

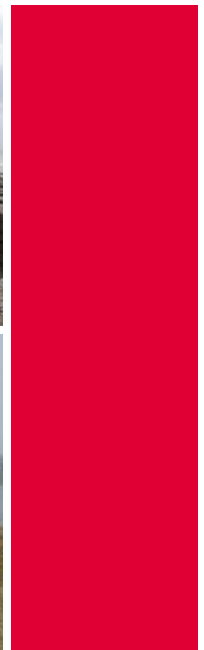


Defra

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# Guidance for Community Adaptation Planning and Engagement (CAPE) on the Coast

Working Draft  
July 2009





## Revision Schedule

### Draft Guidance for Community Adaptation Planning and Engagement (CAPE) on the Coast July 2009

Rev	Date	Details	Prepared by	Reviewed by	Approved by
03	June 2009	Working draft	<b>Stuart Woodin</b> Associate	<b>Stuart Woodin</b> Associate	<b>Jeremy Richardson</b> Director
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### Feedback

This working draft of the guidance is being published alongside Defra's Coastal Change Policy consultation. Comments on any aspect of this document are warmly welcomed as part of that consultation exercise. In particular, the consultation notes that comments would be particularly welcome on the following questions:

- Is the draft guidance useful, have you any suggestions as to how it could be improved?
- What other conditions/policies/support do you need in place to facilitate community adaptation planning and engagement?
- Are there sufficient communication tools to support technical discussions, how could this be improved?
- How should the plethora of decisions that involve community adaptation planning, be made?
- Should there be local governance structures in place to support adaptation planning, or should this simply evolve without structure?

The deadline for Defra's Coastal Change Policy consultation is 25 September 2009. For further details on this and how to respond, please see <http://www.defra.gov.uk/corporate/consult/coastal-change/index.htm>.

The Community Adaptation Planning and Engagement Guidance also complements the CLG's consultation covering their new planning policy on managing coastal change: *Development and Coastal Change*.

## Abbreviations

AAP	Area Action Plan
ACRE	Action with Communities in Rural England
BIS	Department for Business Innovation & Skills
CAPE	Community Adaptation Planning and Engagement
CLG	Department for Communities and Local Government
Defra	Department of Environment Food and Rural Affairs
EA	Environment Agency
EEDA	East of England Development Agency
ERC	Expert Resource Centre
ICZM	Integrated Coastal Zone Management
LAA	Local Area Agreement
LDD	Local Development Document
LDF	Local Development Framework
LSP	Local Strategic Partnership
MAA	Multi-Area Agreements
NDC	New Deal for Communities
NEP	National Empowerment Partnership
PUSH	Partnership for Urban South Hampshire
Q&A	Question and Answer
RDA	Regional Development Agency
RES	Regional Economic Strategy
RSS	Regional Spatial Strategy
SCS	Sustainable Community Strategy
SMP	Shoreline Management Plan
SPD	Supplementary Planning Document

# 1 Introduction

## 1.1 Introduction and background

- 1.1.1 Community participation in adapting to coastal change is a key feature of Defra's Coastal Change Policy<sup>1</sup>. Defra's policy emphasises that communities that are most at risk to coastal change must be informed, engaged and empowered to take an active part in deciding what happens locally. This process is referred to as Community Adaptation Planning and Engagement (CAPE).
- 1.1.2 Currently, 46% of England's coastline is protected by hard defences<sup>2</sup>. Coastal defences protect properties, agricultural land, business and other assets from flooding and erosion and have allowed development, leisure and economic activities to take place in areas that have been at risk of flooding since the Roman times. The Government is currently committed to investing £2.15 billion in England between 2008/09 - 2010/11, but it will not be possible to protect every stretch of coastline in the future. The findings from a recent workshop organised by the Tyndall Centre highlighted that protecting one area of the coast could lead to other areas becoming worse off. Similarly, leaving a particular area to erode could reduce the risk elsewhere<sup>3</sup>. Intergenerational issues could arise if certain decisions made now preclude adaptation in the future or cause further problems down the line, for instance, allowing certain kinds of development today may make it impossible to "roll back"<sup>4</sup> in the future.
- 1.1.3 This Guidance provides a framework and roadmap to local authorities and other bodies on working with their communities to develop a plan for adapting to coastal change as described in the draft coastal change policy. Many of the approaches to CAPE described in this guidance may also be relevant in other situations such as adapting to flood risk and developing specific plans and policies, for instance Shoreline Management Plans, (SMPs) and wider Integrated Coastal Zone Management (ICZM) work (see Section 7.2).
- 1.1.4 The guidance also draws lessons from community planning and engagement in the fields of regeneration and emergency planning. Experience here, particularly over the last decade, suggests that engaged communities are very much part of the solution to long term change and can help to identify and develop new ways of solving complex problems. In urban estate regeneration there is a growing acceptance that local people are 'experts' in their own right, not only in their own needs and aspirations, but also in the history, culture, needs and direction of their neighbourhoods. They therefore bring a unique perspective and a resource (e.g. time) to the table and, particularly from the New Deal for Communities (NDC) and Neighbourhood Management programmes, they have been given control of significant budgets and taken responsible decisions.

<sup>1</sup> Defra Consultation on Coastal Change Policy available at <http://www.defra.gov.uk/corporate/consult/coastal-change/index.htm>

<sup>2</sup> MCCIP (2008). *Annual Report Card 2007-2008* [online] available at: <http://www.mccip.org.uk/arc/2007/default.htm> (accessed 24/02/09).

<sup>3</sup> Tim O'Riordan (2008) 'How do we create a sustainable coastline?' Summary of Tyndall Assembly Workshop – 10th September, 2008 University of East Anglia, Norwich

<sup>4</sup> 'Roll back' involves physical relocation of businesses, homes and other assets further inland away from the threat of coastal erosion.

1.1.5 In the case of the many communities living within a coastal zone<sup>5</sup>, there are other equally compelling reasons why their engagement is so important:

- The need to raise awareness and discussion on the increasing evidence of accelerating coastal change, particularly in the context of climate change;
- The need for a shared understanding of the nature and speed of coastal change – the problem to be addressed – as the basis for agreeing joint action;
- The desirability of building ‘adaptive capacity’ in coastal communities which means they will be more resilient, creative and prepared for accelerated coastal erosion, coastal flooding and wider climate change related events; and
- The value of making good use of communities’ knowledge and resources to significantly improve coastal planning, particularly through developing governance mechanisms that enable areas to be managed in a more holistic way.

