus Convention (UNECE 2003); CBD 2004;2008; Countryside Agency 2005b; National Park Management Plan (2008); IUCN (2003), Lyons 2006; Brundtland Report 1987
53. In consideration of the negative images on the local community as cliques for example, conveyed during the wider community interviews (See Section: 7.3)
54. See Citizenship Survey 2005 – DCLG 2006a.

## *Chapter VIII*

### *Conclusion and reflection*

#### **Introduction**

This chapter concludes this thesis by detailing the contributions its findings make to research and to the practice of community participation. The contribution to knowledge that this inquiry has made in regard to community participation in the protected area and especially a Western context is reviewed. The discussion emphasises the importance of the public's perceptions of their community, of institutions and of governance on their degrees of engagement/disengagement and the influence of institutions' models of engagement on these perceptions. In so doing, the collective action associated with social capital and the dual practice of government and governance are further discussed as to their potential for constraining broad and influential community participation which has implications for the design and implementation of additional and/or alternative engagement strategies. In the wider context, and in consideration of international best practices and in the UK, national policies, questions are raised as to how much community engagement and influence can in practice actually be achieved given the traditional democratic regime established.

The wider implications of these findings importantly recognise that participatory principles are not necessarily conducive to being implemented in a liberal democracy informed by representative and pluralistic political principles. Yet, accepting the status quo, a need to develop research in this subject and context is emphasised not only in order to improve institutions' practice of community engagement but equally hold a potential for increasing the quality and breadth of community engagement. Without progress in these areas, current participatory practices may continue to be perceived as disingenuous.

Subsequently, the limitations of this thesis' findings are presented from which personal reflections on the development of this thesis are detailed as guidance on researching this subject. Finally, suggestions for future areas and subjects of research are proposed.

#### **8.1 Contribution to research, practice and knowledge**

Through this original examination on the full range of participation and non participation in the context of the New Forest National Park, the complexity of operating the theoretical and value-laden principles of governance and social capital have been uniquely demonstrated in a European protected area and

specifically National Park context in southern England. To achieve this, three research tools needed to be developed:

- \* the adaptation of Arnstein's 'Ladder of Participation' (1969) to include individual and non participation;

- \*through the synthesis of more developed research from socio-political science with the limited investigations in the protected area context, the development of the Database of Indicative Principles;

- \*and with the MaGSPiN assessment, a structure for this research has been designed to guide this inquiry of the inherently amoebic concept of community engagement from both the 'top-down' and the 'bottom-up'.

With these structures, an overarching framework for the collection of contextual knowledge is provided. In addition, whilst generalisation from case study research is debated, as the macro context for all English National Parks is very similar, it is deemed that the research framework created is transferable to other locations. Without such a framework and an investigation of this subject across the range of participation and non participation, it is difficult to conceive how any strategy aimed for what has become extensively reported aspirations for wider community engagement, so as to achieve at the least, protected area objectives, could be devised and best practice principles be applied.

As such, there are a number of advantages derived from this research which contribute to the practical application of community participation and thus can support institutions' statutory duties to engage and improve their engagement with local communities. These range from the snapshot review as to just how many local people are participating but importantly extend further to examining why local people do or do not participate. Clearly there are effects on their participation rates influenced by their 'level of education' and the 'length of time that the person has been resident in the area'. However, there are other key attributes that affect participation rates such as 'level of influence' and 'trust shown towards institutions' which are in turn influenced by the forms of participation and governance practiced by the governing institutions. Through knowledge in these areas, an opportunity is created for the local institutions to enhance their community engagement strategies, and provide evidence required to potentially fund research into the design of alternative participatory processes, provided, as highlighted in the institutional interviews, all-important resources allow.

The findings from this research have also importantly contributed to knowledge in the subject of community participation in the protected area and Western context. Extensive research on governance and social capital is evident in the socio-political environment and in relation to protected areas there are numerous case-specific debates in the literature. However, the research conducted to date on governance and social capital does not appear to have considered the unique environments which

characterise protected areas. Moreover, the vast majority of case studies available in the protected area context provide limited information either due to their research design or their attention paid to locations in less developed countries. Given that community participation is context-specific, that the very nature of a protected environment is unique in itself, and that the historic, political and economic drivers for community participation in the West are different to those in developing or less developed countries, warrants that research in this western context is conducted. The longstanding liberal and representative democracies and establishment of protected areas in the West and especially UK context, provides for a suitable context to assess just how much community participation can in fact be actually achieved. The UK context is further notable whereby since 2000, community participation has been statutorily endorsed in the development and implementation of policies devised at the local level of government. Thus, this investigation addressed each of these points in the UK context. In so doing, the research findings uniquely investigate theoretical debates that promote the use of governance principles and the power of social capital to encourage community engagement in local decision-making practices in the New Forest National Park.

The result has been that the characteristics and reasons for community action or inaction in the original context of the New Forest National Park have been importantly distinguished. This has identified a number of differences especially amongst the non and individual participants with the collective and leader participants. Overall these differences demonstrate that the greater the level of participation, the greater the positive perception or less negative view towards governance and institutions can be shown. These differences are particularly distinguishable amongst those who do participate collectively compared to those who do not or who do so independent of any collective groups or associations. What was further deduced from these findings and especially from the interviews related to the non and individual participants were concerns over being ostracized from their community should they not agree/conform to the collective views. The implication of these findings is that collective action as a key social capital and governance feature has the potential to be a deterrent in itself as equally deduced in other studies conducted in alternative contexts (Buchecker et al. 2003; Coleman 2000; Portes 1998).

However, as additionally demonstrated in other contexts, and reflective of community engagement processes practiced nationally, collective action dominates the forms of participation deployed in the New Forest through a tiered engagement process. The first tier practices collective action in the forms of consultative meetings, partnerships and stakeholder groups/workshops. Thus again it is not envisaged to attract those from the wider community and especially those from the non and individual groupings. The bottom tier uses weak forms of engagement that have the real potential to dilute the public's levels of influence should they in fact be encouraged to participate, given a key vehicle to advertise any consultation for example, is through community groups and networks. Both of these

engagement processes are demonstrated in the research findings not to be used by the non and individual participants. It is equally evident, in this tiered process that both government and governance operate in tandem: the institutions direct the governance practiced advancing a traditionally patriarchal stance on protected area management. Thus they select the participatory processes and manage the collation, analysis and interpretation of participants' views received which do not necessarily need to be considered in any decisions taken (Leaders 1, 7 & 8<sup>1</sup>; F/C1, NFDC/1 & NFDC/2<sup>2</sup>) largely due to decisions weighted towards environmental prerogatives. The implication of government control is that in effect, it constrains to varying degrees, the quality and depth of participation, of governance and ultimately of influence that can be exercised by participants at both levels of engagement. In turn, and as demonstrated in this research, these varying degrees of engagement and influence are further associated with the perceptions on governance and on the institutions indicated in the range of participation and non participation levels. Thus should wider community engagement be genuinely an institutional aspiration, these findings imply that alternative forms of engagement need to be devised to encourage those members of the community who are fundamentally 'anti' participating through collective participatory processes. Moreover, where participation is secured, to avoid labels of rhetoric, to minimise the risk of cynicism and further reduction of the public's perceived levels of political efficacy, a greater level of influence needs to be provided to the public than is currently demonstrated.

However, although the aspirations for community participation in the UK are evident, the principles for community participation require a political regime which is founded on a participatory democracy and '...the direct, unmediated and continuous participation of citizens in the task of government.' (Heywood 2000 p126). In the UK, this is clearly not the case as although direct participation is promoted (DCLG 2008), the traditional political structure is based on a representative democracy which is considered to conflict with the aims and fullest potential for community participation in decision-making practices. As such, the stance taken from this research is that inherent weaknesses of operating participatory democratic principles in what is fundamentally a representative and pluralist democracy are apparent. This view further raises fundamental concerns over the lack of independence of an NPA, the national practice of predominantly collective action and put simply, concerns over the sheer amount of institutions involved in and therefore objectives to be addressed with protected area governance. As such, the participatory practices used are considered to create exclusive rather than inclusive networks which in today's more individualistic society, could be considered to be outdated and unattractive to the wider community.

## 8.2 Wider implications of this inquiry

The concerns raised in this case study should not purely be associated with the New Forest. Rather the origins of these issues are considered to derive from gaps in existing research and as discussed above, equally are associated with the far wider context of fundamentally politics, in which there is an incompatibility for liberal, participatory and representative democracies to be practiced simultaneously. National government policies and current best practices in protected area governance prescribe the principles for encouraging and advantages of community participation yet, do not extend to more quantifiable principles, benchmarks or a commonly agreed set of definitions. Although challenging, on establishing these key features, a potential is created to: monitor and progress institutions' activities for community engagement so as to measure effective governance; monitor levels of social capital and indications of individualisation in order to create a potential to enhance support for and encouragement of community collective and individual action; and ultimately, to work towards defining just what constitutes 'effective' community participation and the 'wider community' to be involved. Whilst acknowledging that these fundamental elements of applied research will be affected by context, progress on these features may not only encourage a greater amount of participation but also potentially, deepen the quality of participation practiced by government institutions and demonstrated in the protected area context. However, this progress demands more case and context specific research of, it is argued, both a quantifiable *and* qualitative approach. This claim is founded through the results of this New Forest case study, which has shown that whilst best practices and principles are upheld, concerns are raised. These are due to the evident tiered engagement process, its segregation of citizens and the implications of these concerns for increasing community engagement and for the quality and efficiency of participation processes and tools used. This criticism is particularly associated with wider community engagement and is considered an infrastructural key weakness that is masked by the overall rate of participation in the case study area.

Ultimately therefore, an irony is emphasised with prescriptions for wider community engagement, which is ultimately considered in the protected area context, to safeguard the future of these areas, yet in reality, and potentially compounded by a lack of research in this context, the community engagement practiced is considered to be based on exclusive practices. The fallibility of current strategies is highlighted, and cynicism towards best practices and the realms of supporting documents on aspirations for wider community engagement is encouraged. Thus, this view joins with existing demands in the UK, for greater independence of local authorities and for encouraging institutional innovations required to create alternative and/or potentially additional opportunities.

Through this it is hoped that current levels and the quality of community engagement can be increased and equally broadened so as to drive forward more genuinely perceived aims to capture the views of the wider community.

Thus, a far broader contribution of this research inquiry is emphasised, as by Graham et al. (2003b p40) who, on behalf of the Institution on Governance, equally urges that ‘...much more research is required. We need to know about what has worked and not worked and why...’ This study contributes to this demand and adds deeper and quantifiable substance to many of the discussions held in protected area governance and the inferences made as to levels of and reasons for civic participation. The IUCN views such research as crucial to achieve protected area targets set for 2013 (IUCN 2003 a and b), and through the development of context-specific, single case studies in protected area governance and ultimately civic participation, opportunities are created for the comparative research advocated (Burton 2003; Stoker 2006). From these, lessons can be learned and guidelines enhanced to address designs for a form of ‘New Localism’ (Stoker 2006 p24) with greater independence and resources for the local authorities as the key shapers of community engagement.

Without this advancement and a practical, genuine accommodation for the breadth of citizens’ preferences to participate so as to address concerns of democratic legitimacy and democratic deficiency, current methods and aims of community engagement may continue to be perceived as rhetoric and tokenistic. This is particularly paradoxical as action purported to encourage community participation is being staged on a well-publicised, although potentially spun, backdrop of a eutopic democracy informed by ‘...communities in control...’ in a fundamentally representative democracy which is informed by prescribed principles of a participatory democracy (DCLG 2008). Further and specifically in the protected area context, community engagement and protected area governance are key areas for action to be taken. However, as Coulson questions in the UK context can local authorities ‘...deliver all that is now expected of them?’ (Coulson 2007p1). Furthermore, as Stoker reports (Stoker 2004 p4), new paradigms require ‘change’ which can be resisted by institutions, slow to occur or simply viewed as a ‘...mission impossible...’.

But equally are the community willing and able to participate? Well certainly, in the case of the New Forest, with both samples, a general interest to participate is indicated by especially the collective and the leader levels (e.g. Tables 94, 95 and 96 pp345 & 346), the majority of both samples is interested at the least in their local area (tables 89 & 90 p340), and current societies are better informed and more able to contribute to, as Godwin envisaged (1793), a more self-reliant, or at least empowered society. This is a claim which is equally promoted through governmental prescriptive visions for civic participation (DCLG 2008). Furthermore, in the National Park context, as discussed in *Chapter III*,

stocks of social, environmental and economic capitals associated particularly with rural environments, are particularly evident, interests are indicated as motives to participate and bridges of communication are being developed between the State and the communities to suggest opportunities for equitable decision-making and collaborative management of in this study, a National Park. Whilst these enhanced features of participation could suggest the existence of a highly participatory and influential society, this cannot be claimed. This view further associates with questioning the extent to which the participatory democracy advocated by the UK government genuinely aims to target the wider community. Nevertheless, this aspiration continues to be prescribed and was outlined to be addressed with new duties planned to take effect in the UK from April 2009, to ‘...promote democracy...’ and ‘...to involve local people in key decisions...’. However, the predominant collective participation model is still, perhaps unsurprisingly, overt (DCLG 2008). Based on the results of this study, this gives rise, to concerns over continued weaknesses of the UK participatory/representative forms of governance and community engagement. As such, with a potential for tension between participatory and representative democracies (Parry et al. 1992), perhaps this is just one bridge of communication, decentralisation and action too far in the UK and specifically, in protected area contexts.

