Annexes to Community Adaptation Planning and Engagement (CAPE) on the Coast

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Scott Wilson

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Rev	Date	Details	Prepared by	Reviewed by	Approved by
01	November 2009	Final Draft	**Stuart Woodin** Associate	**Stuart Woodin** Associate	**Jeremy Richardson** Director
			Amalia Fernandez-Bilbao Senior Consultant		
			Shibani Bose Consultant		
			Lindsey Colbourne Lindsey Colbourne Associates		
			Paula Orr Collingwood Environmental Planning		
			Clare Twigger-Ross Collingwood Environmental Planning		

Scott Wilson
6-8 Greencoat Place
London
SW1P 1PL

Tel 020 7798 5000
Fax 020 7798 5001

www.scottwilson.com

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Appendix 1: Characteristics of type A, B or C decisions (Step 2)

Introduction

Step 2 of CAPE refers to 3 different types of decision-making environments which will have a significant bearing on the type of engagement required. The additional information below provides further help for authorities to identify which type is relevant.

Type A decisions: Narrow

*Characteristics***:** In these situations there is low conflict, controversy or uncertainty about the adaptation situation or response. There may be few or no alternative options due to the decision being constrained by time, procedure, resources to consult or crisis.

Use Type A:

- When quick decisive action is required e.g. emergency situation
- When actions HAVE to be taken - no alternative options
- In high certainty (e.g. of achieving outcomes in a particular way)
- When immediate temporary solution is required due to time pressure or other factors
- When status quo is to be maintained, or changes are very minor

Type of engagement:

- Focus on providing good information about the work and decisions
- Carry out targeted informal engagement (or statutory consultation) rather than larger scale consultation

*Examples***:**

- Awareness raising campaigns
- Behaviour change/capacity building programmes
- Emergency responses
- PR programmes
- Very targeted consultations on minor changes (e.g. to procedure).

*Beware***:** Adopting this approach by default or because it seems easier, especially when there is a range of options that could be usefully considered and influenced by other perspectives. If Type A is adopted when Type B or C are more appropriate, it risks unnecessary conflict developing which can then only be rescued by a Type B or C approach (at greater cost due to the lost good will).

Classic Type A process (typically conducted over weeks or months)	
1 Informal scoping engagement	Convene project team (see Guidance 3.3.6) to plan the approach. Emphasis is on planning implementation rather than engaging others in decision-making. External engagement in this scoping phase is limited to very small number stakeholders e.g. Specialist Advisory Group or one to one meetings or behaviour change consultants.
2 Formal Consultation	*Only* undertaken if required (e.g. by Defra, European Legislation) for 12 weeks, written or online. Some work may be done in parallel to prepare for/inform the wider communication required in phase 3.
3 Feedback and Implementation	Primarily one-way communication planned and delivered to inform others of the process and/or decisions and/or requirements. Where behaviour change is required, this may include ongoing support, grants, incentives as well as more traditional communications.

Type B decisions: Moderate

*Characteristics***:** In these situations there is a need for buy in from a number of stakeholders (individuals, organisations and/or communities) to ensure the problem definition and adaptation plan is well informed AND to reduce risk of non-delivery through resistance or opposition by individuals, communities, partners or other stakeholders. Alternatively the situation may require trade-offs and compromises.

Use Type B:

- When the issue is technically divisible (winner and losers)
- When the commissioning body cannot deal with the issue alone and there are other competent players to solve the problem
- When the commissioning body is sure that it or others have made a mistake
- When issues are very important to one or more 'objectors'
- To build social credits for later use
- When maintaining or building the relationship is as important as the issue at hand (e.g. with some stakeholders)

Type of engagement:

- Ensure time is taken to carefully identify the stakeholders and then to engage them in scoping the problem or issue from a range of perspectives *before* going on to look at solutions.
- Gather and use social intelligence to maximum effect.
- Consider being a participant in the process rather than running it (particularly where the commissioning body is not central to the issue)
- May involve liaison or technical advisory groups at key points in the process.
- Target formal consultation at those affected, perhaps through local or specialist press and face-to-face events to augment any written/online consultation.

Examples:

- Initial Stakeholder Audit
- Kick-off Workshop
- Serviced, cross-sector working group
- Targeted leaflets & use of specialist press (e.g. voluntary sector newsletter)
- Face-to-face events

Beware: entrenching different views too early on; being overly-influenced by the most vocal individuals or organisations

Classic Type B process (typically conducted over months or years)		
1	**Informal scoping engagement**	Convene project team (see Guidance 3.3.6) to plan the approach. One plan established, contact made and regular liaison established with key stakeholders (e.g. via a liaison group, attending their meetings, bilateral negotiations) to gather their views to inform analysis and options. May include market research to wider public to inform decisions
2	**Formal Consultation**	• Written/online consultation undertaken (for 12 weeks) if required (e.g. by Defra, European Legislation) or if all key stakeholders not engaged through informal engagement. May involve workshops/face to face events and use of specialist press to reach particular stakeholders. Some work may be done in parallel to prepare for/inform the wider community communication required in phase 3.
3	**Feedback and Implementation**	• Feedback of result of the consultation and the influence on decisions sent to individual stakeholders *and* more broadly publicised to the community (e.g. on website, media, local press and media). Tailored work to incentivise/build capacity to enable stakeholders to implement decisions effectively.

Type C decisions: Extensive

Characteristics: In these situations there is, or could be, high conflict, controversy and uncertainty about the need to adapt and/or the way to adapt. The decision is likely to affect many, rather than a discrete number of stakeholders and they may be individuals, organisations, public and/or communities.