1.1.6 The CAPE framework acknowledges that working actively to engage with coastal communities is not easy and that every local authority area is unique in terms of how aware or involved the community is, their level of vulnerability and the many different and often competing interests within any given community. In particular, this guidance aims to address three key issues identified in a recent review of community engagement in coastal planning<sup>6</sup> which suggested that there are further opportunities within current planning processes (both spatial planning and shoreline management planning) for authorities to:

- **Increase Awareness** of the coastal communities of key issues facing their stretch of coast and how decisions are arrived at that impact on the coast;
- **Increase Involvement** of coastal communities in planning for and adapting to coastal change;
- **Embed Engagement** through more dynamic and effective conversations and agreements between local people, community groups and those responsible for coastal planning and resourcing.

## 1.2 How to Use this Guidance

1.2.1 The primary audience for the guidance will be those responsible for planning and delivering services to coastal communities including those at the ‘coalface’ of CLG’s new practical policy, ‘Duty to Involve’. This includes local authorities, regional authorities, Environment Agency, Natural England, etc. However, communities and voluntary bodies may also find it useful as it provides an indication of the opportunities for involvement and influence.

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<sup>5</sup> There is no single agreed definition of what is meant by the ‘coast’. PPG20 provides the following definition for local planning authorities to define the coastal zone in their areas:

*“It could include areas affected by off-shore and near-shore natural processes, such as areas of potential tidal flooding and erosion; enclosed tidal waters, such as estuaries and surrounding areas of land; and areas which are directly visible from the coast. The inland limit of the zone will depend on the extent of direct maritime influences and coast-related activities. In some places, the coastal zone may be relatively narrow, such as where there are cliffs. Elsewhere, particularly where there are substantial areas of low-lying land and inter-tidal areas, it will be much wider.”*

<sup>6</sup> Scott Wilson 2009

- 1.2.2 The guidance is not a toolkit telling authorities all the dos and don'ts of building community engagement in adaptation planning. What it does provide is a framework around which you can build successful communications, community involvement and adaptation planning measures. We suggest you:
- 1 Decide where you are on the getting started **issue check or situation analysis** (Section 3.2).
  - 2 Use the **road-map** process in Section 3 to build your tailored and agreed approach to CAPE.
  - 3 Use the **appendices** to find out more and for further support (in a separate volume).

## 2 CAPE Principles

### 2.1 Introduction

- 2.1.1 Adaptation describes the actions authorities and their communities can take to reduce negative consequences and enhance beneficial consequences of coastal change. It is useful to distinguish between *building adaptive capacity* (e.g. training, monitoring) and *delivering adaptive actions* (e.g. moving buildings back or creating new wetlands).
- 2.1.2 CAPE is an exciting opportunity to build a genuinely community centred approach into a new coastal planning process right from the start. The Government does not expect this to happen overnight and is committed to supporting and learning from a number of pathfinder schemes over the next three years. In order to encourage a high standard of pathfinder, the CAPE framework and roadmap has been developed which will allow authorities to build a specific vision and engagement approach to adaptation which is appropriate to their geography and coastal planning stage (see what is your starting point or typology in section 3.2).
- 2.1.3 CAPE is built around a community empowerment model (see Appendix 6 for a classification of engagement processes based on levels of empowerment) and it is suggested that for maximum transparency your approach is enshrined in a locally agreed 'charter' taking into account the following definition and the 6 principles behind the CAPE framework:

#### CAPE - Working Definition:

*"CAPE is a long term, community centred planning process which aims to involve those most affected by the risks and opportunities presented by coastal change in order to develop understanding, forward thinking, practical and sustainable solutions for coastal communities and landscapes".*

#### CAPE – 6 Core Principles:

1. **Adaptation Planning as a Journey** starting where the community is currently at.
2. **Social Justice and Support:** Communities most at risk need to be most supported.
3. **Open and Honest Information** that communities can trust.
4. **Joined up Coastal Planning** that considers new structures and ways of working.
5. **Community Based Partnerships** built-up over time.
6. **Vibrant, Empowered Communities** where people want to live and visit.

## 2.2 Principles Explained

### The Journey towards adaptation

- 2.2.1 Defra's new coastal change policy acknowledges that some coastal communities may not be ready to start planning adaptation measures and the change it implies. The journey towards effective medium and longer term adaptation work is both a technical and an engagement challenge and will take many years. Not least because every community is different and every community has its own history leading to different relationships and conditions of organisation, awareness understanding and involvement. Encouraging communities to take an active part in planning for coastal change means making it relevant to their concerns (rather than assuming it is) and agreeing how participation can make a difference.
- 2.2.2 Section 3 of this guidance focuses on the stages that need to be considered when preparing an adaptation plan, including gaining an understanding of both your communities' different starting points and your relationship with the relevant local communities so that, over time, you can realise the outcomes set out in your coastal charter.
- 2.2.3 Although communities have different concerns and priorities, and within communities there are often differences of opinion, it is possible to identify three very broad types of coastal change situations effecting coastal communities:
- **No agreement on the problem (i.e. there is no agreement that there is a need to adapt to coastal change or that coastal change is happening);**
  - **No agreement on how to address the problem (i.e. there is no agreement on what the preferred options for adaptation should be); and**
  - **No agreed decision-making process (this could include spatial planning, coastal management or whole community planning).**
- 2.2.4 The journey towards effective medium and longer term adaptation methods is therefore both a technical and an engagement challenge, and the two aspects must be dealt with together for successful resolution. The above three scenarios are explored further in an 'Issue Check' in section 3.2, as well as returning to it in Step 4 of designing your adaptation planning engagement process.

### Social Justice and Support

- 2.2.5 Social justice principles suggest that both individuals and communities most affected by climate change or changes in coastal policy have a right to information, explanation and to be heard. At the centre of Defra's Coastal Change Policy is an emphasis on the communities most affected being not only the most involved in adaptation planning, but most supported to achieve solutions that are acceptable to them through informing, engaging and enabling activities. Evidence from research (Stern 2006<sup>7</sup>) suggests that the affect of climate change will not be distributed evenly, with some communities and individuals being more vulnerable than others.

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<sup>7</sup> Stern (2006) The Stern review on the economics of climate change. HM Treasury [Online: [http://www.hm-treasury.gov.uk/sternreview\\_index.htm](http://www.hm-treasury.gov.uk/sternreview_index.htm)]

### **Confidence in Information**

- 2.2.6 Communities need good access to information on coastal change and to be confident in the information presented to them. Whilst community interests should be able to challenge where appropriate and ask for second opinions, it is preferable for them to be involved in the commissioning, review and dissemination of research and information, in order to better understand and reach consensus on the implications of such information for the community.