### **8.3 Limitations of the research**

Extensive consideration has been given to limitations on this research throughout this study that need to be considered in the interpretations provided and discussions presented. Firstly, whilst some of the issues conveyed as to governance could at the macro level, be considered to be of some relevance in other English National Parks, the research is fundamentally concerned with the New Forest. This is a virtue in governance studies but is particularly emphasised in terms of the micro context in which, governance, social capital and participation are interdependent and further influenced by local features and their effects on the community’s way of life. As such, whilst results at the local level may prove to be similar in research conducted in other like areas, the research findings cannot be extrapolated to other protected areas.

Further, this investigation has faithfully followed research imperatives for context and thus, literature in the domain of protected areas was exhaustively examined. However, due to limited research in this context, comparative discussions have been informed by comparing this thesis’ findings with those of research previously conducted in alternative and more general contexts.



The comparative discussion developed on participant characteristics was predominantly taken from research conducted in 1992 and developed with more recent reviews from 2005 to 2007. In consideration that context is important and includes temporal influences, this could be considered a limitation however, the selection of this data was based on the congruence of the previous approaches taken, the subjects of focus with those of this study and the robustness of research in these inquiries.

Nevertheless, with both the general and the protected area literature, definitions on, for example, just the levels of participation used as key features of this inquiry, tended to differ. Furthermore, findings from previous research examined and debates reviewed, especially in terms of the social capital concept and contributory reasons for engagement, tended to portray ambiguous interpretations. As such, what could be seen as relatively arbitrary decisions made, on for examples, the categorisation of the four participant levels and in how they were defined, were in fact informed judgements based on decisions taken on balance of the full investigation of research previously conducted and the range of literature reviewed. This further implies that the subject of community participation itself contributes to a limitation on the research. But as with other views on research in this subject, the imperative for progress in the development of community participation as an integrated study of both institutions and of the community has been of equal concern to the research design.

Due to the lower amount of survey responses with the non and individual participants of sample A, this result was the source of much discussion and could have been affected by the use of the survey itself and the potential that this tool of engagement could deter non and individual participants from taking part in this research. To enhance the findings on these two groups, the interviews conducted resulted in further and much deeper information.

A thematic analysis of the interviews was conducted, from which the findings were cross referenced to the Database of Indicative Principles and interpreted in consideration of survey results, other research conducted and further discussed in consideration of theories and best practices advocated. A similar analytical process was used with the government documents and policies examined. Whilst these documents were useful and integral to this study, they could feasibly be considered to be politically influenced, potentially superficial and therefore of limited use. However, all information taken from these sources was verified with the theories, literature and other case studies reviewed.

The interpretation of the findings could be considered a weakness due to a potential for these to be affected by the researcher's perspective taken as to an imperative for community engagement in the protected area context. However, the mixed methods approach, thematic analysis of qualitative data and the quantitative tools used reduced concerns over bias. Moreover, at each stage of the primary research, results, derived from both the surveys and the interviews, were comparatively compared, additionally compared with alternative and previous research conducted, and cross-referenced to theoretical debates. As such the process of triangulation was used.

The validity of this research was increased through the positivist dimension included in the methodological approach taken to this research, the use of hypotheses, and the development of analytical tools based on theory that were endorsed through previous research conducted (DCLG 2006a; Parry et al. 1992; World Bank 2008). Moreover, additional concerns of bias were reduced by the use of randomised postal questionnaires and quantified through the use of Likert scales. In addition, endorsement for the content of these forms and the interview schedules came from a psychologist and specialist in the field of political governance, the NFDC governance team, the NFDC Executive and the views of the community group leaders.

However, the questionnaire was not quantitatively validated, nor was it tested for its stability or its internal reliability. This was due to two main reasons. Firstly the practicality of quantitatively assessing social capital and governance has been frequently debated and there is no universal agreement as yet as to even the definition of governance (Hyden & Court 2002; Krishna & Schrader 1999; Roberts & Roche ca. 2001). But secondly and perhaps even more importantly, the view taken in this thesis is that there can be several interpretations on '...social reality...' (in this case on community participation) and as such, '...the acceptability...' of the research in terms of how credible it is '...determines its acceptability to others...' (Bryman 2004 p275). This perspective considers that complete objectivity is not possible in social research (Holloway & Wheeler 2010), that perceptions can be numerous and ultimately, each perception has the potential to influence participation (Parry et al. 1992) and further these perceptions represent the meaning participation has for a person (Kelly 2001). These considerations created implications for the way in which the surveys were validated and following much debate, finally, questions were adopted from previous credible, appropriate and comparable research conducted and a qualitative validation of the survey design was progressed (See *Chapter IV*, Section 4.3.32 pp 198 to 200). This qualitative stance supported the provision of the causal explanations for the perceptions on participation reported by the research participants. It further

contributed to the examination of the participant levels identified and finally the interpretation of what meaning participation had for those researched.

#### **8.4 Reflections on the development of the thesis**

The approach taken to the development of this thesis has essentially been as multifaceted as the concept of community participation itself. This amoebic concept and its constituent parts are immersed in equivocal and often contradictory literature, appearing to initially challenge definition and measurable criteria and seeming to be incapable of being subject to a fully unambiguous enquiry. To address these challenges, research certainly in the protected context, needs to develop. Further, as universally agreed<sup>3</sup> more research is urged in original contexts, on original ideas and to progress knowledge, emphasising context specifics and their affect on community engagement, it is as such, advocated that research requires an approach of relative measures.

Therefore, and consistently heeding emphasis on context specifics, the research design used, data analysis and its interpretation needed to be guided by analytical frameworks developed from a synthesis of the literature.

In full recognition of these concerns means that the research design, and even definitions used, needed to be the result of decisions made on a cautionary principle; and informed on balance of the diverse and ambiguous views portrayed in the literature reviewed. A key action founded on this principle, guided the decision in this thesis to use two samples, one of a random household selection and the second, to include a known group of participants. The latter of which was informed by concern, derived from the literature, that there could be less rather than more participation indicated in the case study area.

Further, to address at the least, the ambiguous nature of the research subject, a mixed methods approach, is advocated. Through the quantitative dimension incorporated an opportunity was created to minimise concerns over at the least, credibility of the research as far as reasonably practical and captured the breadth of views required. But equally, as shown in this thesis, the qualitative components added an additional dimension to the research, resulting in findings that would not otherwise have been captured and that enhanced the interpretations and conclusions made.

This methodological approach additionally provided an opportunity to test features of community participation that were derived from several ideologies and additionally isolated by Kemmis & McTaggart's (2000 after Habermas 1981) principles of the 'system' and the 'ordinary people'.

Adhering to emphases on context *and* practice, recognising the order that can be achieved through participatory structures and importantly acknowledging the value and diversity of meanings and perceptions on the behaviour of participants, the approach adopted and the pragmatic view taken resulted in the breadth and quality of data obtained. Indeed the analysis, synthesis and interpretation of the sheer amount of primary and secondary data collected were challenging in themselves. However, this approach enabled conclusions to be drawn and a contribution to be made to research of governance and community engagement in the protected area context.

The completion of this thesis also sees the end to many personal challenges I have encountered. However, it further introduces the continuing and heightened development of my interest and career in this subject as both a researcher and a practitioner. Working in this field, whilst completing the PhD, has I believe, enhanced my understanding for many of the issues, challenges and risks to be taken not only in community engagement but equally, in terms of researching this subject. Nevertheless, by completing this inquiry, my attention can now be importantly drawn to disseminating this thesis' findings by publishing key features of this inquiry. As such, it is hoped that not only further research maybe encouraged but also a potential created to apply the research design and ultimately, consider its recommendations in other National Parks and potentially in other protected areas.

## **8.5 Suggestions for further research**

Further investigation on 'personality characteristics' and 'levels of socialisation' as effects on participation are areas of additional interest. However, a key limitation on this research derived from the lack of defining just what constitutes 'good' governance and 'good' community participation compounded by a lack of measurement other than adherence to principles and guidelines. Stoker highlights that whilst this objective could seem to be untenable, institutional designs can be enhanced (2004) and comparative strategies should be welcomed (2006). With this in mind, and dependant on personal perspectives of democracy, it is suggested that the National Park environment, associated with stocks of social and environmental capital, could prove to be an ideal testing ground for the minimum standard or benchmark of engagement in community participation warranted. In addition, whilst a context specific study is still very much advocated, a comparative study with England's oldest national park, the Peak District, could prove to be advantageous in furthering knowledge in the progress of community engagement and disengagement made in National Parks in England. Furthermore, and with the research framework created through this thesis, due to the dynamic characteristics of

governance, social capital and politics and an inherent complexity of uncertainty, this subject and context lends itself to considerations of a longitudinal study.

An alternative inquiry, additionally informed by research on perceptions of the value of protected areas, is taken on questioning whether the designation of a protected area affects levels of participation. In the UK context, therefore, a comparative study is suggested in for example, Areas of Outstanding Natural Beauty or in terms of the levels of community participation that could be encouraged with local communities who reside adjacent to smaller protected areas such as Local Nature Reserves, (LNR) Sites of Nature Conservation Importance (SNCI), Sites of Special Scientific Interest (SSSI) or as found in Hampshire and Dorset, protected heathland sites.

Finally, the results derived from the non and individual categories have proved to be especially interesting in comparison with those of the collective and especially the leader levels in both samples. In consideration of debates as to a growth in individualisation, a potential aversion to collective action and calls for alternative participatory practices, more research specifically on limited participation and inaction, is needed. This could also be considered as the precursor to further inquiries required with a view to creating innovative, effective outreach programmes targeted at the wider community, inclusive of the non and individual participant levels.

## **Chapter summary**

This concluding chapter results from the key findings, discussions, proposals and claims made in *Chapter VII* from which herein, the thesis' key contributions to research, to practice and to knowledge have been discussed in the context of the New Forest. Subsequently, and acknowledging the influence of the democratic regime on the practice of participation, debates raised are importantly considered in the wider political context of the UK and progressed further in terms of the ramifications of the findings for the implementation of internationally advocated best practices for community engagement and governance in protected areas.

As presented in the discussions as to the limitations of this research and in personal reflections on the development of this thesis, community participation is complex both to practice and to research. This complexity is compounded by the well recognised weaknesses in the core principles of researching governance and social capital and equally due to the inherently political nature of community engagement. In this context, a paradox is clearly evident in terms of what is statutorily endorsed in contrast to what can actually be achieved by not only the local governing authorities but also by the

communities in terms of the level of influence participants can actually exert. Further, due to the collective model of participation most practiced, there is evidence to suggest that broad community engagement is an aspiration with little substance.

However, although the full realisation for the potential of community engagement may not have been realised, its importance is strongly advocated in protected area governance in the pursuit of supporting and enhancing the management of these areas, on progressing social and economic development in these locations and fundamentally as an ethical and democratic right of a citizen. As such, further research is encouraged and considered to be additionally enlightening where conducted in alternative protected area contexts. Thus, as with other researchers and authors on this subject, community engagement continues to be advocated with the caveat that greater influence, alternative and/or additional participatory methods are required for which more research of both a quantifiable and qualitative nature is strongly urged in protected areas, but especially in the west where detailed inquiries have previously been sparse and limited in their results.