It may be that some stakeholders will be disproportionately affected, or that one set of stakeholders may gain while others lose out. There may be a need for shared ownership of the solution by multiple actors in order that they will play their full role in delivering it (e.g. working in partnership to fund or deliver or maintain defences). There may be significant risk of sufficient opposition to derail any scheme unless people are part of finding the solution.

Use Type C:

- To find solutions which integrate a number of different agendas, opportunities or problems

- When the commissioning body is not able to deal with the issue alone and needs to work with other competent players to solve the problem (because they bring information, support, resources or influence)

- To gain commitment for the implementation of the decisions

- To have better understanding with the participants

- When the 'best'/optimal outcome is unknown and may be uncovered by negotiation, or, is defined as the negotiated outcome

Type of engagement:

- Carefully plan and manage the engagement process via your project team

- Builds broad ownership from the inception to the delivery of the project or programme.

Examples:

- Informal Scoping Engagement (see box below)

- Full stakeholder audit

- Workshop chaired by an independent facilitator

- Serviced, cross-sector working or partnership group

- Website

- Sessions with harder to reach groups

- Street meeting and other face-to-face events such as surgeries

- Targeted leaflets

Beware: This approach takes quite a while to set up (although benefits are reaped later in the project). Do not use if not open to influence from outside: if a strong preference for an option exists, and engagement aims to convince stakeholders of this option, see type A instead.

Classic Type C process (typically taking place over a year or more)		
1	**Informal scoping engagement**	Convene project team (see Guidance 3.3.6) to plan the approach. Carefully plan the engagement programme including a range of ways for people to get engaged, targeted at both organisations and individuals (communities and public). See detailed steps in the Guidance. Initiate engagement with some form of open engagement to raise awareness of the issues and invite early input to the debate e.g. website, exhibition, launch event, articles, leaflets, attending others meetings and information exchange sessions. Establish collaborative mechanisms with broad membership to continue involvement, enabling a wide range of stakeholders, including the public, to work through the decision from framing the problem to be solved, the options, and assessment of options and selection of preferred option. E.g. liaison groups, conferences, online debates, task and finish groups, joint fact finding groups, stakeholder dialogue processes and drop-in sessions. Consider using independent facilitation services to act as an 'honest broker' for these discussions. Market research in the community may be useful to check wider opinion. Wider communication of progress of discussions assists in keeping a wider set of people updated, preparing for phase 2.
2	**Formal Consultation**	Written/online consultation undertaken (for minimum of 12 weeks) on the results of the collaborative work conducted in phase 1. Range of formats/languages may be required to reach beyond the usual consultees. May involve workshops/face to face events to reach particular stakeholders and communities. In larger areas, use of citizens' summits, citizens' juries and other deliberative consultation techniques. Some work may be done in parallel to prepare for/inform the wider communication required in phase 3.
3	**Feedback and Implementation**	Feedback of result of the consultation and the influence on decisions sent to individual stakeholders *and* more broadly publicised to the community (e.g. on website, media, local press and media). Tailored work to incentivise/build capacity to enable stakeholders to implement decisions effectively.

Appendix 2: Adaptation project plan table and diagram (Step 5)

The following table sets out the different things that need to be considered for each phase of the adaptation plan.

Month	Decision making process	Engagement activity	Technical or statutory (typical programme) activity or process	Comments and major changes in how 'typically' done
	Phase 1. PROBLEM DEFINITION, **Getting understanding and buy in to the issue/need** (e.g. that there is a problem to be solved), **and working through emotional, technical and awareness-related issues**, both internally and externally	E.g. Public exhibition setting out view of risk and problem to be solved: consult on their flood experience and views	E.g. Confirm design parameters (design freeze) E.g. Clarify SMP parameters	E.g. Adding social/economic considerations to design parameters (from public exhibition) will demonstrate this is not just an engineering question
	Phase 2. Collating the results and publicising (including setting out the PROCESS: how stakeholders can get engaged in next part of the engagement process)			
	Phase 3. SOLUTION FINDING. Generating and exploring all possible solutions/options (and permutations of those options)			
	Phase 4. Reducing any uncertainties or filling gaps in information			
	Phase 5. Evaluating options and deciding what goes ahead			
	Phase 6. Explaining the choice against feedback received, and how comments have or haven't been taken into account			
	Phase 7. Implementation and review			

Appendix 3: Summary of other planning processes on the coast

Introduction

Adaptation planning will need to take place within an existing framework of planning activity on the coast. Technical plans for flood and coastal erosion risk management will set much of the context for adaptation planning. Spatial planning is likely to be a key to delivery of adaptive solutions, as well as providing existing mechanisms for community engagement.

Adaptation planning can feed into and feed off this wider planning system and take advantage of new or enhanced democratic structures at the Parish level to strengthen whole community planning.

Flood and Coastal Erosion Risk Management (FCERM)

Decision making in relation to Coastal Erosion and Flood Risk Management follows a three tier process from the policy to the flood defence scheme level:

- Shoreline Management Plans: Set out the overarching policy for a stretch of the coast;
- Coastal Strategy/ Study/ Defence Strategy: Looks at the range of options to implement the policy in the SMP for an area;
- Scheme level: actual flood or coastal defence or other capital work.

Shoreline Management Plans

Shoreline Management Plans (SMPs) are long term, high level assessments of erosion and flood risk on the coast. An SMP sets out the overarching policy for a stretch of the coast. The SMPs are currently being reviewed and the Government's deadline for new SMP2s to be finalised is December 2010.