### **Integrated Coastal Planning**

- 2.2.7 There are many different agencies and organisations with responsibility or interest in coastal planning (see a brief guide to who does what in Appendix 9) as well as a number of different planning processes that affect the coast such as Shoreline Management Planning (SMP) and the Local Development Framework (LDF) process. It is important that the spatial, corporate and coastal/environmental planning processes are sufficiently integrated to ensure that they are mutually supportive. Mechanisms developed through the Local Strategic Partnership (LSP) should be able to help achieve this integration.
- 2.2.8 This integration is important because long term planning for coastal change needs to be reconciled with short term needs of individuals and communities (e.g. house building, businesses, regeneration). CAPE challenges existing structures and ways of working so that communities are reassured that the various planning levels that impact on them (e.g. regional, local and shoreline planning) are joined up and that their opinions, and priorities and knowledge are being fed into planning processes in a co-ordinated and influential way. In Section 4 we explore further how this might be achieved within the current system.

### **Successful Partnerships**

- 2.2.9 Many successful community based<sup>8</sup> partnerships have been built in the field of urban regeneration where communities also face real change, including the loss of their homes. Experience shows it takes time, strong leadership and resources to build such partnerships that are able to widen the awareness and influence of communities in the different spatial and service planning processes that affect their futures (see section on multi-disciplinary working and project team, Section 3.3).

### **Vibrant, empowered communities**

- 2.2.10 The ultimate aim of adaptation planning is to ensure that coastal communities are vibrant and sustainable and remain places people want to live in and visit. The Government's 2008 White Paper on community empowerment<sup>9</sup> stressed the link between empowered people and vibrant communities and put dynamic community involvement at the heart of good service planning processes.

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<sup>8</sup> By 'community based' we mean having a clear and influential community element which is not token.

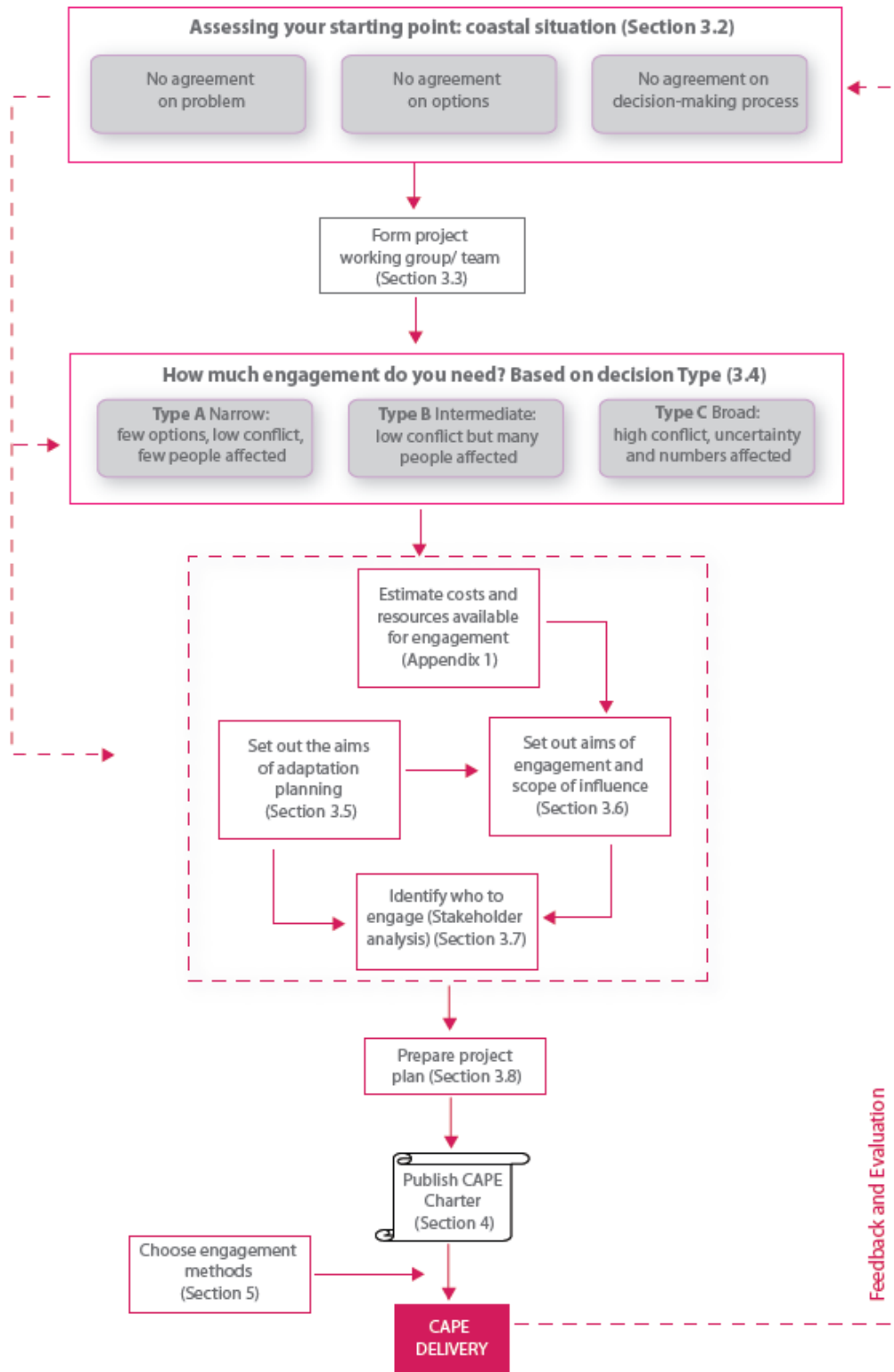
<sup>9</sup> Communities in Control: Real People, Real Power, CLG, 2008, available at:  
<http://www.communities.gov.uk/publications/communities/communitiesincontrol>

## 3 CAPE Roadmap

### 3.1 Introduction

- 3.1.1 Coastal communities have very different positions on the nature and causes of the challenges they face and the options for tackling them. The relationship between local people and coastal authorities also varies greatly. These understandings and relationships have developed over time and form the landscape in which planning for coastal change will need to happen.
- 3.1.2 Diagram 1 below shows how an understanding of different coastal situations should feed into the design and implementation of CAPE (see 3.2 What is your starting point). The next step is to form your project team (Section 3.3). The type of decision, particularly the numbers of people potentially affected by it and the number of options or uncertainty will help you gauge how much engagement it is needed (Section 3.4). The amount of engagement will determine the costs of this engagement and this will also be determined by the resources you have available (see Appendix 1). The center of the roadmap focuses on setting out the aims of adaptation (Section 3.5) and of your engagement (Section 3.6) and based on these two, identify who to engage. The next step is the project plan (Section 3.8) and to publish your commitment to CAPE in a charter (Section 4). Your engagement methods should be chosen at this stage and different methods will give you different outcomes (Section 5).
- 3.1.3 While the journey is presented as a roadmap, i.e. a linear process, it is possible that along the way factors such as the actions of those involved, external events or problems with the process design or implementation could re-ignite debates that appeared to have been resolved. This may mean going back over old ground before moving on to the next challenge. The roadmap could also be presented in a circle because during and after delivery feedback and evaluation will influence your coastal situation and the rest of the process.

