



Department
for Environment
Food & Rural Affairs

www.gov.uk/defra

Catchment Based Approach: Improving the quality of our water environment

A policy framework to encourage the wider adoption of an integrated Catchment Based Approach to improving the quality of our water environment

May 2013

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Any enquiries regarding this document/publication should be sent to us at:

catchpilot@defra.gsi.gov.uk

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1 Introduction

Why are we proposing a Catchment Based Approach?

In February 2011, the Government signalled¹ its belief that more locally focussed decision making and action should sit at the heart of the debate about the future direction of improvements to the water environment and support river basin management planning as part of Water Framework Directive activities.

The water environment is affected by every activity that takes place on land as well as through our actions in abstracting, using and returning water to rivers, the sea and the ground. Catchments are the natural scale to consider this aspect of the environment. We firmly believe that better coordinated action is desirable at the catchment level by all those who use water or influence land management and that this requires greater engagement and delivery by stakeholders at the catchment as well as local level, supported by the Environment Agency and other organisations. This is particularly important when trying to address the significant pressures placed on the water environment by diffuse pollution from both agricultural and urban sources, and widespread, historical alterations to the natural form of channels.

What has helped shape this policy framework?

Engagement and collaborative working sit at the heart of a viable Catchment Based Approach. To develop a clearer understanding of how this works in practice, a number of pilot catchment initiatives were undertaken to develop thinking and to identify the elements of good practice needed to support wider adoption of the approach.

The aim of the pilots was to test the longer term viability of the approach through developing a clear understanding of the issues in the catchment, involvement of local communities in decision-making by sharing evidence and to work out priorities for action. In addition, the pilots looked for opportunities to better co-ordinate and integrate projects to address local issues in a more cost effective way. The pilots were also important in starting to test and assess different ways of working, learning initial lessons around engagement, collaboration and catchment planning first hand.

The pilot and evaluation phase concluded in March 2013 and gives some indication of how catchment level collaboration can better inform river basin district planning². It is also emerging as a key mechanism to better integrate decision making and 'on the ground' delivery in relation to water and the environment within a wider socio-economic context. Through the pilot phase, progress has been encouraging and we hope that many of the groups formed will continue their work supported by this framework. Over time, it is

¹ Defra Statement of Position, February 2011

² As required under the Water Framework Directive

expected that the approach will mature as a mechanism for ensuring that there is strong local support, consensus, effective coordination and efficient channelling of existing and new funding and other resources to deliver local aspirations for the water environment.

We have not set out the detailed learning from the pilots within this framework, although we have provided some information within the appendices, where we think this is helpful. More detailed learning has been captured in an evaluation report (www.gov.uk/government/policies/improving-water-quality) and handbook (www.ccmhub.net) which provides further useful guidance for existing and new catchment groups as the Catchment Based Approach develops.

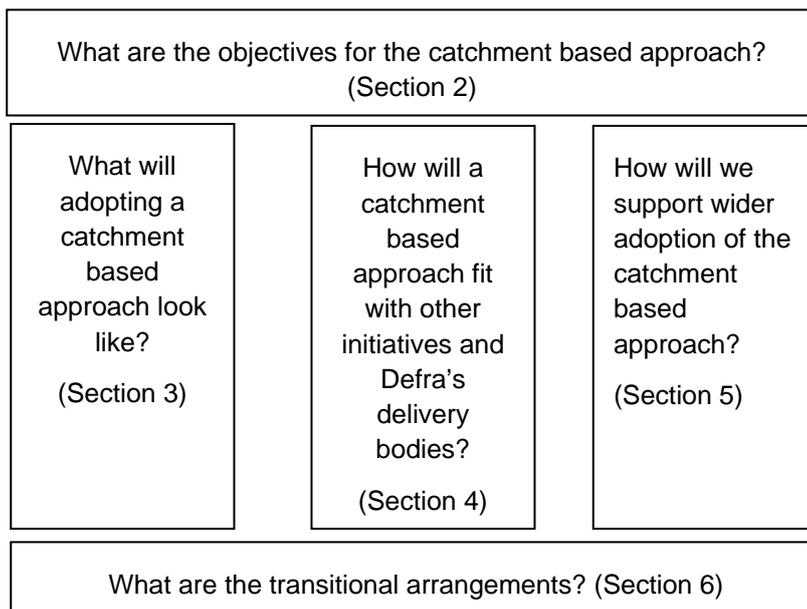
About this document

This document sets out general information about the Catchment Based Approach. It is intended as an initial framework to facilitate different ways of working towards a better water environment. We are deliberately not trying to prescribe how and when local initiatives should work, although we have set out a range of ideas about some of the opportunities we see for such ways of working. The framework is designed to support local action and much of what is described sets out the 'bridge' between local actions and the much larger scale actions described in River Basin Management Plans.

We are not trying to define all the processes and activities needed to make the Catchment Based Approach work. We believe that these should be local decisions wherever possible, to make sure that the approach works in the best way to deliver local priorities. We believe that the approach will develop over time and the mechanisms that will be developed to support this are set out in Section 5.

Structure of the document

The structure of this document is as follows:



About terminology

By nature, many of the activities and concepts are described in different ways by different practitioners. We have used a particular terminology throughout this document, but as with the approach generally, we fully anticipate adaptation to suit local needs.

There are two terms in particular where we have adopted a specific meaning for the purposes of this framework. These are set out below:

Catchment: A geographic area defined naturally by surface water hydrology. Catchments can exist at many scales but within this framework, we have adopted the definition of Management Catchments that the Environment Agency uses for managing availability of water for abstraction as our starting point.

Catchment Partnership: Working at the catchment level, this partnership is a group that works with key stakeholders to agree and deliver the strategic priorities for the catchment and to support the Environment Agency in developing an appropriate River Basin Management Plan, required under the Water Framework Directive.

2 What are the objectives for the Catchment Based Approach?

Delivering a better quality water environment

The objectives for the Catchment Based Approach are:

- To deliver positive and sustained outcomes for the water environment by promoting a better understanding of the environment at a local level; and
- To encourage local collaboration and more transparent decision-making when both planning and delivering activities to improve the water environment.