The boundaries of an SMP are based on coastal processes rather than on administrative boundaries. Therefore they normally cover the coast of several local authorities. The local authorities covered by an SMP together with the Environment Agency and other key stakeholders will form a Coastal Group. Each Coastal Group will be led by a representative of a local authority. The Coastal Groups are responsible for SMP preparation whilst the Environment Agency has quality control of all the SMPs.

Communities are represented in Coastal Groups through local authorities and elected members groups. In addition, an SMP process will include public consultation and engagement at different points based on Defra's Guidance on SMP preparation.

SMPs are also meant to be part of the evidence base for regional and local spatial plans and strategies (see spatial planning section). However, in practice and because of timescales and other issues, the link between spatial planning and coastal policies is not always present.

Defra's Guidance on SMP preparation requires that, '*SMPs will include an associated action plan. This should include a prioritised programme of future strategies, and an outline of future schemes, coastal monitoring and studies. This programme will be useful as the basis for developing medium-term plans and should be realistic*

in achieving the policies that the SMP sets out. The action plan should be affordable, setting out the sources of funding for achieving the plan.'

The action plan should form the basis for any future changes in regional and local coastal policies and how this will be achieved. It should:

- confirm the methods that have been used to make sure the plan contributes to Regional Spatial Strategies and Local Development Plans; and

- make it clear how stakeholders can get involved in this process and how to contact the various partner authorities that have adopted the SMP findings.

In terms of involving communities in adaptation planning and linking with spatial planning, an SMP action plan is seen as a key opportunity by Defra. Care should be taken that the definition of 'stakeholders' in this context includes the communities that will be affected by the SMP policies. This engagement provides a good opportunity to follow the CAPE process.

Coastal/ Estuary Strategies

Coastal Strategies or Coastal Defence Strategies are prepared for a stretch of coast normally belonging to a single local authority or county council. An SMP will include an 'Action Plan' with recommendations for Local Authorities or the Environment Agency to prepare costal strategies. Coastal Strategies explore the range of options to implement the SMP policy for a certain area.

This will include the capital works such as flood defences that may be needed to implement these policies. They are led by Local Authorities or the Environment Agency depending on which is the prevalent coastal issue for an area. Local Authorities will lead if the main coastal issue is erosion while the Environment Agency will be responsible if the main issue is coastal flooding.

In some cases, Coastal Strategies may include a wider set of issues than just coastal erosion and defence management. For instance, Lincolnshire County Council Coastal Study aims to integrate a range of coastal issues, including regeneration, economic interests, biodiversity etc. The ultimate aim of this study is to deliver sustainable communities on the coast.

Coastal Erosion and Flood Defence Schemes Funding and Prioritisation

The majority of the funding for flood and coastal erosion is set by central government and it is a finite amount of money that has to be prioritised. The Government's approach to funding and prioritising schemes is available on Defra's website[1]

Integrated Coastal Zone Management

Management of the coastal zone is extremely complex. On land local authorities have a key responsibility for planning. At sea management mainly falls to central government departments, who have traditionally followed a sectoral approach to management.

Integrated Coastal Zone Management (ICZM) is the adoption of an integrated or joined up approach towards the many different interests in both the land and marine components of the coast. It is the process of harmonising the different policies and decision making structures, and bringing together coastal stakeholders, to encourage concerted action towards achieving specific goals.

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[1] Defra (n.d) Funding, available: http://www.defra.gov.uk/environment/flooding/funding/index.htm (accessed: 30 November 2009)

ICZM is often taken forward at local level by coastal fora and coastal partnerships who bring stakeholders together to discuss practical arrangements for managing and protecting the coastal zone. However, this local level action is only part of a wider integrated system which needs to be implemented both horizontally and vertically to government level.

More information is available on Defra's website[2]

Spatial Planning

Regional Spatial Planning

Currently, there are two key strategies that exist at the regional level:

- The Regional Spatial Strategy (RSS): which sets out the broad development strategy and planning policies for a region for a 15 to 20 year period. The RSSs have been prepared by the Regional Assemblies (or in London the Mayor). Regional Assemblies are currently being replaced (see below).

- Regional Economic Strategy (RES): prepared by Regional Development Agencies (RDAs) aim to establish priorities for improving regional economic performance, and to identify strategies for achieving them.

Following a recent Government Review, the two strategies above will be integrated in the future into a Single Regional Strategy (SRS). This SRS will be prepared jointly by the RDAs and local authorities Leaders' Boards (representing all the local authorities in a region).

Both the RSS and RES are key strategies for the coast. They often include dedicated policies that address coastal issues. However, the regional level is often considered too strategic for communities to be interested or involved in. A possible solution, which has been adopted by the North West Region, could be to include groups that represent coastal issues or coastal communities such as Coastal Fora/ Partnerships or LSPs for coastal local authorities (see section below) which are already represented in Leader Boards. These groups could be made up of those mentioned above (coastal fora/ partnerships, LSPs representatives, etc). This approach has been adopted by the North West Region where a coastal chapter in the RSS was drafted by their Regional Coastal Forum.

Local Spatial Planning

The Planning and Compulsory Purchase Act 2004 introduced a new planning system to manage how development takes place in towns and the countryside.   At the local authority level (district and unitary level), Local Development Frameworks (LDFs) were introduced to outline the spatial strategy for the local area. LDFs are a collection of different documents which are referred to as Local Development Documents (LDDs). The key LDDs in an LDF from a coastal point of view are:

- The Core Strategy which sets out the spatial vision for the local area and the broad development location. The Core Strategy for a coastal authority could include particular policies for the coast and/or direct development from areas at high risk. These policies could make provisions for adaptation measures e.g. by allocating land for future roll-back of properties or assets.