## Notes

1. Chapter V: Sections: 5.4.3.1 & 5.4.3.2
2. Chapter V: Section: 5.4.2.6
3. Beirle & Cayford 2002; Burton 2003; Graham et al. 2003b; IUCN 2003 a & b – outcomes of the World Park Congress; Lockwood et al. 2006; Lynn et al. 2001; Roberts & Roche ca. 2001; Stoker 2006

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## *Appendices*

### **Content of the Appendices**

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## Appendix 1

### Database of indicative principles (DoIP)

Themes	Sub themes	Research tool:		
		MaGSPiN		Source for information/data
Context for community participation	Inclusive of history of community & institutional relations; culture (political and social); legislative framework (Rule of Law); political 'will' towards community engagement	Micro and Macro Contexts of influence on the New Forest National Park		<i>Secondary sources</i> inclusive of: protected area specific and New Forest National Park literature; government documentation; International Conventions, Agreements and Directives; Previous research conducted <i>Primary research:</i> Interviews Community group leaders, Wider community and institutions
		Survey – variables & statements	Interview- Topics	Source
Governance	Participation in decision-making – approach, process and consensus; legitimacy of the state	Amount, degrees and intensity of participation	Degree of participation Views on participation	Community group leaders; Wider community
		Methods of participation	Methods of participation	Community group leaders; Wider community; Institutions Secondary sources
		Meaning of participation for the respondents: motives and interests to participate	Reasons for non participation or participation; Experience of participation  Institutions views on reasons for public participation (actual and perceived barriers to participate)	Community group leaders; Wider community; Institutions.  Institutions

Governance	Democratic Regime	'Participation is a <i>right</i> '	Views on government and participation	Community group leaders; Wider community
	A responsible public	'Participation is a responsibility'	Views on government and participation	
	Equity & Fairness	'I believe that decisions are made fairly'	Views on government and participation	Community group leaders; Wider community Institutions
	Transparency	'I believe that decisions are made in an open way'	Views on government and participation	Community group leaders; Wider community; Institutions; Secondary sources
	Efficiency – organisational and community engagement performance (e.g. sharing of knowledge derived from consultations)	'I believe that practical solutions are found to local problems'	Views on participation and local institutions	Community group leaders; Wider community Institutions; Secondary sources
	Representation of views (cynicism)	'I believe my views are well represented'	Views on institutions	Community group leaders; Wider community; Institutions.
		'Decisions made on my behalf are acceptable to me'	Views on institutions	Community group leaders; Wider community
		'I believe that community leaders understand local issues'	Views on institutions	
	Level of influence (Political efficacy & cynicism)	'I believe I can make a difference'	Views on government, institutions and participatory outcomes	Community group leaders; Wider community; Institutions
		'I can influence decisions'	Views on government, institutions and participatory outcomes	
		'The council want to know what people think'	Views on government, institutions and participatory	Community group leaders; Wider community; Institutions;

			outcomes	Secondary sources
		'The council and government agencies want people to participate'	Views on government, institutions and participatory outcomes	
	Participatory processes and tools for the community to be able to participate	Types of participation offered by institutions; breadth of responses targeted.	Views on processes and opportunities to participate	Community group leaders ; Wider community; Institutions Secondary sources
Governance	Trust: (political efficacy and cynicism)	'I trust my local councillor(s)	Views on government, institutions and participatory outcomes	Community group leaders ; Wider community; Institutions Secondary sources
		'I trust my local MP'	Views on government, institutions and participatory outcomes	
		'I trust my local council'	Views on government, institutions and participatory outcomes	
		'I trust local government departments and public bodies'	Views on government, institutions and participatory outcomes	
		'I trust traditional Forest organisations'	Views on government, institutions and participatory outcomes	
	Freedom of speech and association (Democratic regime)	'I feel comfortable to express my views and concerns'	Views on government, institutions and the local community	Community group leaders; Wider community
	Capability - empowerment	'I know how to get involved'	Sources of knowledge	Community group leaders; Wider community
		'I feel able to get involved'	Actual and perceived barriers to participate	
		'I have the time to get involved'	Actual and perceived barriers to participate	
	Access to information	'I have enough information to	Views on access to information; Sources	Community group leaders; Wider

		get involved'	of knowledge	community; Institutions Secondary sources
	Decentralisation	Location of decisions being made i.e. institutions or public or both? - Broad community participation – amount and degrees of participation	Views on participation and level of influence  Autonomy in and resources for the running of institutions/groups and their objectives; and in relation to activities required for community engagement	Community group leaders ; Wider community; Secondary sources  Institutions; Secondary sources
	Accountability		Views on transparency, knowledge of whom to contact; accountability of the institutions, the efficiency of their decisions and problem solving.	Community group leaders ; Wider community; Secondary sources Institutions
	Legitimacy of the state – acceptable by the people	All variables, especially the amount and types of participation demonstrated	Views on government , participation and representation	Community group leaders; Wider community; Secondary sources
	Bottom-up structures encouraged and developed		Methods of engagement used by institutions	Secondary sources Institutions
	Attitude of political leaders to community participation	'The council and government agencies want to know what people think; 'The council and government agencies want people to participate'	Views on government, participation and representation	Community group leaders; Wider community Secondary sources Institutions
	Culture	All variables	Views on government 'It is probably fair to say that in Britain we do not have a culture	Community group leaders; Wider community Secondary sources Institutions

			naturally inclined towards political participation (DCLG 2006 c p11)	
	Conventions and Rights			Secondary sources
Social capital - key features	Reprocity, mutual trust and tolerance of each other	'People in this area are willing to help their neighbours'	Views on local community	Community group leaders; Wider community Secondary sources Institutions
		'People in this area pull together to improve the area	Views on local community	
		'People from different backgrounds get on well together'	Views on local community	
		'People in this area share the same values'	Views on local community	
	Concern for locality	'I am concerned about things in my area'		Community group leaders; Wider community Institutions
	Social trust	'People in this area can be trusted'	Views on local community ; thoughts on society today compared to the past	Community group leaders; Wider community
Social integration	Networks and associations	Amount, degrees and types of participation (especially clubs and societies)	Views on participation; social networking	Community group leaders; Wider community Secondary sources
Interests and potential motivations		'I want to be involved'	Reasons for participation/non participation – What would discourage/encourage you to participate?	Community group leaders; Wider community Institutions
		Specific motives	Environmental value of the area as motive for participation	



Characteristics of the sample	Age Education Employment Self-confidence length of residence	Age Education Employment Self-confidence length of residence		
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## Appendix 2: Topic guide – Exploratory community group leader interviews

### Reasons for the participation/non participation of local communities in local decision-making

<b>Date of interview:</b>				
<b>Name:</b>			<b>Code:</b>	
<b>Resident in New Forest/Parish:</b>				
<b>Age Band:</b>				
<b>18-29</b>	<b>30-39</b>	<b>40-49</b>	<b>50-59</b>	<b>60+</b>

<b>Community group represented and position held</b>
<b>Brief summary of responsibilities and experience in participation processes (current and previous*)</b>

#### *Group/history and background*

<i>Aim of group and brief history</i>
<i>Group structure – national affiliations/funding/socio-political context?</i>
<i>Decision-making processes within group – methods/ representation/constitution</i>
<i>Membership:</i>
<i>Increase/decrease/stabilisation of members – comparison with the past? Future aspirations and activities?</i>
<i>Reasons for differences – opportunities/obstacles/difficulties/influences on ?</i>
<i>Recruitment of members from the community (active or passive?)</i>
<i>Targeted audiences?</i>
<i>Membership criteria?</i>
<i>How would you characterise those who do participate and those who don't?</i>
<i>Access to information for members/ for the public?</i>
<i>Capability of the group to participate: resources/skills/support received?</i>

#### *Views on governance and participation opportunities created*

<i>What does community participation mean for your group? Respondent's interpretation of 'community'</i>
<i>Reasons/objectives for participation</i>
<i>Decision-making processes with institutions-history/methods/topics/key events</i>

<i>Who most commonly liaise with?</i>
<i>Views on opportunities to participate – advantages/disadvantages/ opportunities/obstacles?</i>
<i>How compares with the past?</i>
<i>Access to information/ amount/types</i>
<i>Level of influence experienced/perceived/wanted by group/ encouraged by institutions?</i>
<i>Where, by whom and how are decisions actually made? How transparent are these decision-making processes?</i>
<i>Views on institutions: Trust/mistrust? Willingness to communicate? Views on approach, process and ‘consensus’. Perception as to how much the group’s involvement is encouraged? Management of the National Park? Views on National Govt./ views on public’s inclination towards political participation</i>
<i>Accountability of institutions/decisions</i>
<i>How capable do you feel institutions are to be able to engage with communities?</i>
<i>Equitable level of balance to decisions being reached – how decisions being made?</i>
<i>Freedom of speech and association</i>
<i>Influences on participation? (Environmental value of area)</i>
<i>Views on outcomes/results achieved through taking part in participatory processes</i>
<i>*How does your experience in the new Forest compare with previous experiences in alternative areas?</i>
<i>How could difficulties be overcome/opportunities be enhanced?</i>
<i>Capability of community group to participate</i>
<i>How feasible do you think it is to increase the amount of people participating in the new Forest?</i>

**Close**

<i>Assistance at a later date?</i>
<i>Contact by: phone/email/letter</i>
<i>Permission to use transcript – withdrawal of information – DP Act</i>
<i>Contact to verify the transcripts and reporting of information in thesis</i>
<i>Personal contact number of researcher:</i>
<i>Timeframe:</i>

**Appendix 3:****Sample copies of email invitation for interview sent to community group leaders****Sample A:****From:** DnsHewlett@aol.com**Sent:** 05 March 2007 21:56**To:****Subject:** PhD in community participation

Good morning,

I am currently conducting research for a PhD in local community involvement in local decision making in National Parks: Case Area- New Forest. The focus of this work is concerned with the degree to which the public want to be involved in making decisions in their area which could/do influence policy or strategic development (i.e. demonstrated in consultation processes). As part of this work, the research necessitates contact with groups who are involved in decision making processes currently. Although highly important to many communities and projects taking place in the New Forest, this study does not include a focus on people being involved in hands on work such as volunteering.

With this in mind, I attended the New Forest Consultative Panel meeting last week, and noticed your name as a representative of the 'x'. Bearing this in mind, would you be available and interested to meet with me as part of the research? The interview would last approximately 45 minutes. Due to a deadline set for a subsequent stage of the research, I would be grateful if you could respond by ..... if at all possible.

May I take this opportunity to thank you for your consideration of this request and I look forward to hearing from you in the near future either by return of this email or by contacting me on 07966370866.

Kindest regards

Denise (Hewlett)      BA Hons; MSc. Dist.

**Sample B:**  
**From:** DnsHewlett@aol.com  
**Sent:** 05 March 2007 9:24  
**To:**  
**Subject:** PhD in community participation

Hello (forename)

It was a pleasure to meet with you, your friends and colleagues last week.

As discussed I am currently in the process of conducting primary research as to community involvement in local decision making in protected areas. This is requiring that I conduct research interviews with key representatives of organisations such as x amongst others. This should only take approximately 45 minutes.

With this in mind and your agreement to being part of this research, I would be grateful if we could arrange a time which is suitable for yourself. Due to a deadline to meet a second stage of the research, I would be most grateful if this appointment could be scheduled over the coming two weeks if at all possible?

Could I respectfully therefore, ask you to respond either via this email address or my mobile 07966370866 to arrange a meeting time and date.

Kindest regards and thank you in advance again for your kind consideration of this request.

Denise (Hewlett)      BA Hons; MSc. Dist.

**Appendix 4:**  
**Questionnaire – Sample A Random Household**

### Meaning of 'getting involved'

- 1** What does 'getting involved in making decisions about local issues' mean to you?
- .....
- .....

### Involvement or NON involvement in making decisions in and about your area

- 2** In column 1, write the actual number of times you have been involved in some form of 'local' decision making over the last 12 months. In columns 2 and 3, please indicate by ticking a box ✓ if you are a committee member and / or if you pay a subscription.

If you have never been involved in the last 12 months, please tick this box ☐ and continue to **3** below.

Forms of participation and local decision making	Column 1: How often?	Column 2: Committee member	Column 3: Pay a subscription
Community/interest group		<input type="checkbox"/>	N/A
Citizen panel/jury		<input type="checkbox"/>	N/A
Focus Group		<input type="checkbox"/>	N/A
Forum member		<input type="checkbox"/>	N/A
Attending Public meetings		<input type="checkbox"/>	N/A
Stakeholder conferences		<input type="checkbox"/>	N/A
Signing Petitions		<input type="checkbox"/>	N/A
Taking part in a public demonstration/rally		<input type="checkbox"/>	N/A
Picketing		<input type="checkbox"/>	N/A
Completing questionnaires		N/A	N/A
Contact with local councillor		N/A	N/A
Contact with council official		N/A	N/A
Contact with local MP		N/A	N/A
Club		<input type="checkbox"/>	<input type="checkbox"/>
Society		<input type="checkbox"/>	<input type="checkbox"/>

If you have been involved in more than one type of decision-making group tick this box ☐

Other forms of participation that you have been involved in (please specify)

.....

.....

- 3** All respondents to answer this question, both those who have not been involved in the last 12 months and those who have.

#### Reasons for getting involved OR NOT getting involved in local decision making.

Indicate your agreement or disagreement with each of the following statements by putting a tick ✓ in one box per row.

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
I believe I can make a difference	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It's my right to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It's my responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I am concerned about things in my area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

continued...

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
The council and government agencies want to know what we think	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The council and government agencies want people to get involved in making decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I know how to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have enough information to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have the time to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I feel comfortable in expressing my views and concerns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please detail)					

**4** What is the extent to which you can, feel or want to influence decisions and be involved in decision-making about local issues? Indicate your view for each aspect by putting a tick ✓ in one box per row.