Adopting the approach will promote the development of more appropriate River Basin Management Plans (which underpin the delivery of the objectives of the Water Framework Directive) but will also provide a platform for engagement, discussion and decisions of much wider benefits including tackling diffuse agricultural and urban pollution, and widespread, historical alterations to the natural form of channels.

Encouraging collaborative working to support transparent decision making

As part of this, the approach will help direct local decisions, made by Government, businesses, landowners and the community, to secure positive environmental improvements for rivers and catchments. Local decision making processes will both help shape and be influenced by broader scale river basin management and planning.

Recognising the role of new and existing partnerships involved in collaborative catchment working

Feedback from the pilot phase suggests that any catchment partnership set up under this initiative would find it useful to have some formal recognition of their status and this framework goes part way towards that.

Our view is that being recognised locally as a credible way of working is just as important. Working to agree priorities and secure actions will require the ability to work effectively through broad-based acceptance and trust, adding value and coordination to important decision making in the catchment. To clarify relationships, agreed catchment partnerships will also be mandated by formal local agreement with the Environment Agency.

Encouraging long term self-sustaining funding arrangements

To work effectively in this way, partnerships working at catchment level will need to secure long term, self sustaining, local funding arrangements and work collaboratively with a broad range of local organisations, businesses and people with the knowledge, credibility and ability to work with, and influence, other local strategic decision makers.

3 What will adopting a Catchment Based Approach look like?

Key principles

We believe that to deliver the objectives outlined in the previous section, successful adoption of the Catchment Based Approach will follow these principles:

- That there is an environmentally focused planning and management process covering every catchment in England.
- That there is an opportunity for local engagement for every waterbody, irrespective of whether or not catchment partnerships exist.
- Formal catchment partnerships will be recognised by the Environment Agency. Leads in partnerships will be agreed with stakeholders in the catchment according to their ability to tackle the issues in the catchment in a collaborative way.
- Catchment partnerships look at the water environment in terms of all the ecosystems services connected to a healthy catchment and aim for better integration of planning and activities to deliver multiple benefits (for example, supporting the delivery of objectives for Water Framework Directive, Biodiversity 2020 and flood risk management).
- Catchment partnerships inform the river basin district planning process and become integral to the way that Water Framework Directive objectives are delivered providing a degree of flexibility to respond to emerging local evidence.
- Other groups in and across catchments continue to operate, particularly at a more local community scale or around a specific issue. They seek any formal recognition of their activities in River Basin Management Plans through the catchment partnership (where they exist) or the local Environment Agency catchment contact (where no partnership exists).

Further

Collaborative working describes the approach to be taken at the river catchment or local and sub catchment scale. How this is organised will depend on priorities for the catchment, the organisations and stakeholders involved and on existing initiatives. Where a structure exists at catchment scale, it can be considered to be the catchment partnership, provided it is supported locally as an effective collaboration group and recognised as a balanced, strategic and knowledgeable partnership that can add value to important decision making in an area. We are not setting out terms of reference for these partnerships; we believe

that these, together with any agreements relating to authority to act (beyond those set out in this framework) are an entirely local matter.

We anticipate that catchment partnerships may have an important contribution to make to strategic land use planning matters within their area. Although not formally included in the Duty to Co-operate in the Local Planning Regulations, the National Planning Policy Framework requires that planning policies and decisions should be based on up-to-date information about the natural environment and other characteristics of the area.

Catchment partnerships will focus on delivering objectives that will benefit the water environment and manage local needs within its constraints. At the core of this will be the need to support river basin management planning objectives – both for identifying measures and delivering them on the ground. Many of the pilots worked in this way in their initial phase, demonstrating how river basin management planning objectives can form a central part of activity at this scale, and we have included a number of case studies explaining how this worked in appendix 1.

We fully expect collaborative catchment working to vary across the catchments. However, there will need to be a degree of consistency required, particularly in relation to how to feed into second cycle River Basin Management Plans and also to ensure that catchments operate within the context of river basin management planning.

A core activity will involve translating environmental problems into actions, using language people understand and connecting with issues they recognise by:

- Considering a wider range of issues across a catchment and explaining the benefits of action, thus enabling more innovative and collaborative solutions to be explored.
- Identifying common goals that connect existing activity more effectively, thus enabling more economic and social benefits to be identified.

As part of this, it is important not to lose sight of Government's national environmental objectives, specifically (but not exclusively) where those relate to improvement in the water environment and Water Framework Directive objectives.

By way of support, we have provided a summary of key activities in appendix 2 derived from the pilot process. These activities are not intended to be prescriptive or exhaustive; they are drawn from the direct experience of the pilots and are therefore intended as a useful guide.

Similarly, in appendix 3 we have set out some of the important skills and suggested roles required to support the Catchment Based Approach. These are the roles we believe are important in supporting wider adoption of this initiative in both the short and longer terms.

We see three natural scales of activity to support the Catchment Based Approach:

- At local community or sub-catchment scale (anything below catchment scale, including at waterbody level) – there is a natural focus on identifying, planning and acting over a relatively small geographic scale with a range of stakeholders and members of the public as appropriate. Activities here will typically comprise a single

project or a number of associated projects with specific (locally focussed) objectives. We anticipate that this scale is where the majority of delivery will take place and this framework is intended to provide support at this scale, rather than to direct the activity.

- At catchment scale - we believe that the space between local or sub- catchment scale delivery and river basin district scale planning is too great and that the catchment provides a useful scale for many of the collaborative activities that need to take place. Catchment scale covers the relevant catchment but is also at a scale which can engage those who will implement or facilitate the actions. At catchment scale, we see stakeholders working together with a focus on understanding evidence and establishing a clear agenda across the catchment, developing an agreed approach that can be delivered through a variety of initiatives at appropriate geographic scales by existing or further community and regulatory actions. We expect that the Environment Agency will support activities at this scale in an appropriate manner as we believe that this is the most effective scale to support the Agency's development of River Basin Management Plans.
- At River Basin District scale – the issues and priorities for water and interrelated land management will be determined. There are ten river basin districts in England. Existing River Basin District Liaison Panels may need to review their terms of reference and membership in the light of this framework document.