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[2]Defra (n.d.) Integrated Coastal Zone Management, available: http://www.defra.gov.uk/environment/marine/iczm.htm (accessed: 30 November 2009)

- The Statement of Community Involvement which sets out the ways in which individuals and groups will be consulted and engaged in the LDF.

- Area Action Plans (AAPs) and Supplementary Planning Documents (SPDs) which provide detailed planning frameworks for particular issues or areas. Preparing an SPD or an AAP for a coastal area in a local authority could facilitate adaptation planning.

Whole Community Planning

The 2008 White Paper 'Communities in control: real people, real power ' sets out to give local people and local communities more influence and power to improve their lives: 'It is about creating strong, prosperous communities and delivering better public services through a rebalancing of the relationship between central government, local government and local communities.'

On the first of April 2009 a new 'Duty to Involve' came into force for all local authorities and other organisations across England. The purpose of the duty is to: 'embed a culture of engagement and empowerment. This means that authorities consider, as a matter of course, the possibilities for provision of information to, consultation with and involvement of representatives of local persons across all authority functions'.

In order to deliver these new duties and put emphasis on community empowerment, the following structures exist at the sub-regional, local and neighbourhood level:

- Sub-regional: Multi- Area Agreements (MAAs)

- Local: Local Strategic Partnerships (LSPs), Local Area Agreements (LAAs) and Sustainable Community Strategies (SCSs)

- Neighbourhood: Parish Plans, Neighbourhood Agreement or Charter (Neighbourhood Management)

These structures are closely linked to spatial planning, particularly at the local level.

Multi-Area Agreements

These are similar to Local Area Agreements (which are discussed in more detail below) but operate at a sub-regional level and involve working across local authorities.

One example of a MAA that is relevant for the coast is the Partnership for Urban South Hampshire (PUSH). PUSH is a partnership of 11 local authorities established to take action to improve economic growth performance in South Hampshire. Although its main focus is economic growth and regeneration, the PUSH partnership covers areas at high and increasing risk of flooding, particularly in the context of climate change.

Local Strategic Partnerships (LSPs), Local Area Agreements (LAAs) and Sustainable Community Strategies (SCSs)

A Local Strategic Partnership (LSP) is a non-statutory, multi-agency partnership which matches local authority (council, unitary, district) boundaries. LSPs bring together local public, private and community groups working at a local level. LSPs are serviced and often chaired by the local council and encourage and facilitate different organisations to work together to deliver services more effectively. LSPs are intended to provide a link between strategic issues and the local community. Organisations such as the Environment Agency who have responsibilities for flood and coastal erosion are one of the potential partners of an LSP.

The LSPs are responsible for creating a long-term vision for the area to tackle local needs. This long-term vision is set out in the Sustainable Community Strategy (SCS) for an area. The Local Area Agreement (LAA) is the funding mechanism for delivering the vision and thematic priorities set out in the SCS.

Government policy and guidance highlights the need for a 'dynamic relationship' between the SCS and the 'Core Strategy' within the Local Development Framework which sets out the key options and visions for the development of an area.

Therefore, Local Strategic Partnerships, or rather a coastal sub-group of an LSP, could be an ideal forum to discuss coastal issues with communities, physical/environmental, planning and regeneration organisations. However, be aware that coastal issues are not currently mandatory in LSPs, SCSs and LAAs.

Community Planning and Neighbourhood Management

Community led planning is a well established practice in many parts of the country. This takes the form of parish planning in rural areas, action planning in market towns and neighbourhood management/ planning in urban areas. Recent Government Guidance, Planning together (2009)[3] has highlighted that community led planning is valuable in two key ways:

- It provides data about the characteristics of settlements and neighbourhoods, their needs and issues; and

- It provides evidence about the visions and aspirations of the local community.

ACRE (Action with Communities in Rural England) defines Community Led Planning as a 'step-by-step structured process, taken on by local community activists, to create a vision for a community and an action plan to achieve it. The process involves using a mix of evidence collection, different types of consultation and debate at the very local neighbourhood level. It is designed to be a process in which each and every citizen can participate and results in very high levels of participation. The resulting vision covers the social, economic, environmental and cultural well-being of the community and all those who live and work there.

ACRE has also prepared guidance for communities to produce Parish or Community Plans through a simple 9 Step Process. This process is mainly aimed at bridging and connecting with their local authority and particularly at liaising with the LSP and LDF.

Neighbourhood Management is intensive local management with strong community involvement aiming to tackle quality of life ("liveability") issues in specific geographical areas through thematic programmes focusing on:

- Better management of the local environment;

- Increasing community safety;

- Improving housing stock;

- Working with young people; and

- Encouraging employment opportunities.

A key aspect for the success of Neighbourhood management partnerships is obtaining support at the strategic level through the active involvement of the local strategic partnership (LSP). Neighbourhood Management is also seen as one of the best ways to deliver effective neighbourhood renewal which is linked to regeneration.

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[3] CLG (2009) Planning Together: Updated practical guide for local strategic partnerships and planners [online] available at: http://www.communities.gov.uk/publications/localgovernment/planningtogether (accessed: 3 November 2009)

Many coastal towns that are affected by flood and erosion risk are also in need of regeneration. Coastal communities that are at high risk of flooding or erosion may face a stalling of regeneration investment and potentially community blight. Therefore Neighbourhood Management is a potential vehicle to make the links between regeneration and coastal issues.