	A lot	A fair amount	Undecided	Not very much	Not at all
I can influence decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I feel able to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I want to be involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**5** Which of the following motives would encourage or discourage you to get involved in some form of decision making and by how much? Indicate your view for each aspect by putting a tick ✓ in one box per row.

Motives for...	A lot	Depends on issue	Not at all
...my local community (eg. neighbours and residents in my area)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...local natural environment (eg. the Forest and its wildlife)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...Local businesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...Local politics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...personal reasons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**6** Indicate your agreement or disagreement with each of the following statements by putting a tick ✓ in one box per row.

I believe that ...	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
...community leaders understand local issues (eg. councillors)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...practical solutions are found to local problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...decisions are made fairly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...that my views are well represented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...decisions are made in an open way	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**7** Indicate your agreement or disagreement with each of the following statements by putting a tick ✓ in one box per row.

I trust...	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
...my local councillor(s) (town, parish, district or county)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

continued...



I trust...	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
...my local MP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...my local council (town, parish, district or county)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...government departments/public bodies (eg. DEFRA, Environment Agency, Forestry Commission)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
... Forest organisations (eg. Verderers Court)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**8** What is the extent to which you feel that the following statement reflects your view? Indicate your view by putting a tick ✓ in one box.

I feel that...	A lot	A fair amount	Undecided	Not very much	Not at all
...decisions made on my behalf by local governing bodies (eg. parish, town, district and /or county councils, Forestry Commission, Environment Agency and Verderers Court) are acceptable to me	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**9** Indicate your agreement or disagreement with each of the following statements by putting a tick ✓ in one box per row.

People in this area ...	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
...are willing to help their neighbours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...share the same values	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...can be trusted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...pull together to improve the area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...from different backgrounds get on well together	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Finally, please provide the following information about yourself so that your other replies can be put in greater context.**

**\*Information provided here will be kept in the strictest confidence.**

**10** Please list your **top 3 interests, and/or pastimes, in order of preference**, with the first being your main interest.

1st.....  
 2nd.....  
 3rd.....

Please list the **3 things which are most important to you** about living in the New Forest with the first being of most importance.

1st.....  
 2nd.....  
 3rd.....

Please **circle** the appropriate answer to the following questions:

**How would you describe yourself?**

Very confident	Confident	Lack confidence	Not at all confident
----------------	-----------	-----------------	----------------------

**Age**

18-25	26-35	36-45	46-55	56-60	60-65	66-75	76+
-------	-------	-------	-------	-------	-------	-------	-----

**Are you male or female?**

Male	Female
------	--------

**Do you class yourself as disabled or with long-term illness?**

Yes	No
-----	----

**What is your current marital status?**

Married/Partner	Single	Widowed
-----------------	--------	---------

**Have you been previously divorced?**

Yes	No
-----	----

**What position do you hold within your household?**

Head of household	Partner of Head of household	Other adult
-------------------	------------------------------	-------------

**Highest Level of Education achieved**

No qualifications	GCSE Grade d-e	GCSE Grade a-c	A Level	Foundation Diploma	Degree (First or Postgrad)	Other Qualifications
-------------------	----------------	----------------	---------	--------------------	----------------------------	----------------------

**In which of these ways do you and your household occupy your current accommodation?**

Owned outright	Mortgaged	Rented / leased	Council property	Housing association / trust	I live with my parents / family
----------------	-----------	-----------------	------------------	-----------------------------	---------------------------------

**I have lived within the New Forest area for...**

Less than 1 year	1-5 years	6-10 years	11-20 years	21-30 years	30+ years
------------------	-----------	------------	-------------	-------------	-----------

**My current or if retired, previous nature of work.** Please tick ✓ one appropriate box.

<input type="checkbox"/>	Professional occupations & Directors, Executives, Senior Managers and officials, includes for example senior officials in local government and proprietors in agriculture and services
<input type="checkbox"/>	Middle Managers & Associate professionals, for examples teacher, nurse, police officer and technical occupations, includes technicians, inspectors, artistic and literary occupations, media and design associates, sports and fitness occupations, business and public service associates
<input type="checkbox"/>	Skilled trades occupations includes foreman & supervisor, in agricultural, metal and electrical, construction & building, textiles, printing, food preparation and other skilled trades
<input type="checkbox"/>	Personal service occupations (involving for example care of sick and elderly, supervision of children, care of animals, provision for travel, personal care and hygiene services.
<input type="checkbox"/>	Sales and customer service occupations includes for examples, sales assistant and retail cashiers, customer service assistants, telephone sales operators, market stall holders and insurance agents
<input type="checkbox"/>	Manual workers including fisherman, apprentice, process plant and machine operators includes drivers and construction workers
<input type="checkbox"/>	Elementary occupations no formal qualifications needed includes casual labourers, agricultural, construction, goods, administrative, cleaning, security

**Would you be willing to be contacted in the future?**

Please tick ✓ one box only

No ☐Yes ☐ Please write your contact details below...

Your name:

Contact details:

**Thank you in advance for your time and response.**

**Please do not delay returning your form by 20<sup>th</sup> June 2007. Your response by this date is important if your opinions are to be considered in the overall results.**

**Your response is greatly appreciated.**

**Please return the questionnaire in the enclosed pre-paid envelope and send to:**  
**Denise Hewlett (Research Student) Bournemouth University, Talbot Campus,**  
**School of Services Management, Room D136, Fern Barrow, Poole, Dorset BH12 5BB**

**Appendix 5:**  
**Questionnaire – Sample B Citizen Panel**

### Meaning of participation

**1** What does 'getting involved in making decisions about local issues' mean to you?

.....

.....

### Involvement or NON involvement in making decisions in and about your area

**2** In column 1, write the actual number of times you have been involved in some form of 'local' decision making over the last 12 months. In columns 2 and 3, please indicate by ticking a box ✓ if you are a committee member and / or pay a subscription.

Forms of participation and local decision making	Column 1: How often?	Column 2: Committee member	Column 3: Pay a subscription
Community/interest group		<input type="checkbox"/>	N/A
Citizen panel/jury		<input type="checkbox"/>	N/A
Focus Group		<input type="checkbox"/>	N/A
Forum member		<input type="checkbox"/>	N/A
Attending Public meetings		<input type="checkbox"/>	N/A
Stakeholder conferences		<input type="checkbox"/>	N/A
Signing Petitions		<input type="checkbox"/>	N/A
Taking part in a public demonstration/rally		<input type="checkbox"/>	N/A
Picketing		<input type="checkbox"/>	N/A
Completing questionnaires		N/A	N/A
Contact with local councillor		N/A	N/A
Contact with council official		N/A	N/A
Contact with local MP		N/A	N/A
Club		<input type="checkbox"/>	<input type="checkbox"/>
Society		<input type="checkbox"/>	<input type="checkbox"/>

If you have been involved in more than one type of decision-making group tick this box ☐

Other forms of participation that you have been involved in (please specify)

.....

.....

**3** Reasons for getting involved OR NOT getting involved in local decision making.

Indicate your agreement or disagreement with each of the following statements by putting a tick ✓ in one box per row.

	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
I believe I can make a difference	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It's my right to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
It's my responsibility	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I am concerned about things in my area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The council and government agencies want to know what we think	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The council and government agencies want people to get involved in making decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I know how to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

continued...



	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
I have enough information to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I have the time to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I feel comfortable in expressing my views and concerns	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please detail)					
.....					

**4** What is the extent to which you can, feel or want to influence decisions and be involved in decision-making about local issues? Indicate your view for each aspect by putting a tick ✓ in one box per row.

	A lot	A fair amount	Undecided	Not very much	Not at all
I can influence decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I feel able to get involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
I want to be involved	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**5** Which of the following motives would encourage or discourage you to get involved in some form of decision making and by how much? Indicate your view for each aspect by putting a tick ✓ in one box per row.

Motives for.....	A lot	Depends on issue	Not at all
...my local community (eg. neighbours and residents in my area)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...local natural environment (eg. the Forest and its wildlife)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...local businesses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...local politics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...personal reasons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**6** Indicate your agreement or disagreement with each of the following statements by putting a tick ✓ in one box per row.

I believe that ...	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
...community leaders understand local issues (eg. councillors)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...practical solutions are found to local problems	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...decisions are made fairly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...that my views are well represented	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...decisions are made in an open way	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**7** Indicate your agreement or disagreement with each of the following statements by putting a tick ✓ in one box per row.

I trust...	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
...my local councillor(s) (town, parish, district or county)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...my local MP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...my local council (town, parish, district or county)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...government departments/public bodies (eg. DEFRA, Environment Agency, Forestry Commission)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...Forest organisations (eg. Verderers Court)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 8** What is the extent to which you feel that the following statement reflects your view?  
Indicate your view by putting a tick ✓ in one box.

I feel that....	A lot	A fair amount	Undecided	Not very much	Not at all
...decisions made on my behalf by local governing bodies (eg. parish, town, district and /or county councils, Forestry Commission, Environment Agency and Verderers Court) are acceptable to me	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 9** Indicate your agreement or disagreement with each of the following statements by putting a tick ✓ in one box per row.

People in this area ...	Strongly agree	Agree	Undecided	Disagree	Strongly disagree
...are willing to help their neighbours	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...share the same values	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...can be trusted	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...pull together to improve the area	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
...from different backgrounds get on well together	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Finally, please provide the following information about yourself so that your other replies can be put in greater context.**

**\*Information provided here will be kept in the strictest confidence**

- 10** Please list your **top 3 interests, and/or pastimes, in order of preference**, with the first being your main interest.

1st.....  
2nd.....  
3rd.....

Please list the **3 things which are most important to you** about living in or near the New Forest National Park with the first being of most importance.

1st.....  
2nd.....  
3rd.....

Please **circle** the appropriate answer to the following questions:

**How would you describe yourself?**

Very confident	Confident	Lack confidence	Not at all confident
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**Age**

18-25	26-35	36-45	46-55	56-60	60-65	66-75	76+
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**Are you male or female?**

Male	Female
------	--------

**Do you class yourself as disabled or with long-term illness?**

Yes	No
-----	----

**What is your current marital status?**

Married/Partner	Single	Widowed
-----------------	--------	---------

**Have you been previously divorced?**

Yes	No
-----	----

**What position do you hold within your household?**

Head of household	Partner of Head of household	Other adult
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**Highest Level of Education achieved**

No qualifications	GCSE Grade d-e	GCSE Grade a-c	A Level	Foundation Diploma	Degree (First or Postgrad)	Other Qualifications
-------------------	----------------	----------------	---------	--------------------	----------------------------	----------------------

**In which of these ways do you and your household occupy your current accommodation?**

Owned outright	Mortgaged	Rented / leased	Council property	Housing association / trust	I live with my parents / family
----------------	-----------	-----------------	------------------	-----------------------------	---------------------------------

**I have lived in the New Forest area for...**

Less than 1 year	1-5 years	6-10 years	11-20 years	21-30 years	30+ years
------------------	-----------	------------	-------------	-------------	-----------

**I live within the boundary of the New Forest National Park**
☐ Yes ☐ No
**My current or if retired, previous nature of work. Please tick ✓ one appropriate box.**

<input type="checkbox"/>	Professional occupations & Directors, Executives, Senior Managers and officials, includes for example senior officials in local government and proprietors in agriculture and services
<input type="checkbox"/>	Middle Managers & Associate professionals, for examples teacher, nurse, police officer and technical occupations, includes technicians, inspectors, artistic and literary occupations, media and design associates, sports and fitness occupations, business and public service associates
<input type="checkbox"/>	Skilled trades occupations includes foreman & supervisor, in agricultural, metal and electrical, construction & building, textiles, printing, food preparation and other skilled trades
<input type="checkbox"/>	Personal service occupations (involving for example care of sick and elderly, supervision of children, care of animals, provision for travel, personal care and hygiene services.
<input type="checkbox"/>	Sales and customer service occupations includes for examples, sales assistant and retail cashiers, customer service assistants, telephone sales operators, market stall holders and insurance agents
<input type="checkbox"/>	Manual workers including fisherman, apprentice, process plant and machine operators includes drivers and construction workers
<input type="checkbox"/>	Elementary occupations no formal qualifications needed includes casual labourers, agricultural, construction, goods, administrative, cleaning, security

**Would you be willing to be contacted in the future? Please tick ✓ one box only**No ☐Yes ☐ Please write your contact details below...