These networks are non-hierarchical and have different functions. Their relationship is set out in figure 1 below:

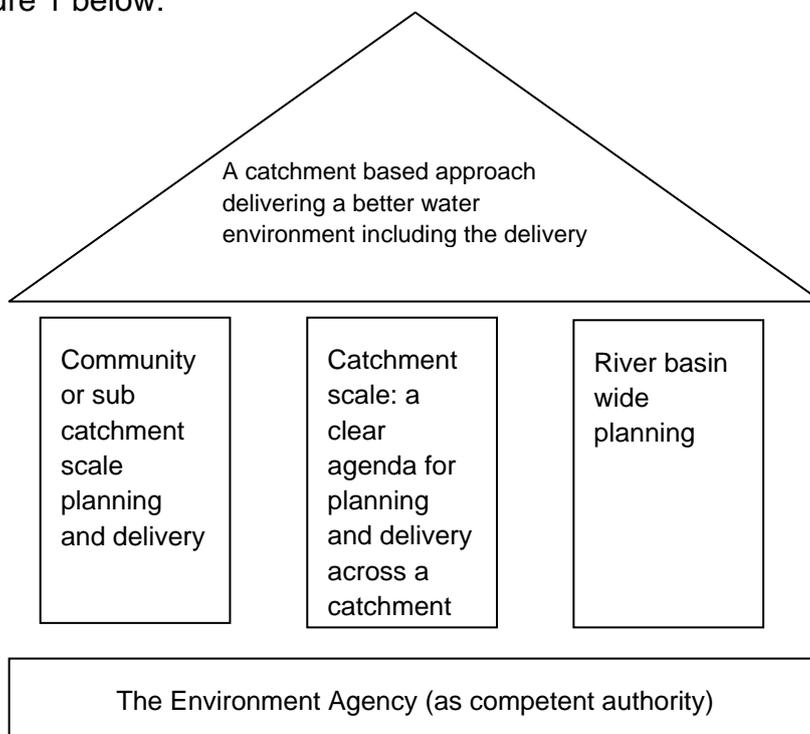


Figure 1: Linking the scales of activity for Catchment Based Approach

In practice all elements of the framework are important to supporting the Catchment Based Approach. We see the framework having an important role to play in making the linkages between a number of current delivery measures (diffuse pollution framework / strategy, Catchment Sensitive Farming, RDPE etc) with activities supported by environmental Non-Government Organisations and other Defra Arms Length Bodies.

Key ways of working

Through the pilot phase we have identified some key ways of working that we think are likely to be an important part of effective collaborative catchment working.

- Developing a shared strategic vision, focusing on outcomes that integrate national and local drivers for improving the water environment.
- Identifying and sharing information with other local partnerships in an accessible manner, in order to develop an understanding of the evidence to determine the environmental priorities.
- Reviewing and understanding the range of activities and partnerships concerned with the sustainable management of the natural environment in the catchment.
- Having a wide ranging regard to activities in adjacent catchments in the River Basin District and to other geographies - for example administrative, landscape scale delivery for nature etc.
- Working collaboratively and following good practice, with a broad range of stakeholders to ensure representation on issues of concern in the catchment, and building on what is already working well.
- Co-ordinating action to deliver integrated outcomes for priority issues.
- Having effective governance in place.
- Having an identified partnership and a Catchment co-ordinator who are knowledgeable, influential and effective communicators They will be able to engage and collaborate with local decision makers and people at a senior level in local organisations and to be the credible holders of any funding available to support this initiative.
- Providing a timely input to second and subsequent cycles for river basin planning as may be defined by the Environment Agency.
- Utilising expert facilitation to help Partnerships address a range of issues for collaborative working including stakeholder identification and analysis, planning meetings, decision-making and engaging with members of the public.
- Engaging with members of the public around both strategic (e.g. plan making) and local activities (e.g. sampling) as appropriate to objectives.
- Filling gaps in knowledge and delivering community aspirations for catchment.

River basin planning is the technical process for developing River Basin Management Plans. Guidance for this can be found at www.environment-agency.gov.uk/research/planning/33106.aspx The Environment Agency (who is responsible for producing these plans) will act as the link between river basin planning and the Catchment Based Approach

Linkages and relationships

The Catchment Based Approach will not act in isolation. It sits within a suite of statutory and voluntary actions and activities, including advice, incentives, regulatory activity and other mechanisms to support the measures required. Figure 2 overleaf sets out the potential linkages between the principal groups and initiatives.