Parish or Neighbourhood Management groups in coastal areas could therefore be usefully involved in planning for adaptation to coastal change. Our case study undertaken in Mablethorpe (East Lindsey) showed that the community has an active Neighbourhood Management Group formed by local residents and councillors and led by the District Council (East Lindsey). The group is well placed to manage the growing concerns triggered by the SMP2 consultation that the town is not going to be defended for much longer and could play an active role in adaptation planning to emerge. The case study has been included in the final report for this research[4]

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[4] Fernández-Bilbao, A, Woodin,S, Richardson, J, Zsamboky, M, Bose, M, Orr, P, Twigger-Ross, C, Colbourne L (in preparation) Understanding the processes for community adaptation planning on the coast, Defra Technical Report FD2624

Appendix 4: Developing a CAPE Charter

A CAPE charter or similar can become a key document that enshrines a local authority's route-map and how adaptation planning fits into wider coastal management processes and objectives. Draw up your charter with good representation from the voluntary and community sectors, other agencies and key local councillors. Decide in advance if you want to have a public signing ceremony which would present a good opportunity for a press release and launch of CAPE.

With regard to the early years of adaptation planning recent case study research[5] suggests that certain measurable outcomes are particularly important from a community perspective. The points below can be used to form the framework of your charter or other public commitment:

Standards and Support

- How public bodies will have extended their capacity to engage with communities and to strengthen coastal partnerships so that the information, history, views, insights, creativity, energy that community representatives can bring to planning and adaptation work are embraced.

- Benchmarking good practice, for example by embracing the Government's Code of Practice on Consultation 2008[6] with regard to formal consultation.

- Embracing community development principles, for example by embracing the National Occupational Standards in Community Development Work[7]

Awareness & Understanding

- Communities demonstrating that they are more aware of the relevant coastal issues, risks that may affect their area now or in the near future.

- Communities jointly commissioning vital research in partnership with public bodies and 3rd sector groups.

- Communities and relevant public bodies demonstrating that they are more aware of the different planning processes and decision making that affects the coast and they are more able to make a meaningful contribution.

- Communities and public bodies have engaged in regular and ongoing dialogue about the range of adaptation options available to support change.

Capacity and Structures

- Communities that are more organised, empowered and better able to challenge and contribute to the evidence base and policies through accessible decision making structures.

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[5] Fernández-Bilbao, A, Woodin,S, Richardson, J, Zsamboky, M, Bose, M, Orr, P, Twigger-Ross, C, Colbourne L (2009) Understanding the processes for community adaptation planning on the coast, Defra Technical Report FD2624
[6] HM Government Code of Practice on Consultation 2008, Available: http://www.berr.gov.uk/whatwedo/bre/consultation-guidance/page44420.html, (accessed: 29th May 2009)
[7] Lifelong Learning UK 2003, Available: http://www.lluk.org/documents/cdw_nos.pdf, (accessed: 4th June 2009)

- Community groups, landowners, farmers and Parish Councils taking on more and more adaptation projects as their organisational capacity, willingness and resources increase.

Planning

- Emergence of SMP Action Plans and other plans (e.g. AAP) that demonstrate the emergence of a shared, holistic view of human and nature's rights and inter-relationships on the coast.

- Increasingly integrated local coastal planning, including adaptation planning, with spatial, regional and 'whole community' planning processes (e.g. regeneration schemes or Local Area Agreements.

- Increased local confidence that sudden events have been prepared for and both short term and longer term measures put in place to deal with their effects.

For further information see the CLG website[8]

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[8] CLG (2008) How to develop a local charter - A guide for local authorities, available:
http://www.communities.gov.uk/publications/communities/localcharters (accessed: 30 November 2009)

Scott Wilson

Appendix 5: Methods of Engagement

Type of engagement	Why you might want this type of engagement	Methods you could use
Giving Information	**Letting others know** of decisions, opportunities, and ideas. Generating and sustaining interest in initiatives. Ensuring a neutral to positive press for activities and proposals. Information giving may also mean allowing views to be shared and enabling others to listen to different points of view. Use the local press.	• Sign-posting • Cascade conversations • Leaflets, newsletters, reports • Visual Mapping and Ranking Diagrams • Community Profiles • Feedback on surveys and consultation • Exhibitions, drop ins, surgeries • Texting, street-work, translated focus groups, and communication through religious leaders • Annual performance reports • Support / advice • Video / internet communication - dedicated project website • Running education programmes • Press and PR • Question and Answer sheets (Q&A)
Consultation / listening	**Information gathering**, ranging from a broad sweep of the target population's views, to a more nuanced exploration of specific issues, opinions and ideas. Includes techniques which help to involve harder-to-reach groups and individuals in places where they are likely to be more receptive to communicating.	• Paper or online surveys / Market research surveys • Interviews • Home visits for explanation and reassurance • Face to face work on doorstep, in street and during activity (e.g. in schools, shops, gym, pub) • Recruiting and up-skilling local fieldworkers • Interactive community profiles • Public meetings / Forums • Focus groups / Priority search • Panels • Video boxes • Customer feedback • Front line staff feedback • Day to day analysis of customer experiences