Your name:

Contact details:

**Thank you in advance for your time and response.**

**Please do not delay returning your form by 25th June 2007. Your response by this date is important if your opinions are to be considered in the overall results.**  
**Your cooperation is greatly appreciated.**

**Please return your questionnaire in the enclosed pre-paid envelope together with your completed Citizens' Panel questionnaire to:**  
**New Forest District Council, Appletree Court, Lyndhurst,**  
**Hampshire, SO43 7PA**

CP

**Appendix 6:**  
**Letter of instruction – Sample A Random Household**





Denise Hewlett, Bournemouth University, Talbot Campus, School of Services Management, Room D136, Fern Barrow, Poole, Dorset BH12 5BB

Dear *Householder*,

I am conducting PhD research into reasons why people do or do not get involved in making decisions about local environment, political, economic, leisure and/or community issues and have enclosed a form which I hope you will complete and return. This research stage is **crucial to the entire work and forms part of an extensive research programme set in the New Forest. Your response is absolutely vital to the success of this research.** I would be very grateful if you would complete the attached questionnaire **whether you do or do not get involved in making decisions about your local area.** Your details will be held securely and the anonymity of all individual responses will be protected in agreement with the Data Protection Act 1998.\*

I thank you in advance for your help with this research and for your completion and return of your questionnaire. **The questionnaire consists of 4 pages and should only take 8-12 minutes to complete. A pre-paid envelope is also enclosed.**

Kindest regards,

*Denise*

Denise M Hewlett BA Hons, MSc Dist.

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**Thank you for completing this questionnaire. Please read the notes below carefully...**

- **Whether you do or do not** get involved in decision making, please read each section and indicate your answer by ticking each statement or circle your choice as instructed.
- **For people who don't get involved in making decisions at all... your reply is vital! Please do return your form.** All questions are focused **both** on people **who do** and people **who do not** get involved in influencing or making decisions.
- Throughout this questionnaire the term 'local' is often used. This includes your local neighbourhood and/or the area covered by the New Forest District Council.
- Once you have finished, please check you have answered all the questions.
- If you have any queries, please do not hesitate to contact me on the details given below.

**Thank you again in advance for your time and response.**

**Please return your reply in the pre-paid envelope provided by 20<sup>th</sup> June 2007 to:**  
**Denise Hewlett, Bournemouth University, Talbot Campus,**  
**School of Services Management, Room D136, Fern Barrow, Poole, Dorset BH12 5BB**  
**Tel: 01425 277363 Mob: 07834 971743 Email: dhewlett@bournemouth.ac.uk**

**Closing date for responses: 20<sup>th</sup> June 2007**

\*All information on returned questionnaires will be treated as confidential according to the Data Protection Act 1998. Your details will be held securely by the researcher and your personal data and the total research results, protecting anonymity, will only be used for the purpose of this research and subsequent publications. The main findings of the research, protecting anonymity of individual responses, will be made available for review by government organisations should this be requested. By returning this questionnaire you consent to the information being used for the above purposes. Should you wish your data to be removed from the database at any time, your request will be complied with in agreement with the Data Protection Act 1998.

**Appendix 7:**  
**Letter of instruction – Sample B Citizen Panel**



## Reasons why people do or do not get involved in decision making

Dear panel member

This is an additional questionnaire that will inform PhD research being conducted through Bournemouth University in decision making in protected areas. We were approached by Denise Hewlett, the researcher, as she would like to receive the views and opinions of people who are already being regularly consulted. The council will be very interested to know the results of this consultation, (anonymity will be maintained), so we were happy to help, and hope that you can spare the time to complete the questionnaire.

This questionnaire is completely separate to the normal panel questionnaires. The aim of this questionnaire, and also a similar one being sent to randomly selected residents in the New Forest, is to receive views of local people as to reasons why they do or do not get involved in making decisions regarding local environmental, political, economic, leisure and / or community issues. Throughout this questionnaire the term 'local' is often used. This includes your local neighbourhood and/or the area covered by the New Forest District Council.

This is a large piece of consultation which will provide very detailed analysis and conclusive evidence. Some research has already taken place which has informed some of the questions being asked. Below is a note from Denise Hewlett.

Best wishes

**This questionnaire consists of 4 pages and should only take approximately 8-12 minutes to complete. Please read the notes below carefully...**

- Please read each section and indicate your answer by ticking each statement or circle your choice as instructed.
- Once you have finished, please check you have answered all the questions
- If you have any queries about the questionnaire please do not hesitate to contact Denise Hewlett of Bournemouth University on 01425 277363 or on 07834 971743 or by email [dhewlett@bournemouth.ac.uk](mailto:dhewlett@bournemouth.ac.uk).

**Thank you in advance for your time and response.**

**Please return your reply in the envelope provided by 25<sup>th</sup> June 2007 to:  
New Forest District Council, Appletree Court, Lyndhurst, Hampshire SO43 7PA  
Closing date for responses: 25<sup>th</sup> June 2007.**

All information on returned questionnaires will be treated as confidential according to the Data Protection Act 1998. Your details will be held securely by the researcher and your personal data and the total research results, protecting anonymity, will only be used for the purpose of this research and subsequent publications. The main findings of the research, protecting anonymity of individual responses, will be made available for review by government organisations should this be requested. By returning this questionnaire you consent to the information being used for the above purposes. Should you wish your data to be removed from the database at any time, your request will be complied with in agreement with the Data Protection Act 1998.

**Appendix 8:**  
**Topic guide – Wider Community interviews**

**Reasons for the participation/non participation of local communities in local decision-making**

<b>Date of interview:</b>		<b>Sample:.....</b>		
<b>Name:</b>				
<b>Education:</b>		<b>Employment background:</b>		
<b>Self-appraisal of confidence:</b>				
<b>Main interests:</b>				
<b>Resident in New Forest/Parish:</b>		<b>Time resident in the area:</b>		
<b>Age Band:</b>				
<b>18-29</b>	<b>30-39</b>	<b>40-49</b>	<b>50-59</b>	<b>60+</b>

***If participant (current experience):***

<i>Community group experience and position held (If relevant)</i>
<i>Brief summary of responsibilities and experience in participation processes</i>

***All interviewees***

<b><i>Reasons for participation/non participation</i></b>
<i>What does community participation mean to you? (How perceived and who perceived to be involved?)</i>
<i>What forms of participation have you been/are you involved in?</i>
<i>How did/have you been involved? Why?</i>
<i>What have been your experiences of these? Why? What have been the advantages/disadvantages of these forms of participation/of getting involved?</i>
<i>Would you get involved again? And why? If not why not?</i>
<i>What opportunities/challenges perceived in participating?</i>
<i>What encouraged/discouraged you to/from participation? What would motivate you to participate?</i>
<i>Opportunities/Obstacles/barriers/challenges?</i>
<i>How could participation be improved in your view?</i>
<i>How compares with the past?</i>
<i>To what extent does the environmental value of this area encourage/discourage you to get involved?</i>
<i>Were/Have there been any issues you wanted to get involved in and didn't? Why? What would have encouraged/discouraged you to do so?</i>

**Overall views on public participation**

<i>What are your overall views on community participation? How effective? Rationale on part of national government?</i>

**Area specific**

<i>Who are the main institutions you think are responsible for engaging with the communities?</i>
<i>National Park – what are your views on the Authority/other institutions (i.e. Verderers; Forestry Commission; NFDC; council's actions to engage with the local community? And why? How can participation be improved? National Park – what are your views on the management of the area? And why? How can be improved? What are your thoughts on these institutions?</i>
<i>Performance/efficiency/effectiveness</i>
<i>Decision-making processes with institutions-methods</i>
<i>Reasons/objectives for participation – in your view on the part of the institutions?</i>
<i>What have been your experiences of these?</i>
<i>What opportunities and advantages/ obstacles/difficulties/perceived or experienced?</i>
<i>What members from the community do you perceive are recruited (active or passive?)</i>
<i>Targeted audiences? Membership criteria?</i>
<i>What if any, has been your experience as to accessing information on participatory processes/feedback on processes? How could these be improved?</i>
<i>How well are your views represented? Explain further</i>
<i>How feasible in your view is it to increase the amount of people participating in the New Forest?</i>
<i>How could community participation in your view be improved?</i>

**Views on governance and participation opportunities created**

<i>Trust/mistrust? Willingness to communicate? Perception as to whether the institutions want people to participate and why?</i>
<i>How accountable do you perceive institutions to be?</i>
<i>How open are the decision-making processes in your view? (transparency)</i>
<i>Reasons/objectives for participation – in your view on the part of the community groups?</i>
<i>Reasons/objectives for participation – in your view on the part of local people?</i>

<i>Level of influence experienced/perceived/wanted by group- local people/ encouraged by institutions?</i>
<i>Where and how are decisions actually made? How transparent are these decision-making processes?</i>
<i>Equitable level of balance to decisions being reached – how decisions being made?</i>
<i>Freedom of speech and association</i>
<i>Influences on participation</i>
<i>Views on outcomes/results achieved through taking part in participatory processes</i>
<i>*How does your experience in the new Forest compare with previous experiences in alternative areas?</i>
<i>How could difficulties be overcome/opportunities be enhanced?</i>
<i>Capability of people to participate</i>

***Community orientation***

<i>What are your thoughts generally as to why people do or do not participate?</i>
<i>What are your thoughts generally on society today?</i>
<i>What are your thoughts on the following: 'it is probably fair to say that in Britain we do not have a culture naturally inclined towards political participation' (togetherwecan.gov.uk 2007)</i>
<i>What groups are you a member of? What are your hobbies/interests?</i>
<i>What does the word 'community' mean to you?</i>

***Close***

<i>Assistance at a later date?</i> <i>Contact by: phone/email/letter</i> <i>Permission to use transcript – withdrawal of information – DP Act</i> <i>Contact to verify the transcripts and reporting of information in thesis</i>
<i>Personal contact number of researcher:</i> <i>Timeframe:</i>



## Appendix 9

### Topic guide – Representatives of Institutions

#### Reasons for the participation/non participation of local communities in local decision-making

<b>Institution:</b>		<b>Date of interview</b>		
<b>Name:</b>	<b>Position held:</b>	<b>Code:</b>		
<b>Age Band:</b>				
<b>18-29</b>	<b>30-39</b>	<b>40-49</b>	<b>50-59</b>	<b>60+</b>
<b>Brief summary of responsibilities and experience in participation processes (current and previous*; involvement with other institutions)</b>				

#### Institution's history and background

<i>Aim and brief history of institution</i>
<i>Institution structure – national links – funding – political context</i>
<i>History of community participation – rationale; key events; socio-political context</i>

<b>Key processes and quantifying participants</b>
<i>What does community participation mean for the institution – institution objectives (policy/vision/statements – copies?)- Targeted audiences – partnerships &amp; groups and/or wider community?</i>
<i>What are the key participatory processes used - rationale for use – topics of consultation</i>
<i>Advantages/disadvantages of these methods (for institution/perceived for the community groups/individuals)</i>
<i>How do you recruit members from the community (active or passive?)</i>
<i>Targeted audiences?</i>
<i>What drives these views?</i>
<i>Reasons/objectives for participation</i>
<i>What are/have been the key events motivating/demotivating the community to participate?</i>

<i>What are the opportunities /perceived advantages/ disadvantages/ of community participation</i>
<i>How do these compare with the past?</i>
<i>Institutions' historical experience of community engagement?</i>
<i>Reasons for differences – obstacles/difficulties/influences on?</i>
<i>Who most commonly liaise with in terms of community participation – how and why?</i>
<i>How does your institution liaise with the wider public? (feedback on i.e. consultations; information distribution; promoting public engagement)</i>

<i>What numbers of people tend to be achieved in your institutions' decision-making processes? Increase/decrease/stabilisation of participants – comparison with the past? Future aspirations and activities?</i>
<i>How consider these numbers can be improved? How feasible are these improvements? How realistic to achieve? What needed to do so?</i>
<i>What are the challenges/obstacles from the institution perspective in designing/organising participatory processes for community engagement?</i>
<i>How can these be improved? What actions are/will be taken in your view?</i>
<i>What do you think the key challenges/obstacles are from a community perspective?</i>
<i>How can these be improved? What actions are/will be taken in your view?</i>
<i>How capable/able do you feel the groups are to participate?</i>
<i>What support is given by the institution? How do you feel about this?</i>
<i>What are your views on outcomes/results achieved through taking part in participatory processes?</i>
<i>How could difficulties be overcome/opportunities enhanced? What improvements do you think will be made/ could be made?</i>
<i>By whom? (What support is received from government – sister organisations – partners?)</i>
<i>If not why not?</i>
<i>What in your view should/could be done?</i>
<i>What are your future plans?</i>
<i>Are there any activities foreseen to increase the amount and breadth of participation occurring?</i>
<i>What do you think should/could be done to improve engagement?</i>
<i>How would you characterise those who do participate and those who don't ?</i>