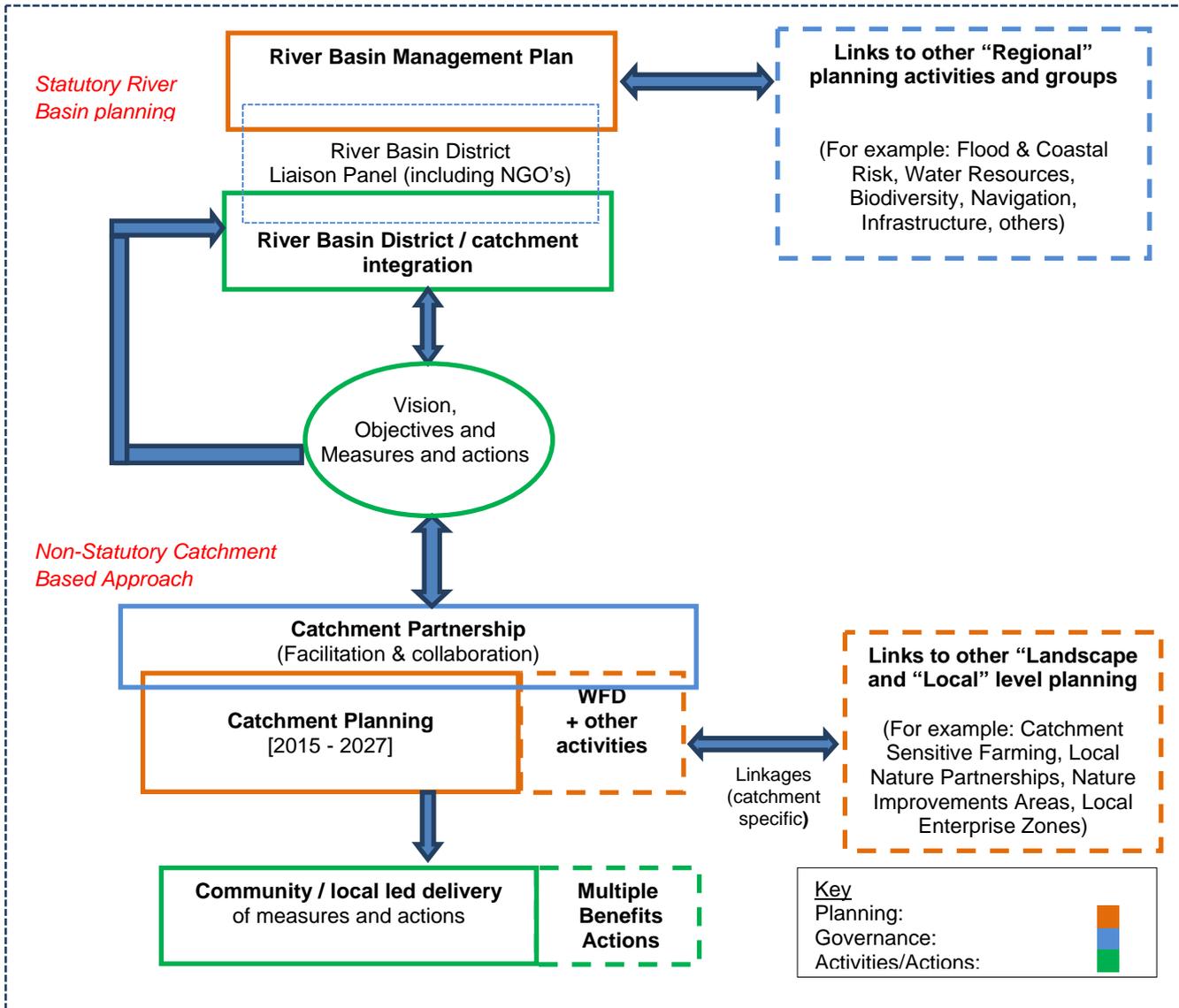


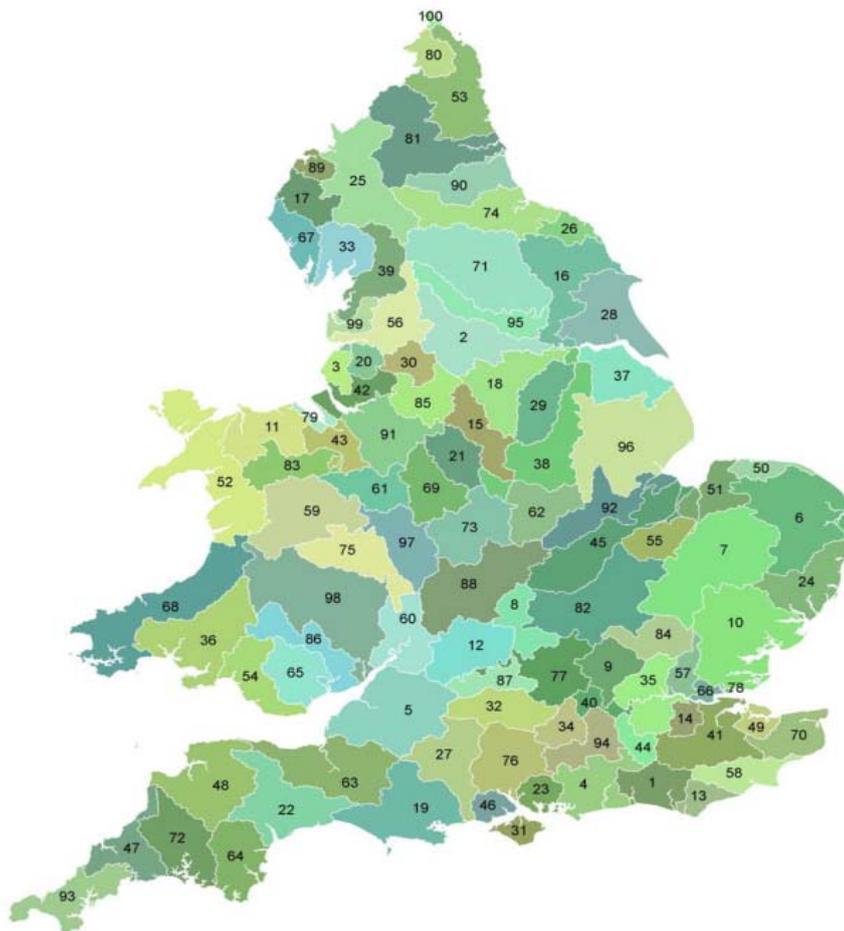
Figure 2: Linkages to other groups and initiatives

Boundaries and Scale

For England, we envisage approximately 80 catchments based upon boundaries that the Environment Agency already uses to delineate the water environment to manage availability of water for abstraction. We expect catchment partnerships to support activities at this scale where there is an interest to do so. It is at this level that we envisage there to be collaborative catchment working linking through to the development of the River Basin Management Plans specifically but also to achieve objectives for other organisations in addition to supporting more local delivery.

The catchment units identified are large enough to add value at a strategic scale but small enough to encourage and support local scale engagement and action. There is a degree of flexibility about the boundaries set out in figure 3 below, provided that the scale chosen delivers the strategic scale value.

Water Framework Directive Management Catchments



0 25 50 100 Kilometres

Map produced 27/07/2011

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Figure 3: Water Framework Directive Catchments (see Appendix 4 for key)

On this basis, and once settled, we do not expect the number or boundaries of these catchments to vary greatly over time, but we can see that they might be subject to change through the first year of wider adoption of the Catchment Based Approach. We will need to ensure that the principle of full geographic coverage for England remains and the Environment Agency will lead on this work to ensure that objective is achieved.

However, wherever boundaries are drawn, there will be a need to work effectively across them – particularly where adjacent catchments lie within the same river basin district.

4 How will a Catchment Based Approach fit with other initiatives and Defra's delivery bodies?

Working with other initiatives

The Catchment Based Approach is one of a number of Defra place-based initiatives along with Local Nature Partnerships and Nature Improvement Areas. They are all equally important and share a common aim to raise local awareness of, and the value placed on, the natural environment. Each was established to engage local areas in identifying and tackling local pressures and priorities, with LNPs intended as looking at the natural environment as a whole.