Type of engagement	Why you might want this type of engagement	Methods you could use
Exploring/ innovating/ visioning	These techniques actively involve stakeholders in **developing a shared vision with stakeholders** in enjoyable and intensive gatherings. This includes hands-on meetings and guided tours in which different combinations of stakeholders get a chance to hear each others views, ideas and solutions. This level of engagement shows transparency, fosters debate, increases energy and interest and also reduces threat. This section includes dedicated street and club approaches (avoiding meetings, paper and corporate presentations) designed to interest and engage certain groups, especially children and youth.	• Consultative workshops • Visioning workshops • Outcome and Aspiration mapping • Open-space events • Seeing-is-believing tour • Inclusive visioning and back-casting • Planning-for-real community discovery • Use of theatre, arts/media • 2D map-work, e.g. with land owners
Judging/ deciding together	**Shared decision making**, with due regard to the thinking and justification behind decisions, at the same time as embracing the views of the majority.	• Deliberative polls • Citizen's juries • Negotiation workshops • Community issue groups • Community workshops • Consensus conferences • Referendums/tele-voting
Delegating/ supporting	**Capacity building**, activities which underpin other engagement activities and contribute to a more empowered community/neighbourhood or organisation, and more informed and effective individual, community or neighbourhood stakeholders. Working with and enabling others to do/deliver something, such as closing floodgates, collecting data, flood proofing houses, re-location.	• Neighbourhood committees • Community development trust • Partnerships, contracts with communities • Dialogues • Advisory bodies • Working groups • Liaison Group • Town / estate plans • Tenant management organisations • Relationships with individual property owners • Giving grants • Providing training and education • Operating volunteer schemes
Coordination/ networking	**Maintaining** relationships, sharing information, ensuring coordination.	• Networks, conferences, informal meetings • Doing the day job • Shared web pages

Appendix 6: Dealing with loss in communities at risk[9]

Introduction

Loss can affect the whole person – mind, body, spirit, resulting in physical, emotional, spiritual and behavioural changes. Common grief reactions[10] arising from loss are:

- Intense feelings of sadness, longing, anger, guilt, anxiety, fear and numbness;

- Various somatic sensations, social withdrawal and a general loss of interest in life;

- Physical symptoms and the intense emotional manifestations of the loss may cause the grieving person to think that he or she is going 'crazy'.

Dual Process Model

A recent and useful concept in terms of understanding people's grief reaction is Stroebe and Schut's dual process model. This model recognises that both expressing and controlling the feelings of grief are important and introduces a new idea, that of oscillating between coping behaviours. Grief is viewed as a dynamic process in which there is an alternation between focusing on the loss and avoiding that focus and 'getting on with life'. Different people will find themselves moving between those two possibilities and have a preference for either one or the other – depending on gender, age, stage of their process, individual coping styles and personal resilience. The important message is that both aspects need to be dealt with for a healthy outcome[11].

In terms of people threatened with the loss of their homes, this model illustrates a variety of potential reactions and how people unexpectedly move from seemingly extreme emotional distress to seemingly calm acceptance, coping and back again.

For CAPE this suggests that people may be pragmatic about change in one meeting and very angry or upset again in another. For the professionals it is crucial to understand that these emotions are normal and in fact healthy in terms of the individuals working their way through their experience. The challenge is in how far can you allow these emotions to be heard and acknowledged in the context of your meeting.

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[9] Acknowledgement: Andrea Dechamps, 2009. *Director of Social Work,* St Christopher's Hospice, London

[10] All of this is well documented in the grief and bereavement literature see C. M Parkes "Bereavement: studies in grief in adult life" London 1972; W. Worden "Grief counselling and grief therapy" London 1983

[11] Stroebe and Schut, The dual process model of coping with loss, paper presented at the international workgroup on death, dying and bereavement, Oxford 1995).
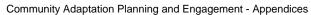
Appendix 7: Resources and training available to public bodies, citizens and activists

The following table is a non-exhaustive list of relevant published sources, which provide advice, support, training and links to further sources of information on community engagement. The list forms a starting point for engagement practitioners in both the public and voluntary sector and can also cater to the needs of individual community leaders.

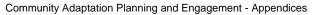| Source	Themes	Resources
INITIATIVES		
Together We Can [12]	Active citizenship, strengthened communities, partnership with public bodies	Together We Can, a central government initiative, provides a database of relevant resources, with summaries, reviews and clear signposting. **Written resources** • Consultation and engagement guidance aimed at local authority officers, policy makers and other practitioners. Theoretical basis, practical methods, and case studies covering benefits of engagement. • Guidance on taking the lead on neighbourhood regeneration, aimed at citizens and activists. **Training** • Training in community engagement, community newsletters, conflict resolution, project management, evaluation, legal issues and licenses, fundraising, strategic planning, leadership skills, aimed at citizens and activist. Emphasis on training Community Champions. • Training in community engagement, participatory techniques (including theatre) and conflict resolution, aimed at practitioners, policy makers, local authority officers and general public.
ORGANISATIONS		

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[12] http://togetherwecan.direct.gov.uk/

Source	Themes	Resources
Sciencewise-ERC [13]	Involving local communities and businesses in science and technology policy-making, role of science communicators in public dialogue	**Online information resource** Case studies and reports on the relevance of public dialogue in science, including public participation in policy responses to climate change. **Support** Interactive web-portal aimed at policy makers, scientists and the public. Sciencewise-ERC helpline (**0870 190 6324).** Offline services such as training, workshops and newsletters for policy makers, focussing on public dialogue. Community networking events, DVD training and guidance essays, 'science communication' network for science practitioners. Guidance and advice for the public on engagement with science policy. Newsletters, events, reports aimed at stakeholder across the board. PR & Media section on website, with project info, images, press notices, etc. **Funding**[14] Formal guidelines available for submitting project proposals aimed at increasing public dialogue in science policy. Government departments, agencies and Executive Non Departmental Public Bodies (providing there is support from a central Government department) are eligible.
Involve [15]	Deliberative public engagement and its relevance to public policy	**Publications** Toolkits for improving Local Government Consultation and third sector consultation. Papers exploring various themes in public engagement (e.g. principles, link between public participation and community cohesion and mass participation techniques). **Online resources** • Networking opportunities through a Facebook Group • Image database on Flickr • Guide to the 9 principles of Deliberative Public Engagement • Netvibe discussion forum • Knowledge sharing network[16]