Figure 1: CAPE Roadmap



## 3.2 What is your starting point?

### Issue Check or Situation Analysis

3.2.1 This section explores three typical situations which stakeholders may find themselves facing<sup>10</sup>. The situations described provide an important context for those responsible for initiating or leading CAPE (e.g. Local Authorities), helping them to identify the communications and engagement challenge ahead and the level of resources needed. It is suggested that the Issues Check is carried out at a senior level at the start and again after Step 4 before any local Charter is issued.

3.2.2 Please note that it is likely that some issues will be present in any situation and that the impacts of coastal change and their solutions are highly emotive, for instance, loss of homes and businesses, potential for loss of life from coastal flooding or erosion causing buildings to fall into the sea.

3.2.3 The three situations are described below.

#### Situation 1: No agreement on the problem

3.2.4 This type of situation is characterised by a lack of agreement on what the 'problem' is (i.e. the need to adapt) or indeed that there is a problem at all. This could include a lack of agreement on the causes, nature or speed of coastal change (e.g. erosion or sea level rise). Often the problem is defined by professional agencies and the definition may not have taken into account the local community's perspective. This includes both local concerns, culture and emotional issues relating to loss or change (see Section 7) or local information and knowledge that the community may hold.

3.2.5 The following bullet points will help you recognise if you are facing Situation 1:

- No awareness of the need to adapt. This may be linked to the long term nature of coastal change (e.g. 30 years, 100 years timescales) which makes it more difficult to discuss these issues now;
- Disagreement on the science which may lead to experts being brought in to support either the community or the organisation framing the project. This may be due to the existence of conflicting evidence from different sources or varying interpretations or perception that it is biased towards the interest of organisations;
- Lack of involvement of communities or particular sectors of the community;
- Communities apportioning 'blame' to an organisation or agency for coastal change;
- An emphasis on the urgency is backfiring by making those involved feel that the issue is very important and therefore needs more careful (and lengthy) consideration;
- Difficulty of getting communities to consider the whole range of potential impacts of coastal change beyond those about which they are knowledgeable of.

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<sup>10</sup> These three situations have been characterised through desk reviews, case studies and stakeholder interviews (Scott Wilson, 2009, forthcoming).

### **Situation 2: No agreement on how to address the problem.**

3.2.6 This situation is characterised by the agreement on the problem definition (i.e. the need to adapt) but no agreement on the options to address the problem. For instance, the SMP may identify an area where the defences are not likely to be maintained and where managed retreat will be promoted. As a result, some properties or assets may have to be relocated. Communities or individuals living in that stretch of coast will naturally expect that defences will be maintained. Recent research on community engagement around SMP2s<sup>11</sup> suggests some stakeholders and members of the community are sceptical or even hostile towards a process which they feel does not allow them to suggest and explore other possible solutions, or that fails to consider the options most sensible or relevant to them.

3.2.7 The following bullet points will help you recognise if you are facing Situation 2:

- Local people not seeing how their concerns can be taken into account in the shoreline planning options and therefore becoming hostile to the process;
- An expressed lack of trust on the motives of public agencies;
- Communities that have become very active on the issue, for instance, protest groups may have been formed and are developing their own (different) solutions;
- Communities may feel that their views are not being heard.

### **Situation 3: No agreed or trusted decision-making process**

3.2.8 This situation is characterised by an agreement on the problem definition and even on the preferred solution(s) but no agreement on which decision-making route is more appropriate. Another possibility is that no decision-making process is currently available, trusted enough or that coastal issues are not sufficiently represented in the relevant fora.

3.2.9 The following bullet points will help you recognise if you are facing Situation 3:

- The existence of a number of different and sometimes overlapping decision-making processes covering coastal management leads communities to feel that their interests are not represented or taken into account at the 'right' point or in the 'right' way;
- Lack of engagement work or resources resulting in only the loudest voices being heard;
- Community interests not engaging in decision making processes because they view them as ineffective;
- Communities being 'over consulted' (consulted on many different plans and strategies) with perhaps contradictory views or views that have minimal influence on the perceived key issues;
- Complaints about how long it takes a particular agency to make a decision;
- Many stakeholders feeling that environment-focused planning processes fail to take account of local views and continue to prioritise one-way communication;

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<sup>11</sup> Scott Wilson, 2009, forthcoming

- Delays in developing coastal strategies blocking development and investment planning decisions;
- The current use of Integrated Coastal Zone Management is not seen as effectively integrating different planning processes but as simply adding a further layer of decision-making;
- New processes (e.g. a Coastal Management Plan) which are intended to resolve some of the difficulties of more integrated planning have run into practical problems of institutional change; and
- Many coastal communities have a high percentage of vulnerable people (including the elderly, migrants and low income groups) who are likely to have fewer links with relevant organisations and less opportunity to input to decision-making processes.

3.2.10 Any – or a combination - of the three situations described above will stand in the way of members of the community, organisations and institutions engaging in discussions to find and agree options to address coastal management problems. Sometimes individuals and organisations who have worked on the issue for some time have a very different perspective to members of communities who are finding out about it for the first time.

3.2.11 The formula below sets out in a simplified way that unless all the relevant interests are taken on a journey which deals with problem definition (**P**), identification and analysis of potential solutions (**S**) (covering emotional, cultural as well as technical issues relating to these), adaptation planning is likely to be met with hostility and rejection – not least because lack of involvement may mean that crucial bits of information and analysis have been left out of the decision making process. This can be summarised as:

$$\mathbf{P + S + E = AP}$$

Problem definition + analysis of the full range of Solutions + inclusive Engagement process = successful Adaptation Planning

3.2.12 The scope and scale of the engagement process required will, at any point in time, depend on the complexity and controversy identified in the issue check.

### 3.3 A planned approach

3.3.1 The rest of the roadmap takes public bodies through a series of steps which will help you to structure, resource and roll out an approach to involvement that is appropriate for your area, ensuring the formula set out above is successfully addressed.

3.3.2 Experience shows that working effectively and constructively with communities on complex, uncertain and controversial issues such as adaptation planning, requires a planned, tailored approach to engagement that suits local circumstances. This means considering right from the start in the planning process how public bodies will engage with communities as a core part of adaptation planning. Creating an inclusive, transparent and accountable engagement process takes more time in the early stages, but experience suggests that this can save considerable time and expense later.

3.3.3 A planned approach to engaging with communities entails:

- Setting up a transparent project team or working group;
- going beyond one-off activities such as establishing groups, running individual events, attending meetings or issuing press releases;
- planning the whole decision-making process (and the uncertainties, parameters, resources and actions required); and
- understanding how and when education, communication, consultation and collaboration with interested parties will assist in effective decision-making, delivery and review.