Local stakeholders should work through whatever arrangements best suit their local priorities and arrangements.

Our Catchment pilots have shown that such initiatives can coordinate and dovetail with catchments where they are co-located. So, as an operating principle, catchments should work cooperatively with other established partnerships and seek to optimise opportunities for integration or alignment, and agree appropriate join up. In this way, all initiatives can act in concert to address components of the same ecosystem.

Some areas may find that a single partnership can fulfil more than one of these roles. We therefore propose that Environment Agency local area offices assess existing partnership in all catchments against the principles set out under Transitional Arrangements later in this framework before deciding whether to establish a separate catchment partnership.

Defra will also look at how we can support these initiatives to work better together in future, as part of the ongoing evolution of the approach.

Working with Defra's delivery bodies

The Catchment Based Approach is a partnership initiative and one in which it is clear that Defra delivery bodies have a lead role with regard to the evidence and information they hold, the actions they take in catchments and the way they interact with local groups. Through Defra's sponsorship arrangements, we will ensure that all the relevant delivery bodies are clear about the roles and ways of working that the expected from them to support this initiative.

The Environment Agency will report regularly on coverage achieved, progress with plans and, where groups are operating, whether that is through its own initiatives or the external groups.

We expect all of Defra's delivery bodies to play an appropriate role in delivering this initiative. This is likely to take the form of:

- Leading where capacity is low and needs building.
- Working in partnership where they can obtain a clear advantage from collaboration or where they can provide added value to the catchment partnership.
- Joining to support catchment partnerships with a single 'voice' where appropriate.
- Ensuring that specific initiatives (e.g. Catchment Sensitive Farming and RDPE) help deliver improvements to the water environment and support the delivery of broader Water Framework Directive objectives.
- Agri-environment schemes that are targeted to support water quality measures once new schemes are designed from 2015.
- Undertaking enforcement activities to ensure baseline legislation is met.
- Identifying additional measures where appropriate to tackle urban and rural diffuse pollution.

In this way we see catchment partnerships can draw down supporting tools and steer contributions from the relevant organisations, where they have a presence.

In particular, Defra expects that our delivery bodies will:

- Help build an evidence-based understanding of the needs of the local natural environment by sharing information they hold about natural assets, the extent and condition of natural resources, biological processes and ecological integrity of a catchment in an accessible way.
- Understand and contribute to national policy objectives by sharing their local strategic priorities.
- Support catchment based delivery by considering collaborative catchment working priorities and ideas when undertaking strategic planning and making decisions about the targeting of resources.
- Make linkages and ensure integration between catchment partnerships and other landscape based partnerships with which they are working.

We fully expect that the Environment Agency, Natural England, and the Forestry Commission will target more intensive involvement on areas where environmental opportunities, needs and risks are greatest. Any prioritisation criteria utilised will be robust and well communicated in order to aid the development of potential projects. It is recognised that this will be essential in gaining the support of organisations involved in catchment level delivery. Our delivery bodies will need to coordinate their local activity in order to properly support the catchment based approach, but we believe that such agreements are best brokered and agreed locally.

5 How will we support wider adoption of the Catchment Based Approach?

Through ongoing evaluation

It is important that we are able to track progress on the wider adoption of the Catchment Based Approach as we fully expect its ways of working to change over time. A key part of collaborative catchment working will be monitoring and evaluation. Progress will be independently tracked, reviewed and evaluated so that efforts can be targeted most effectively and the difference that is being made to their area can be communicated to local people in a transparent way. Although we believe it is for each partnership to decide how they monitor and evaluate their work, and how they communicate this locally, we are currently developing ways of measuring overall progress. This will measure the delivery of Water Framework Directive objectives, which will be communicated back to us via the Environment Agency.

Nationally we are in the process of defining what might be needed to support our future policy development in relation encouraging a wider adoption of the Catchment Based Approach. We will set out the arrangements for this separately, including by publicising how and when stakeholders will be able to contribute to the process. We do however agree that because this framework is a high level document, there is a need to develop the detail in a structured way. We believe that the wider adoption process needs to be overseen by a national level steering group. The details for this group (terms of reference, priorities, work programme etc) will need to be agreed by those involved. The steering group will be independent from Defra, and although precise timescales will need to be determined by the group itself and the individuals involved, we would wish to see this established by September 2013.

Our level of ambition is not just for the short term. It is a long-term commitment, not only for the 2nd Cycle of River Basin Management Plans but also the subsequent planning cycle and to ensure no deterioration in water body status. Ultimately, we want to deliver more ambitious outcomes for WFD by tackling pressures including diffuse pollution and abstraction, in a way that better meets the needs of the water environment, as well as society and business.

We propose that the measures of success of the approach include:

- Stakeholders are closely involved in identifying priorities and taking action to address them.
- Stakeholders understand their role in the CaBA and their influence on river basin planning.
- Additional joint action and external investment is leveraged, with Defra delivery body officers providing key input into the securing of resources
- Measures are planned in a more coordinated, strategic and better targeted way that takes account of ecosystem function.

- Different planning systems and plans are brought together in a synergistic way, with common strategic and spatial points of reference.

Through funding

We fully expect that collaborative catchment working will become self-sustaining in the longer term and as part of that we are likely to have some role in agreeing and allocating future funding to specific projects. How this works in detail will be the subject of future guidance to be published. In addition, a list of potential funding sources and bidding ‘windows’ can be found at www.environment-agency.gov.uk/research/planning/33106.aspx We acknowledge the importance of start up funding, and arrangements for this are set out under ‘Transitional Arrangements’.

We will also be funding a quality-assured national training package which local catchment partnerships can use as they see fit. This, together with tools such as the Catchment Knowledge Hub (www.ccmhub.net) and the Environment Agency’s Catchment Planning System will help ensure a consistent baseline standard in all catchments.