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[13] http://www.sciencewise-erc.org.uk/cms/
[14] http://www.sciencewise-erc.org.uk/cms/funding/
[15] http://www.involve.org.uk/
[16] http://www.peopleandparticipation.net/display/Involve/Home

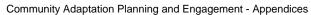| Source	Themes	Resources
		• Interactive online handbook ['Better together'](), targeted at improving consultation with the third sector • Online guide ['Making a difference'](), guidance to evaluating public participation in central government
Planning Aid	Planning advice and support	Planning Aid provides free, independent and professional town planning advice and support to communities and individuals who cannot afford to pay planning consultant fees. It complements the work of local planning authorities, but is wholly independent of them. Planning aid's website has resources such as an information pack on different aspects of the Town and Country Planning system ('The Planning Pack') and a jargon buster which helps clarify most of the technical terms used in planning.
NETWORKS		
National and Regional Empowerment Partnerships [19]	Empowerment, community led research, regional improvement and efficiency	[Click here]() [20] for National Empowerment Partnership resources catalogue, listing all available downloadable resources. The Community Development Fund manages and administers grant funding. Funding streams include: **Grassroots Grants 2008-2011**: £80m small grants for community groups into the future. [Click here]() [21] for contact details of local Grass Grants local funders. **Real Help for Communities**: Targeted Support Fund catering specifically to needs resulting from the current economic downturn. [Click here]() [22] for more details, including areas and local funder listings. **Faiths in Action**: £4 million grants programme open to faith, inter faith, voluntary and community sector organisations at national, regional and local levels in England. [Click here]()[23]

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[17] http://www.involve.org.uk/assets/Publications/Better-together-interactive-handbook.PDF
[18] http://www.involve.org.uk/evaluation-guide/
[19] http://www.cdf.org.uk/bfora/systems/xmlviewer/default.asp?arg=DS_CDF_AGENDAART_61/_page.xsl/76
[20] http://www.cdf.org.uk/SITE/UPLOAD/DOCUMENT/Projects/NEP_Catalogue_2008-09.pdf
[21] http://www.cdf.org.uk/bfora/systems/xmlviewer/default.asp?arg=DS_CDF_TECHART_23/_page.xsl/27&xsl_arg=//BF%5FCDF%5FPRA%5FGRT/&xsl_argx=3
[22] http://www.cdf.org.uk/bfora/systems/xmlviewer/default.asp?arg=DS_CDF_TECHART_23/_page.xsl/27&xsl_arg=//BF%5FCDF%5FPRA%5FGRT/&xsl_argx=5

Source	Themes	Resources
		for more details.

DOCUMENTS

Source	Themes	Resources
The Duty to Involve: Making it Work [24] Community Development Foundation, April 2009	Community Empowerment within the day-today work of authorities	This guidance focuses on understanding the Duty to Involve and its background before it explores practicalities of meeting the Duty. It is a knowledge resource as much as practical guidance. Key areas covered include: Background and rationale for the Duty to Involve Comprehensive Area Assessment Economic benefits of co-ordinated community involvement Good practice case studies Cross referencing between the Duty to Involve and other duties Breakdown of typical roles of individuals and organisations in community involvement dynamics.
National Occupational Standards in Community Development Work [25] Lifelong Learning UK, 2003	The standards are aimed at developing more formal community development qualifications	The National Occupational Standards were reviewed at the end of five years in practice, by PAULO © and the Community Work Forum in 2003. The updated version contains: Reiteration of values of community development work • Practice principles • Community work processes diagram • Glossary of terms • Typical role descriptions in community development work, linked to formal qualifications • Qualifications structure
Guidance on building a local sense of belonging CLG; January 2009	Place-based identity, symbolism, community pride, trust in local institutions, 'Local Cohesion Practitioners'	Evidence based knowledge resource rather than a practical guidance, focusing on developing a local vision as part of the Sustainable Community Strategy. Key learning points from good practice examples nationwide are highlighted.
Community Power Pack: real people, real power [26]	Organised around the 4 Empowerment White	Practical advice on the content and logistics of running events around the issue of empowerment. The advice is organised into:

[23] http://www.cdf.org.uk/bfora/systems/xmlviewer/default.asp?arg=DS_CDF_TECHART_23/_page.xsl/27&xsl_arg=//BF%5FCDF%5FPRA%5FGRT/&xsl_argx=4
[24] http://www.cdf.org.uk/SITE/UPLOAD/DOCUMENT/duty_final_lo.pdf
[25] http://www.lluk.org/documents/cdw_nos.pdf

Source	Themes	Resources
CLG & Involve; April 2008	Paper themes.	- Empowerment-related FAQs - Suggested venue types, agendas, event types, activity modules, invitation styles, documentation, feedback loops, facilitation tips - Typical cost breakdown - Venue checklists - Accessibility and Diversity checklist - Glossary
Building trust with communities: a guide for staff [27] Environment Agency; 2004	Early engagement to develop solutions, rather than 'decide-announce-defend' model	The guide describes a six step approach to working with communities: 'What do you want to do/': Making sure the team has a shared understanding of the project and the organisation's interest in it. 'Why do you need to work with the community and others?': Making sure the team is on the same page regarding goals and outcomes of communication before involving communities. For instance, community engagement may be about informing, involving, or partnership forming. 'Who do you need to involve?': Stakeholder audit, analysis and categorisation under headings such as sector, function, geography, effect, position and socio-economic profiling. 'How will you involve them?': Strategy for engagement with the identified stakeholders, with rationale, dates and methods. 'Let's do it!': Ensuring readiness in terms of logistics and implementing the engagement strategy. 'How did it go and what did you learn?': Documentation, evaluation and learning points. Each step contains good practice examples, checklists and quick tips.