3.3.4 A planned approach requires knowledge of the full range of engagement activities (not just communications but also collaboration, conflict resolution, behaviour change, consultation), the local area, local organisations and processes and the technical issues. It therefore can only be created by an inter-disciplinary project team (see below) which brings all these skills and knowledge, and which does so in a way that produces an integrated process plan covering how engagement and technical activities will be undertaken. Relevant training as well as written and online guidance, in skills such as specialised participation techniques, communication and conflict resolution is accessible through resource bases in empowerment and partnership working. See Appendix 8 for relevant resources and training.

The end result of the engagement plan must be a clear description – often diagrammatically of what is going to happen, who is to be involved and how. It will set out clearly the rationale for the process, when key decisions will be made (and by whom), and how different people can influence those decisions.

3.3.5 The steps below offer a structured way of creating your community engagement plan. Although set out in a linear fashion, it is anticipated that they are used in a more cyclical approach, where the answers to one step are revised on the basis of answers to another.

#### **The project team and multi-disciplinary working**

3.3.6 For CAPE to progress authorities need to appoint or designate a clear lead officer who would be part of or enjoy good access to an inter-disciplinary team or working group able to make a deep impression on institutional structures, planning processes, technical issues relating to adaptation planning and community networks. CAPE calls for close working relationships between the lead CAPE officer and a range of people such as local councillors, LSP theme chairs, coastal group chairs, participation or community development officers, press officers and key agencies such as Natural England and the Environment Agency.

3.3.7 There will be also be a natural cross over between any CAPE working group and an authority's climate change/wider adaptation work and ICZM projects if established.

#### **Facilitators and independent brokers**

3.3.8 As well as the project team and depending on the nature of the engagement needed (see section 3.5 onwards) you may want to consider using independent facilitators or brokers. A brief description of these additional resources is provided below:

- **Facilitators:** a facilitator will usually be paid for by one party and may not be strictly speaking neutral. The role is to assist a wide range of interests in a community to achieve joint goals by encouraging their involvement in both process and delivery issues. To help build consensus and to promote group commitment or wider consensus a facilitator will normally be someone the community trusts with the ability to stand above local politics, to act as mentor, tease out issues and offer advice and structure. Consider using a facilitator to help all parties in evaluate new ideas, to run one off workshops or to facilitate events on partnership building, team building and strategic planning.
- **Trusted independent broker:** is a trusted intermediary who acts in an unencumbered way balancing interests between the community and other organisations or agencies, such as local authorities or the government. Brokerage might require high-level intervention between the community and the agencies, where finding the right approach might be a lengthy and subtle process. Therefore as a negotiator, the broker will often seek information and opinion and explore the constituencies and the organisational resources to enable collective planning and action<sup>12</sup>. Use brokers if your starting point is difficult (see issue check above) or you have a particular ‘flashpoint’ locally that this holding back progress on other aspects of your adaptation planning.

#### Roadmap Steps and additional sections

3.3.9 The rest of this Guidance is structured around a series of steps that will help to ensure that the CAPE process is tailored to your area:

- **Step 1: How much engagement do you need?** This will depend on the type of context and also how many people are affected by the decision (page 7).
- **Step 2: Clarify adaptation aims, drivers and scope of decisions.** This will set out why you are considering taking action (i.e. why is adaptation needed) (p. 11).
- **Step 3: Clarify aims and scope of engagement.** This step involves setting out the aims of the engagement and how much can the community influence (p.11).
- **Step 4: Identify who to engage,** through a tailored stakeholder analysis (p.13).
- **Step 5: Drafting an integrated engagement and project plan.** The plan should set out the decision-making process and points at which engagement will happen (p.16).
- **Sealing Your Approach with a CAPE ‘Charter’.** Based on all the above, you should produce a charter enshrining your commitment to working with communities (p.17).
- **Step 6: Engagement methods and approaches.** This step aims to help you choose the engagement methods appropriate to the desired outcomes (p.19).
- **Building Capacity across all Interests.** Including skills for engagement and long-term community development.

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<sup>12</sup> The Joseph Rowntree Foundation (JRF) Neighbourhood Programme provides both evaluation and examples of brokerage in practice, for example when a local authority gave very short notice for the withdrawal of substantial amounts of funding, without observing due process; or when they set up a new partnership for a new national programme despite the existence of well functioning partnerships. The outcome of this initiative indicated that difficulties might remain in some communities even after brokerage took place and highlighted the importance for communities on having access to someone “trustworthy” to help them to overcome obstacles on the way. See: Changing Neighbourhoods, Lessons from the JRF Neighbourhood Programme. Available online at: <http://www.jrf.org.uk/sites/files/jrf/2005-supporting-neighbourhood-change.pdf>

- **Working with other planning processes on the coast.** This section provides an overview of policies and processes relevant to CAPE.

## 3.4 Step 1: How much engagement do you need?

3.4.1 A first step is for authorities to undertake a broad-brush assessment of resource and time issues relating to the most appropriate engagement programme for their particular situation. This requires an understanding of the needs of the community (see the situation analysis above in 3.3) and then an appropriate allocation of resources. Working through this step can start to raise awareness of the scope, extent and type of engagement and can be a useful first step for discussions between public bodies involved in adaptation planning. The results will be indicative only, to be refined in later steps of detailed process planning.

3.4.2 The issues check above (3.2) provides the contextual analysis of how much work will be required to effectively engage: If there is no agreement on the nature of the adaptation challenges and the problem to be solved, then engagement will need to be extensive, and right from the start of the decision-making process. It will need to start with creating a shared definition – and shared ownership - of the problem before going on to scope solutions and then implement the preferred solution. By contrast, if the problem and solutions are well known and understood (and accepted), engagement can be less extensive – in some cases simply focused on formal consultation on, and/or effective communication of, decisions.

3.4.3 The analysis above starts to distinguish between formal consultation and ‘informal’ or scoping engagement and how to use them both appropriately. Existing practice and the new Code of Practice on Consultation<sup>13</sup> shows that it is useful to think about three different types of ‘consultation’. A starting point for CAPE in designing engagement is to consider which type(s) of consultation might be appropriate – at which phase - in your adaptation planning process<sup>14</sup>:

- **Phase 1: Developmental/scoping engagement:** Often called ‘informal engagement’ or ‘informal consultation’ this work is little publicised but often has the most creative – and far reaching - influence on decision-making. It enables public bodies and others to work together to define the problem, investigate uncertainties, scope the issues, generate options, and contribute to robust analysis of impacts. It is recognised<sup>15</sup> as an essential part of informed and effective policy making, and an essential prerequisite to formal consultation: *“It will often be necessary to engage in an informal dialogue with stakeholders prior to a formal consultation to obtain initial evidence and to gain an understanding of the issues that need to be raised in the formal consultation”*<sup>16</sup>.
- **Phase 2: Formal/written consultation on options:** Formal consultation is an essential part of our democratic process and focuses on checking evidence, providing scrutiny and

<sup>13</sup> HM Government Code of Practice on Consultation 2008, Available: <http://www.berr.gov.uk/whatwedo/bre/consultation-guidance/page44420.html>, (accessed: 29<sup>th</sup> May 2009)

<sup>14</sup> The 6 steps tool was originally developed by Lindsey Colbourne for Defra/Environment Agency, SD6. For the theoretical underpinning of this tool see the review of the culture and practice of collaborative approaches in FCERM: Improving Social and Institutional Responses to Flooding. Work Package 4 (part 1). Environment Agency. Colbourne 2008. All use of this tool should include credit to Lindsey Colbourne Associates and the Environment Agency, who share joint copyright.