Through influence on river basin planning

A key part of collaborative catchment working will be the awareness of both the timing and requirements for inputting to the 2nd and future cycles of river basin planning. We are not requiring the production of a formal catchment plan – although we believe that catchment partnerships will want to set out their priorities in a way that is meaningful for them – but inputs to 2nd cycle planning will need a degree of consistency across England. The Environment Agency will set out its requirements for this separately and these requirements will be important in ensuring that there is a clearer link between river basin management planning, underpinned by stakeholders at a river basin scale and planning and delivery at a catchment level. We expect the Environment Agency to have due regard to appropriately described inputs and that they are reflected in the River Basin Management Plan. In the interim, the timetable below may act as a guide.

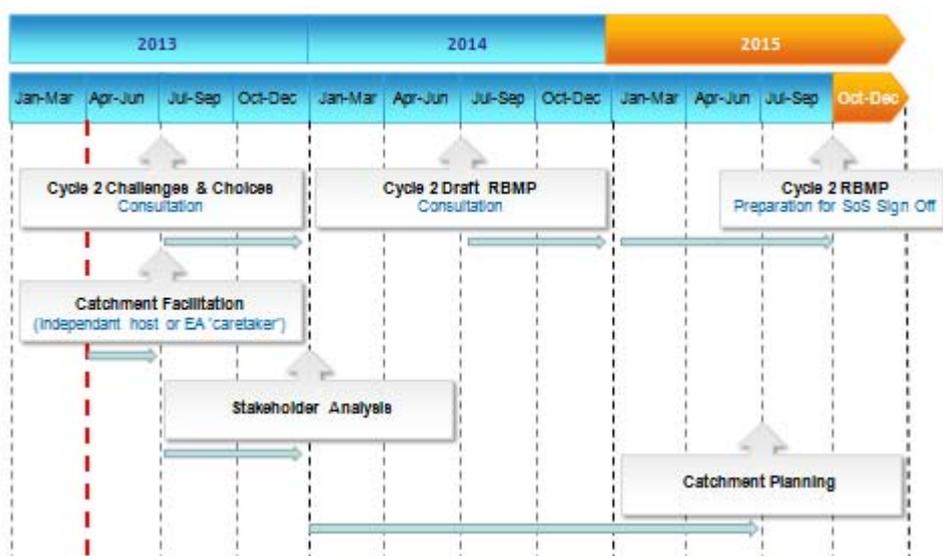


Figure 4: Timescales and stages for the production second cycle River Basin Management Plans

The Role of the Environment Agency (as the Competent Authority)

The role of the Environment Agency is central and critical to effective working of the Catchment Based Approach, particularly so through the early stages of encouraging wider adoption. At local or sub catchment scale, the Environment Agency will continue to support activities with evidence, expertise, advice and guidance. The Environment Agency will also act as regulator – thereby complementing voluntary initiatives as appropriate. The Agency may also work locally to deliver projects and initiatives in collaboration with others where this meets Water Framework Directive or other Environment Agency objectives for improving the water environment.

As this policy framework for implementing the Catchment Based Approach matures, we envisage that the pattern of partnership working and therefore the need for the Environment Agency to be able to support such initiatives will grow.

At catchment scale, we see the Environment Agency as the key player with respect to provision of data and evidence, enforcement of legislation - supporting addressing unsustainable abstraction issues, helping to set priorities, ensuring the catchment geography and catchment partnerships are embedded within Environment Agency functions and linking to future cycles of river basin management planning. Whilst we do not see the role of the catchment partnerships in directing the Environment Agency's (or others) allocation of resources, we do expect the Environment Agency to show 'due regard' to the advice from those partnerships in relation to the priorities set out in the River Basin Management Plan.

In each catchment, an Environment Agency Catchment co-ordinator will provide the link between the specialists within Environment Agency and the catchment partnerships, ensuring good communications and information flow, providing support to collaborative catchment working as a whole and ensuring consistent and high level Environment Agency engagement across all relevant Environment Agency functions.

6. What are the transitional arrangements?

We fully expect the Catchment Based Approach to mature and change over time. Many of the catchments described in figure 3 already have established partnerships in place that we hope will be sustained in the future

Over the coming months we expect that many of the existing partnerships will make the choice regarding whether they wish to continue and, where they are not already covering one of the approximately 80 identified catchments in full, that they will make a decision on whether to extend their remit. We acknowledge that existing partnerships may need support for administration to enable that transition. Although these will be local discussions, the Environment Agency will be at hand to support the transition or the formation of new groups as locally decided.

Individual catchment partnerships will have the flexibility to determine their own structure and make up. Advice on the potential roles / activities identified as being of benefit to partnerships during the pilot phase (facilitators, hosts, co-ordinators, etc.) are set out in Appendix 2 and detailed further in the handbook.

Where there is currently a gap and no local offer to work at the catchment scale, the Environment Agency will temporarily fulfil the role and working with national environmental Non Government Organisations and other organisations like Water Companies, will take an active role in agreeing suitable longer term arrangements.

Of course, it might be the case that locally, the Environment Agency is seen as the most appropriate lead on a permanent basis. Whilst we would support this as a local decision, we would not expect it to become the default position in the majority of catchments.

We also believe that start up funding will be important and we will be making available £1.6M in 2013/14 to support establishing functioning catchment partnerships in addition to the support role provided by the Environment Agency. Catchment partnerships will need to establish new funding sources thereafter.

£1m of the funding will be available to provide match funded support for the critical partnership lead/facilitators role in the form of a charitable grant. This will be distributed by the Environment Agency in proportion to catchment need within river basin districts and against the criteria within this framework. A further £0.2m will be used to develop and deliver a training support package for the partnerships. And up to £0.4m will be for direction by the national level steering group to invest as they see best. This investment would still be administered by the Environment Agency but might fund further support for catchment partnership leads/facilitators; enhancing the planned central training; or, to develop further tools such as, a visual catchment representation or cost benefit analysis tools to facilitate further engagement and action.

The Environment Agency will set out how the funding allocation process for the critical role of independent Catchment facilitator/lead will work in separate guidance. Preference should be given where:

- Collaborative working will deliver strategic benefits for the River Basin Management Plan by focusing effort at priority protected area and/or Water Framework Directive environment outcomes.
- It is likely to achieve multiple outcomes by delivering wider Defra policy objectives such as tackling diffuse pollution, mitigating impacts of floods and droughts, enhancing and protecting biodiversity and delivering Natural Environment White Paper objectives.
- There is a clear endorsement from a broad range of catchment stakeholders that there will be significant collaborative advantage in working together, and engaging with wider communities/public.
- The proposed facilitator/lead demonstrates they have the necessary skills and experience, and have the endorsement of a broad range of catchment partners to encourage and facilitate contributions (i.e. not unduly influence catchment partnerships).
- It is demonstrated how prime-pump funding is likely to lead to longer term funding to ensure the catchment partnership is sustainable (e.g. by building upon existing commitments for collaborative working, and/or have credible offers of potential funding from partners).