<i>Why in your view do some people get involved and others do not? Influences on participation – global/national/local actions -</i>
<i>Access to information for groups/ for the public? Feedback on i.e. consultations</i>
<i>What are your views on the level of influence the community/ groups/partnerships have in decisions taken in the New Forest? Perceived/ experienced /wanted by group/ encouraged by institutions?</i>
<i>Where and how are decisions actually made? How transparent are these decision-making processes?</i>
<i>How are decisions made/confirmed?</i>
<i>Freedom of speech and association</i>
<i>Trust/mistrust? Willingness to communicate? (Amongst partner institutions; between community groups and institutions; between the community groups; amongst the wider community)</i>
<i>Accountability of institutions/decisions/ partnerships and groups?</i>
<i>How do you think that community participation in protected areas maybe different from more socio-political contexts? *How does your experience in the new Forest compare with previous experiences in alternative areas?</i>
<i>How feasible do you think it is to increase the numbers of people participating in the New Forest? What will be/is needed?</i>

**Close**

<i>Assistance at a later date?</i> <i>Contact by: phone/email/letter</i> <i>Permission to use transcript – withdrawal of information – DP Act</i> <i>Contact to verify the transcripts and reporting of information in thesis</i>
<i>Personal contact number of researcher:</i> <i>Timeframe:</i>

## Appendix 10

### Test statistics of Mann-Whitney U pair-wise comparisons, for Groups 1-4, (Non to Leader participants of Sample A); and Groups 5-6 (Collective and Leader participants of Sample B)

#### *Notes:*

1. All MWU results here are considered with  $P \leq 0.01$
2. MWU tests are one-tailed
2. Red = highlight those results that fall within the P value
3. MR = Mean Rank
4. N=Non, C=Collective, I=Individual and L=Leader
5. Comparisons are given in median values on original scale and also in Mean Rankings on the overall ranking used in the testing procedure which are dependant on sample size
6. Cohen's effect sizes are used wherever statistically significant variables appear:  $r = .10$  (small effect explaining 1% of the total variance);  $r = .30$  (**medium effect - 9% of the total variance**); and  $r = .50$  (**large effect - 25% of the variance**)
7. Medium and large effect sizes are emphasised in **bold**.

**Table x: Pair-wise comparisons test statistics - non and individual, non and collective and non and leader participants – Sample A**

Variable by theme	Variable	MR Non/Ind	Median value Non/Ind	N Non/Ind/Total	Z derived	P	Effect size	MR Non/Col	Median value Non/Col	N	Z derived	P	Effect size	MR Non/Lead	Median value Non/Lead	N	Z derived	N – L P=.	Effect size
Right	Its my right	37.69 44.71	4.00 4.00	53/26 79	-1.461	0.072		58.63 82.66	4.00 4.00	53/94 147	-3.704	<0.001	.30	48.07 64.89	4.00 4.00	53/60 113	-3.104	0.001	.29
Responsibility	It's my responsibility	37.05 46.02	3.00 4.00	53/26 79	-1.727	0.042		51.52 86.68	3.00 4.00	53/94 147	-5.235	<0.001	.43	39.80 73.56	3.00 4.00	53/62 115	-5.760	<0.001	.54
Equity	I believe that decisions are made fairly	38.66 44.33	3.00 3.00	54/26 80	-1.098	0.136		67.31 80.10	3.00 3.00	54/96 150	-1.848	0.032		46.75 68.73	3.00 3.00	54/62 116	-3.769	<0.001	.35
Transparency	I believe that decisions are made in an open way	36.78 48.23	2.00 3.00	54/26 80	-2.156	0.0155		65.92 80.89	2.00 3.00	54/96 150	-2.141	0.016		48.09 67.56	2.00 3.00	54/62 116	-3.230	<0.001	.30
Efficiency	I believe that practical solutions are found to local problems	39.55 40.92	3.00 3.00	53/26 79	-.263	0.396		62.83 81.72	3.00 3.00	53/96 149	-2.692	0.003	.22	48.25 66.34	3.00 3.00	53/62 115	-3.024	0.001	.28
Representation of views	I believe that my views are well represented	37.55 45.30	3.00 3.00	54/25 79	-1.499	0.067		63.06 81.78	3.00 3.00	54/95 149	-2.689	0.003	.22	47.70 67.11	3.00 3.00	54/61 115	-3.266	<0.001	.30
	Decisions made on my behalf are acceptable to me	38.09 43.88	3.00 3.00	53/26 79	-1.104	0.135		63.03 80.90	3.00 4.00	53/95 148	-2.572	0.005	.21	47.85 66.68	3.00 4.00	53/62 115	-3.207	<0.001	.30
	I believe that community leaders understand local issues	36.53 47.08	3.00 4.00	53/26 79	-2.016	0.022		62.21 81.36	3.00 4.00	53/95 148	-2.722	0.003	.22	47.29 67.15	3.00 4.00	53/62 115	-3.357	<0.001	.31
Level of influence	I believe I can make a difference	40.54 38.96	2.50 3.00	52/27 79	-.302	0.381		57.31 83.14	2.50 4.00	52/95 147	-3.690	<0.001	.30	39.13 72.90	2.50 4.00	52/62 114	-5.740	<0.001	.54
	I can influence	39.21 44.79	2.00 2.00	55/26 81	-1.055	0.146		59.03 85.72	2.00 2.00	55/96 151	-3.809	<0.001	.31	41.68 73.66	2.00 4.00	55/61 116	-5.338	<0.001	.50

	decisions																				
	The council and agencies want to know what we think	<b>34.94</b> <b>49.16</b>	<b>2.00</b> <b>4.00</b>	<b>53/25</b> <b>78</b>	<b>-2.681</b>	<b>0.003</b>	<b>.30</b>		58.96 83.17	2.00 3.00	53/95 148	-3.427	<0.001	.28		<b>44.25</b> <b>68.27</b>	<b>2.00</b> <b>4.00</b>	<b>53/60</b> <b>113</b>	<b>-4.078</b>	<b>&lt;0.001</b>	<b>.38</b>
	The council and agencies want people to participate	34.74 47.37	2.00 3.00	51/26 77	-2.454	0.007	.28		<b>53.68</b> <b>84.14</b>	<b>2.00</b> <b>3.00</b>	<b>51/95</b> <b>146</b>	<b>-4.333</b>	<b>&lt;0.001</b>	<b>.36</b>		<b>41.74</b> <b>68.12</b>	<b>2.00</b> <b>3.00</b>	<b>51/60</b> <b>111</b>	<b>-4.473</b>	<b>&lt;0.001</b>	<b>.42</b>
Trust	I trust my local councillor	38.45 46.38	3.00 3.00	55/26 81	-1.479	0.069			63.76 83.01	3.00 3.00	55/96 151	-2.717	0.007	.22		49.65 66.48	3.00 3.00	55/61 116	-2.830	0.002	.26
	I trust my local MP	36.83 49.83	3.00 3.00	55/26 81	-2.407	0.008	.27		<b>59.25</b> <b>85.59</b>	<b>3.00</b> <b>3.00</b>	<b>55/96</b> <b>151</b>	<b>-3.695</b>	<b>&lt;0.001</b>	<b>.30</b>		49.12 66.96	3.00 3.00	55/61 116	-2.947	0.001	.27
	I trust my local council	37.75 46.54	3.00 3.00	55/25 80	-1.649	0.049			65.45 82.04	3.00 3.00	55/96 151	-2.348	0.009	.19		<b>47.62</b> <b>67.52</b>	<b>3.00</b> <b>3.00</b>	<b>55/60</b> <b>115</b>	<b>-3.370</b>	<b>&lt;0.001</b>	<b>.31</b>
	I trust local Forest organisations	36.92 50.83	3.00 4.00	55/27 82	-2.604	0.004	.29		67.85 80.67	3.00 4.00	55/96 151	-1.830	.033			51.19 65.93	3.00 4.00	55/62 117	-2.520	.006	.23
Capability	I know how to get involved	39.28 39.94	3.00 3.00	52/26 78	-.127	0.449			61.80 80.68	3.00 4.00	52/95 147	-2.804	0.002	.23		<b>45.86</b> <b>64.94</b>	<b>3.00</b> <b>4.00</b>	<b>52/59</b> <b>111</b>	<b>-3.386</b>	<b>&lt;0.001</b>	<b>.32</b>
	I feel able to get involved	38.83 42.38	2.00 2.50	53/26 79	-.672	0.251			<b>55.99</b> <b>84.83</b>	<b>2.00</b> <b>3.00</b>	<b>53/95</b> <b>148</b>	<b>-4.096</b>	<b>&lt;0.001</b>	<b>.34</b>		<b>40.65</b> <b>72.14</b>	<b>2.00</b> <b>4.00</b>	<b>53/61</b> <b>114</b>	<b>-5.355</b>	<b>&lt;0.001</b>	<b>.50</b>
	I have the time to get involved	40.96 35.37	2.00 2.00	50/27 77	-1.081	0.140			63.13 78.19	2.00 3.00	50/95 145	-2.121	0.017			47.10 61.69	2.00 3.00	50/59 109	-2.497	0.006	.24
Access to information	I have enough information to get involved	40.09 38.33	3.00 3.00	52/26 78	-.338	0.367			68.09 77.24	3.00 3.00	52/95 147	-1.307	0.095			47.19 62.95	3.00 4.00	52/58 110	-2.719	0.003	.26
Social Capital																					
	People in this area are willing to help their neighbours	<b>36.08</b> <b>49.19</b>	<b>4.00</b> <b>4.00</b>	<b>53/27</b> <b>80</b>	<b>-2.877</b>	<b>0.002</b>	<b>.32</b>		62.46 81.22	4.00 4.00	53/95 148	-2.814	0.002	.23		49.38 65.37	4.00 4.00	53/62 115	-3.106	0.001	.29
	People in this area pull together to improve the area	38.23 43.62	3.00 4.00	53/26 79	-1.030	0.151			62.83 81.72	3.00 4.00	53/96 149	-2.734	0.003	.22		51.64 63.44	3.00 4.00	53/62 115	-2.012	0.022	

Concern for the locality	I am concerned about things in the area	40.13 42.85	4.00 4.00	55/26 81	-.577	0.282			61.17 83.79	4.00 4.00	55/95 150	-3.428	<0.001	.28		50.46 66.57	4.00 4.00	55/62 117	-2.929	0.001	.27
General interest to participate	I want to be involved	38.49 44.67	2.00 2.00	54/26 80	-1.158	0.123			<b>51.46</b> <b>88.38</b>	<b>2.00</b> <b>4.00</b>	<b>54/95</b> <b>149</b>	<b>-5.180</b>	<b>&lt;0.001</b>	<b>.43</b>		<b>40.43</b> <b>72.87</b>	<b>2.00</b> <b>4.00</b>	<b>54/60</b> <b>114</b>	<b>-5.428</b>	<b>&lt;0.001</b>	<b>.51</b>
Specific motives to participate	Motives for local community	39.69 42.09	2.00 2.00	53/27 80	-.545	0.292			64.53 80.78	2.00 2.00	53/96 149	-2.576	0.005	.21		52.32 62.00	2.00 2.00	53/61 114	-1.879	0.030	
	Motives for local politics	39.34 41.28	1.00 1.00	52/27 79	-.412	0.340			60.04 81.64	1.00 2.00	52/95 147	-3.330	<0.001	.27		50.35 61.83	1.00 2.00	52/60 112	-2.140	0.016	
Education		39.04 43.37	6.00 6.00	53/27 80	-.828	0.204			66.62 77.42	6.00 6.00	53/93 146	-1.537	.062			49.58 65.19	6.00 6.00	53/62 115	-2.632	.004	.25
Lived in the New Forest for x years		43.34 34.93	5.00 4.00	53/27 80	-1.564	.059			70.60 77.43	5.00 5.00	53/96 149	-.952	.170			54.02 61.40	5.00 5.00	53/62 115	-1.221	.111	

**Table x: Pair-wise comparisons test statistics - individual and collective and individual and leader participants – Sample A**