<sup>15</sup> See Barnett, Dr Julie (University of Surrey). Making Consultation Meaningful (2007)

<sup>16</sup> HM Government Code of Practice on Consultation 2008, Available: <http://www.berr.gov.uk/whatwedo/bre/consultation-guidance/page44420.html>

refining of options or preferred options. “*Consultation makes preliminary analysis available for public scrutiny and allows additional evidence to be sought from a range of interested parties so as to inform the development of the policy or its implementation*”<sup>17</sup>.

- **Phase 3: Feedback and implementation phase:** In addition to the two types of consultation, there is also a final phase which is focused on using the results in decision-making and implementation. “*All responses should be analysed carefully, using the expertise, experiences and views of respondents to develop a more effective and efficient policy... feedback should normally set out what the decisions have been in the light of what was learnt from the consultation exercise. This information should normally be published before or alongside any further action*”<sup>18</sup>.

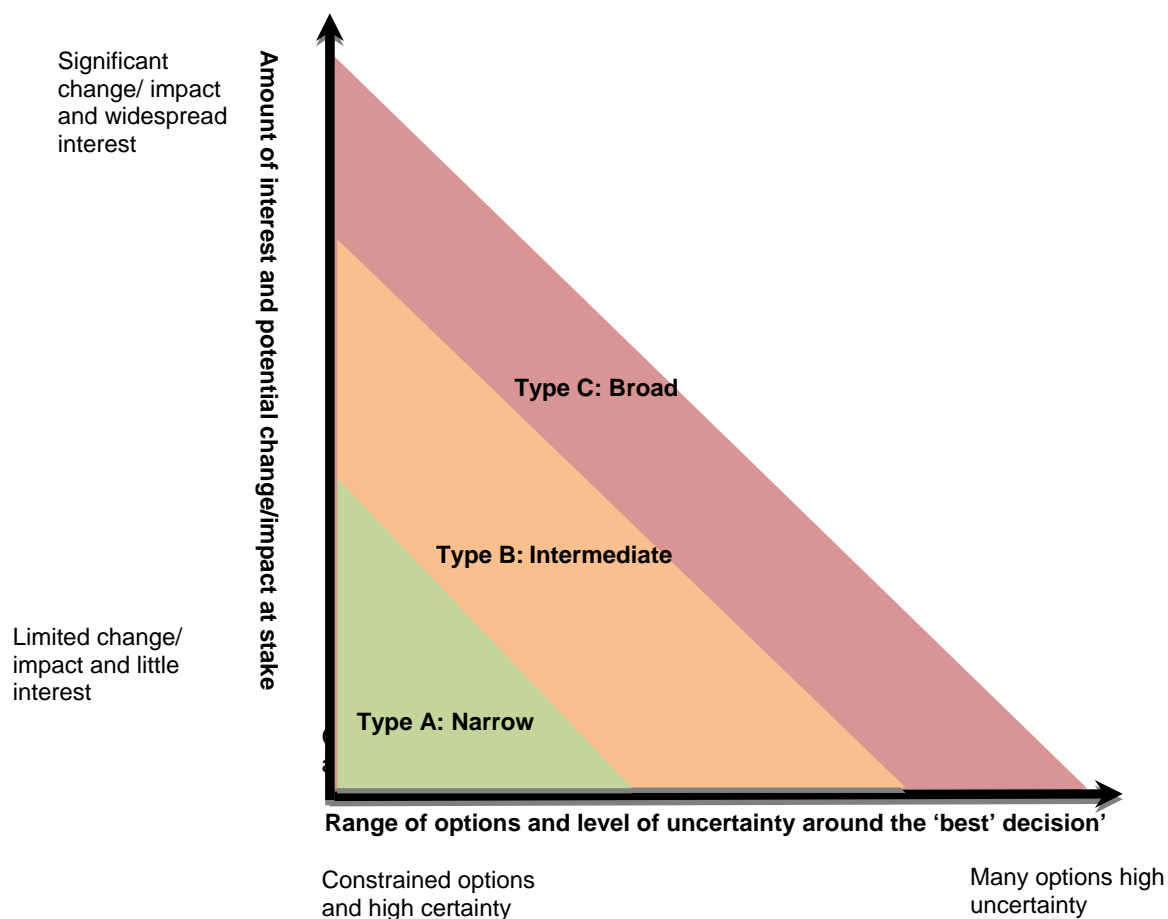
3.4.4 But understanding the difference between formal and informal engagement is not sufficient. The amount (or depth) of engagement, and the relative amounts of ‘formal’ consultation or ‘informal’ engagement will take place in a range of different situations. Figure 2 explores this in terms of the impact and public interest on the one hand and level of certainty in the solution on the other. These three decision contexts (A, B and C) require a different amount of and approach to engagement and consultation. They represent an indicative spectrum rather than three discrete types, and each is associated with a different cost profile over time (see Appendix 1 on understanding costs and resources of different types of engagement and Appendix 2 for more information on how to identify each of the three types):

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<sup>17</sup> HM Government Code of Practice on Consultation 2008, Available: <http://www.berr.gov.uk/whatwedo/bre/consultation-guidance/page44420.html>

<sup>18</sup> HM Government Code of Practice on Consultation 2008, Available: <http://www.berr.gov.uk/whatwedo/bre/consultation-guidance/page44420.html>

Figure 2: Relating Impact and Options to levels of Engagement



\* Note: In this case it is the perspective on these options, uncertainties and impacts by those that might be affected, which is of most importance rather than the official view.

3.4.5 **Type A decisions: Requiring narrow engagement/consultation.** These situations/ decisions are characterised by:

- low conflict, controversy or uncertainty about the need to adapt and the options for adaptation;
- few or no options due to the decision being constrained by time, procedure or resources.
- limited impact from changes and/or the numbers of people and organisations affected will be low.