Appendix 1 Case Studies – Many forms of Collaborative Catchment Working

'The Nene Integrated Catchment Management pilot – Partnership at the heart of planning, innovation and growth' Recognising the numerous on-going initiatives in the Nene catchment, area, the River Nene Regional Park Community Interest Company, who hosted this pilot, viewed the catchment process as developing an overarching plan across existing Strategic Spatial Plans, Green Infrastructure plans, and Local Enterprise Partnerships. Rather than setting up a separate steering group on river basin planning, relevant issues were discussed at meetings of existing groups. Urban walkovers were used to draw together organisations that might not otherwise meet, to look at waterside sites and discuss issues in an open forum. This provided an opportunity to influence urban planning and regeneration through the integration of water quality and WFD objectives at the earliest possible stage. Comments, proposals and photographs were mapped to allow for an easier and more immediate understanding of the issues and bring forward investment to deliver WFD objectives and Green Infrastructure benefits through the catchment.

The Integrated Local Delivery approach (ILD): In the Cotswolds Catchment, Gloucestershire FWAG and the Countryside and Community Research Institute have been using ILD to inspire and enable local communities and organisations to work up projects with multiple benefits, with the support of the wider catchment partnership. Working with the local EA team it has been possible to apply a project template to each water body at the farm or parish level, targeting action to deliver against known WFD failures. Valuing and respecting local knowledge and resources helps to enhance the overall understanding of the area, identify shared problems and prioritise actions at the local level and can lead to coordinated activity at catchment and river basin levels too. The approach involves GIS over-layering locally identified projects and a wide range of regional, national or international objectives, environmental, economic and social. The ILD framework helps to integrate objectives thus providing a delivery mechanism for partnerships (WFD, LEPs, LNPs, etc) linking Defra, DCLG and others and exploring opportunities to match fund delivery.

In the ***Bradford Beck*** a small river system that flows through the City of Bradford, leadership and decision making was provided by the host organisation, the Aire Rivers Trust (ART). A steering group of around seven members provided: advice on strategy and tactics; contacts and links into their organisations and others; and relevant data and information. Key stakeholders were also engaged at targeted workshops to identify and seek views on priority issues to be addressed and required actions in the catchment. Wider riparian owners, for example, businesses on the floodplain were approached individually. Members of the public were involved through a volunteer group set up and trained to undertake water quality and invertebrate surveys in the catchment. In addition, the pilot was promoted through a wide range of media including the development of a "blog" site and via local newspapers and television.

*In the **River Welland**, a largely rural catchment, the host organisation was the Welland Valley Partnership (WVP) a newly formed partnership between the Environment Agency and the Welland River's Trust. A Steering Group of ten members was responsible for determining the direction and focus of the pilot, and three topic specific Sub-Groups were set up to develop and deliver specific elements of the work-plan. WVP raised the profile of the pilot by working with community groups and individuals with a potential interest in the pilot and held three workshops. Wider community engagement is seen as a key activity for the next 12 months.*

*In the **Tidal Thames**, the Your Tidal Thames (YTT) project governance is split between two co-hosts, Thames21 and the Thames Estuary Partnership. With the aim of engaging the high number of people and variety of user groups along the tidal Thames, and with limited descriptions of the reasons for failure (as part of WFD), YTT created a consultation method that allowed for the bottom up identification of issues on the river. Public engagement was a major part of the work of YTT. Pop-up workshops' were used at existing events to raise awareness of YTT and to ask members of the public "are you aware of a problem affecting the tidal Thames?" and "what do you think can be done to address the problem". YTT also engaged stakeholders via face to face meetings in six areas across the catchment (where there was greatest potential to make a difference and make constructive stakeholder links in the time allowed) to raise the profile of YTT, identify existing projects, get buy into to the YTT process and to populate the Plan. A light touch steer was provided by a Strategy Group of approximately 20 key stakeholders, which met twice over the 12 month pilot period.*

*The **Bassenthwaite Vital Uplands** project is one of three Natural England pilots testing the ecosystem approach to deliver multiple benefits in the English uplands. The project builds upon existing catchment level work seeking to improve ecological quality of Bassenthwaite Lake and a United Utilities catchment approach to securing drinking water quality. By bringing in a range of other partners who represent ecosystem service providers, statutory regulators and the people who benefit, the range of ecosystem services being considered has been expanded beyond water. The project has sought to develop a consensus view on current and future ecosystem service provision. This view has been driven from the bottom up involving a wide range of people from the outset. The Bassenthwaite pilot has involved over 70 people (including 19 local farmers) to plan habitat creation and improvement works which are predicted to improve water quality, benefit biodiversity, improve carbon storage, reduce flood risk and increase recreation opportunities whilst maintaining viable rural businesses. The actions identified are now being implemented through better join up across existing initiatives such as agri-environment schemes, River Basin Management Plans and investments from the water companies and others. There is also a trial initiative which is looking at how a voluntary tourist bed tax might be used to fund land management. The three pilots are among the only examples of a collaborative and bottom-up approach to setting future land and water management objectives based on ecosystem service provision. The pilots demonstrate that it is possible to integrate a range of objectives within a given place and involve a wide range of interests in deciding how a landscape should function in the future*

Appendix 2 Activities typically undertaken as part of collaborative catchment working

Preparing	Appointing a catchment facilitator/lead
	Planning the programme
	Baseline Activity Mapping – current plans and stakeholder projects
	Stakeholder Mapping
	Developing a shared evidence base (baseline and self-generated) and sharing it, for instance through catchment walkovers)
	Planning stakeholder involvement
Doing-collaborating	Building relationships
	Setting up a catchment partnership
	Linking to related partnerships eg NIAs LNPs Biodiversity groups, Marine
	Agreeing specific objectives
	Developing a shared vision
	Agreeing catchment problems and priorities
	Agreeing ALL measures needed
	Agreeing timetable by which measures will be implemented (and unknowns become known). Where exemptions are to be used, they are agreed and justified within the partnership.
	Maintaining communications
	Organizing catchment walkovers with clear objective