Variable by theme	Variable	MR Ind/ Col	Median value Ind/col	N	Z derived	P	Effect size		MR Ind/ Lead	Median value Ind/Lead	N	Z derived	P	Effect size		MR Col/ Lead	Median value Col/Lead	N	Z derived	P=.	Effect size
Right	Its my right	52.81 62.63	4.00 4.00	26/94 120	-1.449	0.073			39.54 45.22	4.00 4.00	26/60 86	-1.116	0.132			78.53 75.89	4.00 4.00	94/60 154	-.408	0.341	
Responsibility	It's my responsibility	48.35 63.86	4.00 4.00	26/94 120	-2.313	0.01	.21		<b>32.35</b> <b>49.60</b>	<b>4.00</b> <b>4.00</b>	<b>26/62</b> <b>88</b>	<b>-3.233</b>	<b>&lt;0.001</b>	<b>.34</b>		73.88 85.50	4.00 4.00	94/62 156	-1.798	0.036	
Equity	I believe that decisions are made fairly	59.96 61.92	3.00 3.00	26/96 122	-.266	0.395			37.04 47.63	3.00 3.00	26/62 88	-1.908	0.028			73.18 89.29	3.00 3.00	96/62 158	-2.308	0.010	.18
Transparency	I believe that decisions are made in an open way	65.98 60.29	3.00 3.00	26/96 122	-.778	0.218			42.12 45.50	3.00 3.00	26/62 88	-.594	0.276			74.42 87.37	3.00 3.00	96/62 158	-1.834	0.033	
Efficiency	I believe that practical solutions are found to local problems	49.58 64.73	3.00 3.00	26/96 122	-2.056	0.20			34.83 48.56	3.00 3.00	26/62 88	-2.414	0.008	.26		77.00 83.37	3.00 3.00	96/62 158	-.904	0.183	
Representation of views	I believe that my views are well represented	57.26 61.35	3.00 3.00	25/95 120	-.559	0.288			38.26 45.65	3.00 3.00	25/61 86	-1.320	0.093			75.61 83.01	3.00 3.00	95/61 156	-1.053	0.146	
	Decisions made on my behalf are acceptable to me	57.50 61.96	3.00 4.00	26/95 121	-.617	0.268			39.71 46.51	3.00 4.00	26/62 88	-1.252	0.105			76.27 83.18	4.00 4.00	95/62 157	-1.019	0.154	
	I believe that community leaders understand local issues	59.62 61.38	4.00 4.00	26/95 121	-.242	0.404			41.75 45.65	4.00 4.00	26/62 88	-.713	0.238	.		77.24 81.70	4.00 4.00	95/62 157	-.640	0.261	
Level of influence	I believe I can make a difference	<b>41.67</b> <b>67.14</b>	<b>3.00</b> <b>4.00</b>	<b>27/95</b> <b>122</b>	<b>-3.471</b>	<b>&lt;0.001</b>	<b>.31</b>		<b>24.02</b> <b>54.14</b>	<b>3.00</b> <b>4.00</b>	<b>27/62</b> <b>89</b>	<b>-5.388</b>	<b>&lt;0.001</b>	<b>.57</b>		70.20 92.48	4.00 4.00	95/62 157	-3.239	<0.001	.26
	I can influence decisions	50.54 64.47	2.00 2.00	26/96 122	-1.892	0.029			<b>30.17</b> <b>49.89</b>	<b>2.00</b> <b>4.00</b>	<b>26/61</b> <b>87</b>	<b>-3.528</b>	<b>&lt;0.001</b>	<b>.38</b>		71.85 90.25	2.00 4.00	96/61 157	-2.610	0.009	.21
	The council and agencies	62.82 59.89	4.00 3.00	25/95 120	-.397	0.345			40.28 44.13	4.00 4.00	25/60 85	-.725	0.234			74.05 84.26	3.00 4.00	95/60 155	-1.475	0.070	

	want to know what we think																				
	The council and agencies want people to participate	57.46 61.97	3.00 3.00	26/95 121	-.607	0.272			39.29 45.32	3.00 3.00	26/60 86	-1.079	0.140			75.87 81.37	3.00 3.00	95/60 155	-.778	0.218	
Trust	I trust my local councillor	58.17 62.40	3.00 3.00	26/96 122	-.568	0.285			40.90 45.32	3.00 3.00	26/61 87	-.797	0.213			77.97 80.61	3.00 3.00	96/61 157	-.376	0.353	
	I trust my local MP	59.77 61.97	3.00 3.00	26/96 122	-.295	0.384			43.94 44.02	3.00 3.00	26/61 87	-.015	0.494			80.02 77.39	3.00 3.00	96/61 157	-.368	0.356	
	I trust my local council	60.16 61.22	3.00 3.00	25/96 121	-.143	0.443			37.92 45.12	3.00 3.00	25/60 85	-1.334	0.091			74.66 84.65	3.00 3.00	96/60 156	-1.428	0.076	
	I trust local forest organisations	71.52 59.32	4.00 4.00	27/96 123	-1.708	.044			48.72 43.38	4.00 4.00	27/62 89	-1.045	.148			76.68 83.87	4.00 4.00	96/62 158	-1.069	.142	
Capability	I know how to get involved	45.60 65.22	3.00 4.00	26/95 121	-2.802	0.002	.25		<b>30.37</b> <b>48.57</b>	<b>3.00</b> <b>4.00</b>	<b>26/59</b> <b>85</b>	<b>-3.473</b>	<b>&lt;0.001</b>	<b>.38</b>		74.46 82.40	4.00 4.00	95/59 154	-1.241	0.107	
	I feel able to get involved	47.13 64.79	2.50 3.00	26/95 121	-2.390	0.008	.22		<b>29.48</b> <b>50.19</b>	<b>2.50</b> <b>4.00</b>	<b>26/61</b> <b>87</b>	<b>-3.776</b>	<b>&lt;0.001</b>	<b>.40</b>		71.65 89.17	3.00 4.00	95/61 156	-2.547	0.005	.20
	I have the time to get involved	44.56 66.32	2.00 3.00	27/95 122	-2.917	0.002	.26		<b>31.15</b> <b>49.15</b>	<b>2.00</b> <b>3.00</b>	<b>27/59</b> <b>86</b>	<b>-3.235</b>	<b>&lt;0.001</b>	<b>.35</b>		75.78 80.27	3.00 3.00	95/59 154	-.634	0.263	
Access to information	I have enough information to get involved	51.73 63.54	3.00 3.00	26/95 121	-1.596	0.055			<b>31.63</b> <b>47.37</b>	<b>3.00</b> <b>4.00</b>	<b>26/58</b> <b>84</b>	<b>-2.882</b>	<b>0.002</b>	<b>.31</b>		72.05 85.11	3.00 4.00	95/58 153	-1.874	0.030	
Social Capital																					
	People in this area are willing to help their neighbours	63.24 61.01	4.00 4.00	27/95 122	-.323	0.373			46.65 44.28	4.00 4.00	27/62 89	-.507	0.306			79.21 78.68	4.00 4.00	95/62 157	-.081	0.467	
	People in this area pull together to improve the area	56.08 62.97	4.00 4.00	26/96 122	-.954	0.170			42.71 45.25	4.00 4.00	26/62 88	-.458	0.323			81.45 76.48	4.00 4.00	96/62 158	-.727	0.233	
Concern for the locality	I am concerned about things	48.96 64.29	4.00 4.00	26/95 121	-2.217	0.013			37.58 47.40	4.00 4.00	26/62 88	-1.898	0.029			80.23 77.12	4.00 4.00	95/62 157	-.472	0.318	

	in the area																				
General interest to participate	I want to be involved	43.17 65.88	2.00 4.00	26/95 121	-3.044	0.001	.28		<b>29.83</b> <b>49.42</b>	<b>2.00</b> <b>4.00</b>	<b>26/60</b> <b>86</b>	<b>-3.542</b>	<b>&lt;0.001</b>	<b>.38</b>		75.17 82.48	4.00 4.00	95/60 155	-1.056	0.145	
Specific motives to participate	Motives for local community	54.15 64.21	2.00 2.00	27/96 123	-1.511	0.065			41.06 46.02	2.00 2.00	27/61 88	-1.011	0.156			80.59 76.49	2.00 2.00	96/61 157	-.642	0.260	
	Motives for local politics	49.44 64.93	1.00 2.00	27/95 122	-2.304	0.010	.21		39.20 46.16	1.00 2.00	27/60 87	-1.382	0.083			81.09 73.10	2.00 2.00	95/60 155	-1.261	0.103	
Education		58.85 60.98	6.00 6.00	27/93 120	-.292	.385			40.13 47.12	6.00 6.00	27/62 89	-1.257	.104			74.44 83.34	6.00 6.00	93/62 155	-1.265	.103	
I have lived in the New Forest for x years		47.74 66.01	4.00 5.00	27/96 123	-2.417	.008	.22		34.96 49.37	4.00 5.00	27/62 89	-2.487	.006	.26		78.32 81.33	5.00 5.00	96/62 158	-.419	.337	



**Table 10.3: Sample B Pair-wise comparison test statistics - collective with leader participants**

Variable by theme	Variable	MR Col/Lead	Median value	N	Z derived	P	Effect size
Right	Its my right	232.86 246.94	4.00 4.00	366/105 471	-1.075	0.141	
Responsibility	It's my responsibility	228.21 258.53	4.00 4.00	364/105 469	-2.217	0.013	
Equity	I believe that decisions are made fairly	239.06 249.77	3.00 3.00	372/110 482	-.782	0.217	
Transparency	I believe that decisions are made in an open way	239.85 244.94	3.00 3.00	372/109 481	-.361	0.359	
Efficiency	I believe that practical solutions are found to local problems	236.89 257.08	3.00 3.00	372/110 482	-1.437	0.075	
Representation of views	I believe that my views are well represented	236.51 254.06	3.00 3.00	371/109 480	-1.279	0.100	
	Decisions made on my behalf are acceptable to me	237.93 266.82	3.00 4.00	377/111 488	-2.053	0.020	
	I believe that community leaders understand local issues	242.97 243.12	4.00 4.00	374/111 485	-.011	0.495	
Level of influence	I believe I can make a difference	219.90 308.99	3.00 4.00	369/111 480	-6.356	<0.001	.29
	I can influence decisions	225.87 279.22	3.00 3.00	367/108 475	-3.712	<0.001	.17
	The council and agencies want to know what we think	234.21 261.89	4.00 4.00	371/109 480	-1.980	0.024	
	The council and agencies want people to participate	234.79 255.24	3.00 4.00	368/110 478	-1.449	0.073	
Trust	I trust my local councillor	240.59 251.13	3.00 3.00	374/111 485	-.751	0.226	
	I trust my local MP	238.24 261.28	3.00 3.00	375/111 486	-1.609	0.054	
	I trust my local council	237.47 252.90	3.00 3.00	371/110 481	-1.101	0.135	
	I trust local Forest organisations	237.49 261.56	3.00 4.00	374/111 485	-1.726	.042	
Capability	I know how to get involved	224.25 277.30	4.00 4.00	363/109 472	-3.891	<0.001	.18
	I feel able to get involved	223.18 288.96	3.00 4.00	368/107 475	-4.651	<0.001	.21
	I have the time to get involved	227.23 265.82	3.00 4.00	364/107 471	-2.698	0.003	.12
Access to information	I have enough information to get involved	217.74 292.01	3.00 4.00	360/109 469	-5.346	<0.001	.25
Social Capital							
	People in this area are willing to help their neighbours	240.83 254.87	4.00 4.00	377/110 487	-1.061	0.144	
	People in this area pull together to improve the area	235.98 264.68	3.00 4.00	374/110 484	-2.000	0.022	
Concern for the locality	I am concerned about things in the area	234.79 259.70	4.00 4.00	370/110 480	-1.949	0.025	
General interest to participate	I want to be involved	224.45 283.50	3.00 4.00	366/109 475	-4.184	<0.001	.19
Specific motives to participate	Motives for local community	237.13 256.12	2.00 2.00	371/111 482	-1.505	0.066	
	Motives for local politics	235.74 252.09	2.00 2.00	368/110 478	-1.301	0.096	
Education		235.25 236.34	5.00 6.00	362/108 470	-.075	0.47	
I have lived in the New Forest for x years		240.23 252.46	5.00 5.00	375/110 485	-.849	.198	

## Appendix 11

### Jonckheere-Terpestra test statistics

The following principles denoting governance, social capital and motivation and personal characteristic resulted in significance according to Asymptotic significance and  $P < 0.05$ .

**Table 11.1 Principles of statistical significance**

Principle	Statement	Observed JT statistic	N	Asymptotic significance $P < 0.05$ .
Duty and responsibility	It's my right	11209.000	233	0.001
Duty and responsibility	It's my responsibility	13143.500	235	<0.001
Equity	I believe that decisions are made fairly	12015.000	238	<0.001
Transparency	I believe that decisions are made in an open way	11712.000	238	0.001
Efficiency	I believe that practical solutions are found to local problems	11893.500	237	<0.001
Representation of views	I believe that local community leaders understand local issues	11513.500	236	0.001
Representation of views	I believe my views are well represented	11554.500	235	<0.001
Representation of views - Acceptability of decisions	Decisions made on my behalf are acceptable to me	11504.000	235	<0.001
Level of influence	I believe I can make a difference	13581.500	236	<0.001
Level of influence	I can influence decisions	13289.000	238	<0.001

Level of influence	The council want to know what people think	11684.000	233	<0.001
Level of influence	The council and government agencies want people to participate	11840.000	232	<0.001
Trust of institutions	I trust my local councillors	11567.000	238	0.002
Trust of institutions	I trust my local MP	11616.500	238	0.002
Trust of institutions	I trust my local council	11626.500	236	<0.001
Trust of institutions	I trust local Forest organisations	11239.500	240	.028
Capability	I feel able to get involved	13073.500	235	<0.001
Capability	I know how to get involved	11676.000	232	<0.001
Access to information	I have enough information to get involved	11101.000	231	<0.001
Capability	I have time to get involved	11151.500	231	<0.001
General interest to participate	I want to be involved	13141.500	235	<0.001
Social capital	I am concerned about things in my area	11700.500	238	<0.001
Social capital	People in this area are willing to help their neighbours	11158.500	237	0.008
Social capital	People in this area pull together to improve the area	10982.000	237	0.023
Specific motives to participate	Motives for local community	10948.000	237	0.018

Specific motives to participate	Motives for local politics	10916.000	234	0.006
Education		6919.000	235	.038
Lived in New Forest area for 'x' years		11074.500	238	.030

Table 11.2 provides information on further principles denoting governance, social capital and motivation and personal characteristic that did *not* result in significance according to Asymptotic significance and  $P \leq 0.05$ .