3.4.6 Engagement here will need to be focussed on getting details right. *Examples include: maintenance of existing lines of flood defences.*

3.4.7 **Type B decisions: Requiring moderate engagement/consultation.** These decisions are characterised by relatively low controversy about the adaptation problem or the potential solutions. However, the issue under consultation will have significant impact on many people or organisations and there is a need to:

- obtain buy-in or understanding from a limited number of stakeholders (individuals, organisations and/or communities) to ensure that the adaptation plan is well informed and deliverable; and
- make trade offs and compromises particularly as some stakeholders may have strong emotional reactions to loss or change implied in adaptation.

3.4.8 Engagement here will need to manage the different preferences and emotions amongst stakeholders in terms of options. *Examples include: Realignment and relocation affecting a relatively small number of landowners, properties, conservation or other interests such as ramblers*

3.4.9 **Type C decisions: Requiring extensive engagement/consultation:** These decisions are characterised by (potential or actual) high conflict, controversy and uncertainty about the problem (for instance people may be unaware about or not believe the impacts of climate change or erosion) or the best options for adaptation. The situation or decision is likely to affect many and typical challenges will include:

- Coastal issues that have significant impact on many people or organisations;
- Specific groups, people or habitats will be affected (e.g. by an Shoreline Management Plan);
- Significant risk of opposition which is strong enough to derail any scheme unless people are part of finding the solution;
- One set of interests gaining out while others lose out; and
- Good deal of uncertainty about the problem to be solved (and whether it exists in the first place), and many different options for the way forward.

3.4.10 Engagement here will require different organisations to work in partnership to engage, fund and deliver adaptation. *Examples include: Realignment and relocation affecting significant numbers of people and communities, especially those where there is existing conflict with authorities.*

#### **Engagement Costs**

3.4.11 The costs of engaging residents, businesses and other interests around these different decisions vary significantly over time. Further information on the life cycle costs of the different levels of engagement costs can be found in Appendix 1. A simple form to help you identify type A, B or C decisions is provided in Appendix 2.

## 3.5 Step 2: Clarify adaptation aims, drivers and scope of decisions

3.5.1 In Step 1, a broad indication of the amount of engagement required will have been identified. The next step is for the project team to clearly articulate the aims, drivers and scope of adaptation planning. This will help others understand where you are coming from and why you are considering doing something. Make sure the project team carefully negotiates a clear statement, at this stage without focusing on either:

- possible solutions or decisions; or
- your aims for involving the community and others (step 2).

### *Examples: Adaptation Aims*

Adaptation planning for Area X aims to produce a sustainable, affordable implementable flood risk strategy for 100 year period that works for the community within the context of climate change and sea-level rise. It is highly likely that the increasing flood risk will affect people's way of life, cultural heritage and livelihoods (including agriculture). The Environment Agency/Defra do not have enough money to maintain existing defences, but do want to find solutions to manage flood risk in the face of the increasing threats.

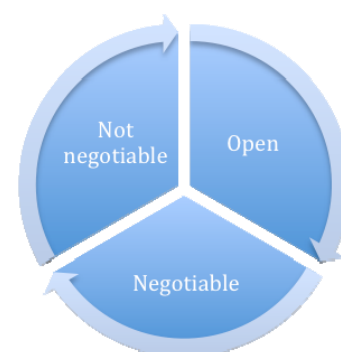
Authority A will work with active groups, residents, landowners and businesses in coastal neighbourhoods in order to develop practical, affordable, fundable and acceptable adaptation planning measures which will ensure sustainable and dynamic communities over the next 100 years.

3.5.2 Dealing with **risk and uncertainties** in an open and transparent way will be a central issue in adaptation planning, and the success of community engagement will depend on handling these issues in an open, transparent and practical way. Uncertainties handled well can turn into robust planning. Uncertainties handled poorly turn into conflict, damaging reputation and trust. Clarifying and negotiating risks and uncertainties with the project team provides a strong basis for project and engagement planning and needs to cover risk and uncertainty around climate change effects, policy, politics, resources, decision making, implementation and social/community issues.

## 3.6 Step 3: Clarify aims and scope of engagement

### **What can or can't be influenced by our work with the community and others?**

3.6.1 The next step is to consider what the agendas and resources of relevant organisations, individuals and communities may be in relation to adaptation, and the extent of their influence on decisions and implementation. In doing so you want to manage



expectations but also not exclude creative solutions. **Be very careful NOT to make ‘preferences’ into exclusions, or uncertainties into false certainty.**

3.6.2 Opinion on what can be influenced will vary among organisations you are collaborating with as they may be able to influence things that individuals or communities may not. You need to be clear who ‘we’ is in considering who is being influenced.

3.6.3 A useful way of thinking about this is to list the issues into three categories:

**Table 1: Not negotiable, negotiable and open decisions**

<b>Not negotiable: we have a view or responsibility that can't be changed</b>	<b>Negotiable: we may have a preference (but we are open to influence)</b>	<b>Open: we have no opinion on this (happy for others to decide, lead on or do)</b>
<p>Examples</p> <p>Cost–benefit of a Flood Scheme: The Environment Agency must subject any proposals to a cost-benefit (priority score) and this will influence what level of defence is suitable for funding</p> <p>The Environment Agency/Defra cannot fund pumping or protect new development</p> <p>Increasing coastal erosion in an area has caused the relocation of several properties and businesses that are located on a cliff.</p> <p>At least 350ha of intertidal habitat needs to be created, capable of designation within 20 years</p>	<p>Examples</p> <p>How to reduce flood risk: There are several options on the table</p> <ol style="list-style-type: none"> <li>1. Flood gates: The Environment Agency holds the view that floodgates are not desirable, but we will not <i>preclude</i> this as an option. Instead we will explain our concerns about manpower, risk and sustainability</li> <li>2. Flood storage: Location and size of flood storage area</li> <li>3. Changes to routes and roads</li> <li>4. Farm grazing extent/type</li> </ol>	<p>Examples</p> <p>What leisure facilities and public access should be maintained, changed or enhanced</p> <p>What people and communities want to do themselves to adapt to climate change, defend properties</p> <p>How best to support the community to take action</p> <p>Tap new or alternative sources of funding to increase options</p>

**Set clear aims for the engagement side of CAPE**

3.6.4 These aims should be written in complete sentences, telling the complete story of what engagement will be used for (and the constraints that will need to be taken into account). This is different to the aim in step 1, which was the project aim. An example is given below

**Example engagement aims**

*Authority A will work with active groups, residents, landowners and businesses in X town to raise awareness and understanding of coastal change and to work together in an inclusive, open and transparent way [within the Community Strategy Process], to identify how the town should respond to coastal risks (if at all). Recommendations will inform the Environment Agency's decision which will need to bear in mind what is technically feasible, publicly acceptable, most financially viable and environmentally acceptable.*

## 3.7 Step 4: Identify who to engage

3.7.1 The more controversial or impacting the adaptation solutions, the more a comprehensive **stakeholder analysis** is required. Careful stakeholder analysis avoids the temptation to work just with the 'usual suspects' or those who shout the loudest. The analysis starts by grouping stakeholders. Categories should be created to ensure that the **full spread** of stakeholder interests are covered, that none are left out, 'prioritised' or deselected for reasons of personal preference, organisational bias or convenience.