	Agreeing actions and gaining commitment
	Establishing outline costs and effectiveness
	Writing a catchment plan
	Linking to RBMP
Doing – Delivering	Linking into other initiatives
	Galvanizing activity on the ground including gaining funding
	Monitor and measure (iterative process, evaluation used to inform further development of and sharing the catchment plan....etc)results
Checking	Updating the plan

Appendix 3 Competencies and Roles

Four areas of competence emerged as important to successful collaborative catchment working from the evaluation of the pilots:

- *Leadership* - requiring organisational status and support together with networking and collaboration skills to bring people together.
- *Co-ordination* – requiring skills of administration and organisation and importantly resourced time.
- *Expert Facilitation* – requiring skills relating to collaborative working: For example, facilitation, ability to communicate and a willingness to work collaboratively.
- *Technical* - skills required to understand the nature of the problems to be addressed and the data necessary to fill in gaps in knowledge (for example water quality, understanding of the Water Framework Directive and data analysis), as well as the ability to articulate these aspects to a range of audiences.

These competencies are likely to be delivered in distinct roles, and from evidence gathered during the pilot phase we feel these are likely to operate most effectively when shared around those engaged with the catchment and /or those with demonstrable competence and capacity. A short summary of these roles is set out below:

- *Catchment Facilitator / Lead – to champion the approach, energise stakeholders, act a project manager and facilitate contributions. Independent/ third party facilitators are preferred, but where this cannot be achieved, the Environment Agency will undertake the role pending identification of a suitable independent/ third party alternative.*
- *Environment Agency Catchment Coordinator – this role is to act as the main contact point between the partnership and the Environment Agency. The Environment Agency Catchment Coordinator should coordinate respective business support functions in the Environment Agency and work closely with the catchment partnership facilitator/lead to:*
 - Develop a shared evidence base on status, analysis of pressures and relative contributions to those pressures;
 - Raise awareness of relevant regulations and work with and through the partnership to support compliance locally;
 - Identify local actions that are complementary to national and regulatory actions to protect and improve water status and which can be included in River Basin Management Plans.

- *Partnership members – the individuals and organisations within the partnership who contribute to discussion and agreement; contribute voluntary actions; investigate and suggest opportunities.*
- *Defra Arms Length Body members – steer contributions as targeted by partnerships.*

Appendix 4 Catchments (see figure 3)

	CATCHMENT NAME	RIVER BASIN DISTRICT
1	Adur & Ouse	South East
2	Aire and Calder	Humber
3	Alt/Crossens	North West
4	Arun & Western Streams	South East
5	Bristol Avon & North Somerset Streams	Severn
6	Broadland Rivers	Anglian
7	Cam and Ely Ouse (including South Level)	Anglian
8	Cherwell	Thames
9	Colne	Thames
10	Combined Essex	Anglian
11	Conwy and Clwyd	Western Wales
12	Cotswolds	Thames
13	Cuckmere & Pevensey Levels	South East
14	Darent	Thames
15	Derbyshire Derwent	Humber
16	Derwent (Humber)	Humber
17	Derwent (NW)	North West
18	Don and Rother	Humber
19	Dorset	South West
20	Douglas	North West
21	Dove	Humber
22	East Devon	South West
23	East Hampshire	South East
24	East Suffolk	Anglian
25	Eden and Esk	Solway Tweed
26	Esk and Coast	Humber
27	Hampshire Avon	South West

28	Hull and East Riding	Humber
29	Idle & Torne	Humber
30	Irwell	North West
31	Isle of Wight	South East
32	Kennet and Pang	Thames
33	Kent/Leven	North West
34	Loddon	Thames
35	London	Thames
36	Loughor to Taf	Western Wales
37	Louth Grimsby and Ancholme	Humber
38	Lower Trent & Erewash	Humber
39	Lune	North West
40	Maidenhead to Sunbury	Thames
41	Medway	Thames
42	Mersey Estuary	North West
43	Middle Dee	Dee
44	Mole	Thames
45	Nene	Anglian
46	New Forest	South East
47	North Cornwall, Seaton, Looe and Fowey	South West
48	North Devon	South West
49	North Kent	Thames
50	North Norfolk	Anglian
51	North West Norfolk	Anglian
52	North West Wales	Western Wales
53	Northumberland Rivers	Northumbria
54	Ogmore to Tawe	Western Wales
55	Old Bedford including the Middle Level	Anglian
56	Ribble	North West
57	Roding, Beam & Ingrebourne	Thames
58	Rother	South East
59	Severn Uplands	Severn
60	Severn Vale	Severn

61	Shropshire Middle Severn	Severn
62	Soar	Humber
63	South & West Somerset	South West
64	South Devon	South West
65	South East Valleys	Severn
66	South Essex	Thames
67	South West Lakes	North West
68	South West Wales	Western Wales
69	Staffordshire Trent Valley	Humber
70	Stour	South East
71	Swale, Ure, Nidd & Upper Ouse	Humber
72	Tamar	South West
73	Tame Anker and Mease	Humber
74	Tees	Northumbria
75	Teme	Severn
76	Test & Itchen	South East
77	Thame and South Chilterns	Thames
78	Thames (tidal)	Thames
79	Tidal Dee	Dee
80	Till	Solway Tweed
81	Tyne	Northumbria
82	Upper and Bedford Ouse	Anglian
83	Upper Dee	Dee
84	Upper Lee	Thames
85	Upper Mersey	North West
86	Usk	Severn
87	Vale of White Horse	Thames
88	Warwickshire Avon	Severn
89	Waver_Wampool	Solway Tweed
90	Wear	Northumbria
91	Weaver/Gowy	North West
92	Welland	Anglian
93	West Cornwall and the Fal	South West

94	Wey	Thames
95	Wharfe and Lower Ouse	Humber
96	Witham	Anglian
97	Worcestershire Middle Severn	Severn
98	Wye	Severn
99	Wyre	North West
100	Tweed	Solway Tweed