**Table 11.2 Principles *not* of statistical significance**

Principle	Statement	Observed JT statistic	N	Asymptotic significance $P \geq 0.05$ .
Freedom of speech	I feel comfortable to express my views and concerns	10452.500	234	.063
Specific motives	For local natural environment	10388.000	237	.173
Specific motives	For local businesses	10014.500	232	.151
Specific motives	For personal reasons	9532.500	232	.446
Trust	I trust local government bodies and agencies	10831.500	238	.073
Social capital	People in this area share the same values	10379.000	236	.152
Social capital	People in this area can be trusted	10098.000	236	.303
Social capital	People from different backgrounds get on well together	10601.000	236	.083
Appraisal of self		10802.000	240	.095
Age		10140.500	239	.475
Previous nature of work		9778.000	234	.417

### Appendix 12: 'Motives for the natural environment'

**Table 12.1: Participant Level by motives to participate for reasons associated with the natural environment Sample A**

Participant Level		'Motives for my local natural environment'			
		not at all	depends on issue	a lot	Total
<b>Non participant</b>	N	4	22	<b>26</b>	52
	%	7.7	42.3	<b>50.0</b>	100.0
<b>Individual participant</b>	N	0	11	<b>16</b>	27
	%	.0	40.7	<b>59.3</b>	100.0
<b>Collective participant</b>	N	1	34	<b>61</b>	96
	%	1.0	35.4	<b>63.5</b>	100.0
<b>Leader participant</b>	N	0	27	<b>35</b>	62
	%	.0	43.5	<b>56.5</b>	100.0
<b>Total</b>	N	5	94	<b>138</b>	237
	%	2.1	39.7	<b>58.2</b>	100.0

**Table 12.2 : Participant Level by motives to participate for reasons associated with the natural environment Sample B**

Level of participation		Motives for my local natural environment			
		not at all	depends on issue	a lot	Total
<b>Collective participant</b>	N	9	178	<b>184</b>	371
	%	2.4	48.0	<b>49.6</b>	100.0
<b>Leader participant</b>	N	0	63	<b>47</b>	110
	%	.0	57.3	<b>42.7</b>	100.0
<b>Total</b>	N	9	241	<b>231</b>	481
	%	1.9	50.1	<b>48.0</b>	100.0

### Appendix 13

#### Analysis of the amount of respondents who expressed their interest in further assisting with this research

**Table 13.1: Participant level by Contact for further research Sample A**

Participant level		Contact for further research		
		yes	no	Total
Non participant	N	14	37	51
	%	27.5	72.5	100.0
Individual participant	N	10	16	26
	%	38.5	61.5	100.0
Collective participant	N	38	55	93
	%	40.9	59.1	100.0
Leader participant	N	20	41	61
	%	32.8	67.2	100.0
Total	N	82	149	231
	%	35.5	64.5	100.0

**Table 13.2: Participant level by Contact for further research Sample B**

Participant level		Contact for further research		
		yes	no	Total
Collective participant	N	203	161	364
	%	55.8	44.2	100.0
Leader participant	N	64	41	105
	%	61.0	39.0	100.0
Total	N	267	202	469
	%	56.9	43.1	100.0

## Appendix 14

### Motives for personal reasons

**Table 14.1. Motives for personal reasons Sample A**

Participant level		Motives for personal reasons			
		not at all	depends on issue	a lot	Total
Non participant	N	13	28	11	52
	%	25.0%	53.8%	21.2%	100.0%
Individual participant	N	2	14	9	25
	%	8.0%	56.0%	36.0%	100.0%
Collective participant	N	6	64	25	95
	%	6.3%	67.4%	26.3%	100.0%
Leader participant	N	9	40	11	60
	%	15.0%	66.7%	18.3%	100.0%
Total	N	30	146	56	232
	%	12.9%	62.9%	24.1%	100.0%

**Table 14.2. Motives for personal reasons Sample B**

Participant level		Motives for personal reasons			
		not at all	depends on issue	a lot	Total
Collective participant	N	44	240	83	367
	%	12.0%	65.4%	22.6%	100.0%
Leader participant	N	10	73	26	109
	%	9.2%	67.0%	23.9%	100.0%
Total	N	54	313	109	476
	%	11.3%	65.8%	22.9%	100.0%

*Glossary*

Term	Interpretation used
Access	<p>This principle refers to creating opportunities for: i) accessible forms of local governance (Parker &amp; Selman 1999) through association with groups and networks (Portes 1998); ii) gaining access to adequate and appropriate information (Curry 2001; IUCN 2007; UNECE 1998) and resources in order for an individual/group to be able to participate (Long 2000); iii) access to justice; (UNDP/ UNESCAP/ADB ca. 2004; UNECE 1998); iv) and is equally associated with the creation of participatory opportunities through government's adherence to ethical and legal rights (IUCN 2003 a,b and c; Lockwood &amp; Kothari 2006; UNECE 1998).</p> <p>Access to these features is facilitated through the development of groups and networks; and is ultimately enhanced through alliances bridging diverse networks (McGrory Klyza et al. 2004). This consolidation of resources enhances communication between the state, the institutions and the community (Moran 2005; Heywood 2000; Tansey 2004).</p>
Accountable	<p>To be responsible for actions and decisions made and be accountable to the public, institutions and shareholders (Graham et al. 2003b; Kothari 2006; Long 2000). The term has implications for whom the public contacts and necessitates the principle of transparency in decision-making processes. (IUCN 2003b)</p>
Active citizen	<p>Associated with historical views of self-government (Godwin 1793). Modern interpretations range from an anarchic view (Marshall 1986; Heywood 2000) to a prescribed leadership role for communities (IUCN 2003b). Nevertheless, the most common interpretation is of community participation in decisions and activities taken ultimately for a community vision (Parker &amp; Selman 1999) albeit for individual reasons or for the good of the broader society (Offe and Fuchs 2002). Emphasis is placed upon '...social duties and moral responsibilities of citizens...' to participate (Heywood 2000 p120).</p> <p>It is also associated with features of and results from social capital; and is considered to be associated with networks and social organisation and interaction (Adam and Rocnevic 2003; Sobel 2002) providing communities with the opportunity '...to make their voices heard in larger political</p>



	arenas...' (Wuthnow 2002 p63).
Active individualism	In the UK, with the government's role as enabler, this term is associated with '...social integration...a civic society...; (and viewed as a) participating citizen, enabled (as an) individual to develop (his) "autonomy", self-esteem and entrepreneurial attitudes.' (Braun & Giraud 2001 p6). Equally associated with political participation (Borghi and Van Berkel 2005).
Citizen(ship)	Places an emphasis on civic duty and responsibility (Heywood 2000). Further, 'citizenship is a civic community (which) is marked...by active participation in public affairs' (Putnam 1993 p87); and connects the individual and the state by '...reciprocal rights and duties...' (Heywood 2000 p119).
Civil or civic Society	'Distinguished from the state... (in) autonomous groups and associations...' (Heywood 2000 p17); and associated with a '...civic mindedness...' (Wuthnow 2002 p61). An active civil society contributes to the political environment, is interested in political issues and is emphasised by citizen participation and collective action (Frederickson 2004; Graham et al. 2003; Heywood 2000; Hyden & Court 2002).
Collective participant	Associated with the most commonly encouraged forms of citizen participation in local decision-making for the benefit of others or for personal benefit; to have participated once or more with regard to single issues or for long term objectives in the most recent 12 months. This includes traditional and more innovative forms of collective participation including: citizen panels, juries, consultative meetings, decision making committees, public meetings, as members of forums, taking part in demonstrations, picketing and of collective outcomes but demonstrative of independent action, citizen panels and signing petitions (DCLG 2006a ; 2007 a and b)
Community Engagement / community participation	This is used interchangeably with community participation and is associated with the act itself of a community's involvement in making decisions. Considered vital to increase the legitimacy of the state and democracy practiced (Hague & Jenkins 2005). In practice, community participation is commonly associated in the UK with an emphasis on encouraging underrepresented, minority or socially deprived groups so as to address concerns over social exclusion (Countryside Agency 2005a). Of a more general aim, engagement represents the act of communities and

	<p>individuals involved in local governance processes and in helping to inform and influence decisions made (DCLG 2008; IUCN 2003b; Lyons Inquiry 2006). Associated with concerns over rhetoric, there are demands to define the ‘community’ and to broaden community engagement through the development of additional/alternative participatory processes (Burton 2003; Weldon 2004).</p> <p>Further, derived from the Rio Earth Summit 1992 (IUCN 2003 a and b) this term is associated with sustainability (Parker &amp; Selman 1999) as an essential feature of economic, social and environmental agendas.</p>
Community group	Associated with collective action (DCLG 2006a; 2008) and commonly related to its use as the bridging communicative tool between people and institutions to discuss socio-political and/or environmental issues.
Conservation	Conservation of environmental and cultural heritage (NFNPA 2008a). In practice, this is an aim of public sector projects which is increasingly associated with an imperative for community support without which a project failure and rejection by potential funders can result (Campbell & Vainio-Mattila 2003).
Consultation	One of the most frequently used forms of community engagement; represents the act of being asked for views and/or informed of plans. There is no guarantee that the views collated will or have to inform decisions later taken. Thus it is considered as a weak form of participation (Richardson & Connelly 2002). However, with for example, the Aarhus Convention, (UNECE 1998) and in the UK, new statutory duties to involve the community in key decisions (DCLG 2008) views of the community are endorsed to be taken into account by institutions.
Decentralisation and devolution	In the context of local governance and community participation, this term is associated with greater decision making being afforded to regional and local government and agencies. Double devolution is further considered and relates to devolving decisions ‘...from local government to neighbourhoods and citizens...’ (Lyons Inquiry 2006 p69).
Efficient and effective	Whilst all literature emphasises that governance and the institutions need to be effective, the measurement of governance is questioned (Hyden & Court 2002). However, the UNDP associates efficiency with institutions ‘executing their functions; being responsive to peoples needs; being facilitative and enabling...; and operating to the rule of the law’(1997 p20).

	Through this the COEC (2000 p4) links effective governance with enhancing democracy in Europe.
Empowerment	Development of people's capabilities to participate commonly associated with the development of skills to be able to do so and in participating, being able to make informed decisions with institutions as to local priorities and needs (IUCN 2003 a b and c).
Equity	Results in a balance of objectives and views; an equitable access and distribution of power and resources (Long 2000); and equal access to justice (UNDP/ UNESCAP/ADB ca. 2004).
Individualisation	Associated with decreases in participation; developed through negative views of the system and suggested to reflect a culture that rejects collective aims and action (Debicka & Debicki ca. 2005).
Individual	Not participating through collective action rather through individual contact with local MP, council officers or councillors (Oakley 1999).
Institutions	Represents an '...enduring or stable set of arrangements that regulates individual and/or group behaviour on the basis of established rules and procedures...' (Heywood 2000 p93). Political institutions are typically agents of the state and therefore of government (Heywood 2000).
Leader	Of a community group/society/club or collective form of participation and social integration.
Legitimacy	'A dependant variable produced by effective governance...' and associated with enhancing democracy (Hyden 1992 p7).
Local community	In this thesis taken to include people who live within the boundary of the protected area, those on the border and those living in adjacent areas (IUCN 2003b and c)
Public realm	Constitutes the area of '...state and society and draws the line between private and public...' (Hyden 1992 p7).
State	An institutional structure that '...dominates and coordinates law and order.' (Hyden 1992 p7).
Transparency	As to how and why decisions are being made (UNDP 1997 p20).
Wider community	Although, frequently referred to in government documents, a definition is warranted (Burton 2003). In this thesis, this term is taken to be members of a local community who do not participate in formal groups or partnership processes with lead institutions. This section of the local society comprises the non participants, individual participants, collective and some members of

	the leader participants who are not part of the traditional forums and formalised partnership arrangements with institutions.
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