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[26] http://www.communities.gov.uk/publications/communities/communitypowerpack
[27] http://www.yhraf.org.uk/documents/notice%20board/climate%20change/buildingtrust.pdf

Appendix 8: Who does what on the coast

National stakeholders

There are two key Government Departments: **Defra** (Department for the Environment Food and Rural Affairs) and **CLG** (Communities and Local Government). These two departments are responsible for most of the key national policies that affect the coast. There is a clear separation of policy responsibilities. Defra is responsible for policies on flood and coastal erosion risk management (FCERM) and the marine environment, CLG are responsible for planning and sustainable communities.

Non-Departmental Public Bodies

The Environment Agency and Natural England are the two key non-departmental public bodies (NDPB) operating in the coast.

The **Environment Agency** (EA) is an executive agency of Defra and is responsible for the technical side of FCERM. Since 2008, the EA also has a 'Strategic Overview Role' on the coast. The Environment Agency is responsible for allocating funding for flood and coastal defence. The EA has key links with coastal local authorities in particular through Shoreline Management Plans (SMPs) and helping local authorities to prepare coastal strategies which look at options to implement the policies set in the SMPs.

Local authorities generally lead in SMP preparation. However, the EA holds the funding for delivering flood and coastal defence and has a general overview of the SMPs.

In terms of responsibilities for FCERM, the EA has responsibility for flooding and the relevant local authority (see local authority section below) has responsibility for managing coastal erosion. This means that often a local authority and the EA share responsibility for a frontage.

The key issue affecting a stretch of coast (flood or erosion) will determine who leads the preparation of a coastal strategy. If there is a combination of issues, then the work is usually promoted by the body with the most interest. Any flood and coastal defence schemes should conform to the overall policy set in the SMPs and are subject to EA approval.

The EA is represented in Coastal Groups with Local Authorities and is a statutory consultee for all spatial plans (regional and local) and planning applications.

Natural England (NE) is a Defra agency and is another key player in the coastal agenda because of their role with respect to habitats and protected sites. This is particularly the case in relation to potential threats to habitats and designated sites in the context of the EA exercising their powers on flood defence and local authorities on erosion management. NE is also involved in local authorities' Local Development Documents (LDDs) and on planning applications.

Regional Bodies

The regional bodies that are key to the coastal agenda are the **Regional Assemblies**[28], responsible for regional planning and the Regional **Development Agencies (RDA)** responsible for promoting regeneration

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[28] Regional government is currently being restructured, regional planning is going to be taken over by local authorities' Leader Boards

and economic growth. The Regional Assemblies and RDAs are tasked with the implementation of key associated policies (e.g. regeneration and planning) at the regional level.

Local Authorities

Local authorities have a wide range of roles and responsibilities (including delivering CLG's policies and housing allocations at the local level). In addition, coastal local authorities have key responsibilities related to coastal management:

- Coastal erosion management and maintenance of coastal defences (district and unitary authorities) ;

- Local strategic planning including the preparation of the Local Development Plan and associated documents (district and unitary authorities);

- Strategic coastal planning: County and unitary authorities lead on the preparation of Coastal Zone Management Plans which are voluntary plans;

- Are involved or lead on SMPs and Coastal Strategy preparation (district, unitary or county).

Local authorities are widely represented in many of the key groups working on the coastal agenda including:

- Coastal partnerships

- Coastal Groups

- Coastal umbrella bodies (e.g. Coastal Communities Alliance)

They also lead in Local Strategic Partnerships.

Harbour and Ports Authorities are responsible for smaller areas around ports and harbours. Their roles and responsibilities cover infrastructure and asset management, business support, and facilitating economic development within coastal areas. They are members of coastal partnerships and Coastal Groups.

National Park Authorities may also act as 'coastal authorities' for their jurisdictions.

Coastal Groups

Coastal Groups were set up to provide a more co-ordinated response to coastal erosion and flooding. Coastal Groups comprise local authorities, the Environment Agency, Natural England and other organisations. These Groups are arranged around the natural coastal sediment cells rather than administrative boundaries. They aim to encourage a more strategic approach to coastal defence management based on natural coastal processes. Coastal Groups help to co-ordinate the preparation of SMPs and coastal defence strategies provide a link with central government policy makers through the national coastal defence forum and help commission and disseminate strategic research. Supporting SMPs and coastal strategies preparation is a key part of their function, however the role of Coastal Groups

is wider and covers research, lobbying government and helping local authorities obtain funding for coastal defence.

Costal Partnerships and Fora

Coastal and Estuary Partnerships are mostly voluntary groups and were either set up or grew around an EC demonstration project on ICZM (see appendix 3) that was undertaken in 1995-1996. Therefore they are seen as key organisations to facilitate and implement ICZM. The role of coastal partnerships includes: community engagement and facilitation; information and data collection; research; conservation; events and conferences etc. Their roles are usually partnership specific.

Stop Press

A new Coastal Handbook edited by Lincolnshire Country Council is due to be launched on 28th January 2010. For further information email: Patrick.Browne@lincolnshire.gov.uk

Ergon House
Horseferry Road
London SW1P 2AL

www.defra.gov.uk