3.7.2 The categories you choose should be **tailored** to your particular adaptation-planning situation, and will include specifying the relevant aspects (range) of the following. What do stakeholders need to cover in terms of:

- Sector (e.g. public, private, voluntary, community, campaigning);
- Function (e.g. user, service provider, regulator, funder, landowner, decision-maker, civil contingency partner, insurance, broker, communicator);
- Issue/topic (e.g. conservation, regeneration, economy, inter-generational equity, community cohesion, historic interest, planning);
- Geography (e.g. living within postal district Y, living in flood risk area);
- Socio-economic (e.g. income, gender, age, length of time living in area); and
- Affect (e.g. directly affected, indirectly affected, previously affected).

3.7.3 Once you have your stakeholder categories, you should brainstorm as many stakeholders as the team can think of – *under each category* that you have identified needs to be covered. Be as specific as possible, listing individual departments or even individuals within departments for example, rather than 'local authority'. Post-its are a useful way of recording your stakeholders, so you can move them around and group them in later steps of your stakeholder analysis. Idea storming by category is a cumulative activity: it is not about generating lists of stakeholders by category, (although this is how you start the process), but generating a central list of *possible* stakeholders, using the categories to stimulate ideas and check that none have been missed out. Don't panic at the growing list of stakeholders, or try to prioritise or censor ideas at this stage. The next step is to create some coherence and sense of the long list.

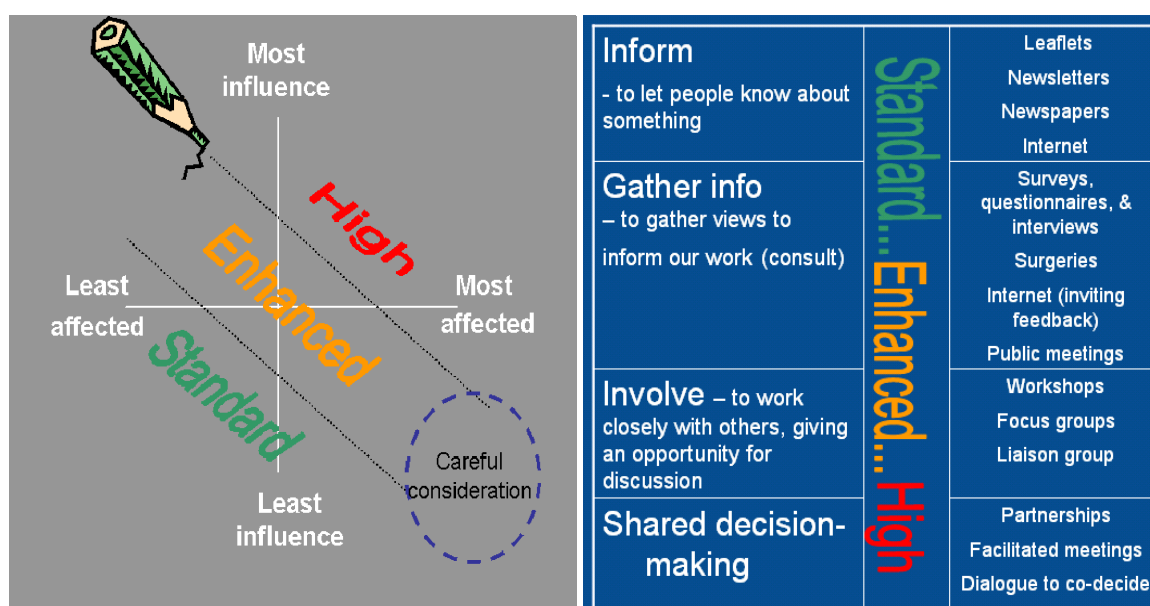
3.7.4 Once you have your long list of stakeholders, the next step is to start to analyse and categorise them to give you some insight into **how they might need to be engaged**. The object of this exercise is not to prioritise and exclude but to understand what would be appropriate and fair given stakeholder interests, influence and stakes.

- Draw two axes on a flip chart, as shown below. One axis will indicate the extent of likely influence of that stakeholder on adaptation planning decisions. The other how affected that stakeholder will be by the results of adaptation planning decisions.
- Take each of your stakeholders that you brainstormed, and place it in the appropriate position on the flip chart axis. Positioning is not an exact art and requires discussion. Some rules of thumb apply: individuals are usually not as influential as groups (for example one individual will have less influence than a campaign group); those whose

livelihoods, homes or health are influenced by adaptation planning decisions will usually be more affected than those who deal with the issues as part of their job.

- Once you've placed your stakeholders, draw two diagonal lines on your axis as shown below.

**Figure 3: Stakeholder analysis**



- This should help you identify which stakeholders fall into 'standard', 'enhanced' and 'high' levels of involvement, and starts to give some ideas as to the types of engagement you may need to offer.
  - **'Standard' stakeholders** may need to be offered ways of their being kept informed (e.g. letter, newsletter, internet) as well as ways of informing decisions taken in a fairly light touch way (e.g. an opportunity to take part in a questionnaire, exhibition, formal written consultation);
  - **'Enhanced' stakeholders** will expect access to all that is offered to 'standard' stakeholders. They may need an additional opportunity for interaction or a deeper level of input to decision making (and taking action as a result of those decisions) through an opportunity to take part in ongoing advice, liaison or task and finish groups. Those who fall into the bottom right hand corner are candidates for careful consideration – they may need particular support or access to decision making (for example going to their house, meeting place, working through peers etc), or to capacity building to enable them to respond to decisions made (standard communications such as flood warnings are unlikely to be sufficient);
  - **'High' stakeholders** will expect the opportunity to actually help to shape the work, or work collaboratively through partnership, dialogue, liaison and task and finish groups.

Those who fall into this category should be given the opportunity for involvement, no matter what past experience or conflict has been experienced.

3.7.5 Information on stakeholders can now be compiled in some detail, perhaps including what you know of their interests, what they want to achieve, how involved they want to be. This information will constantly evolve – the stakeholder analysis is only a ‘first guess’. It is going to be up to the stakeholders themselves to decide how they want to take part (and how). Recording information may involve the use of audits, building a shared data-base and establishing ways of updating these as information comes to light, for example, whether they attended an event, are on a liaison group, prefer email or paper updates.

**Table 2: Example table to record stakeholder information**

Stakeholder category	Stakeholder details status (what do we know or not know)	Needs/ offers: what might they want from (or to contribute to) adaptation planning? Note carefully what we do or don't know!	What do we want from them?	Type of engagement we'd like to offer (inform, gather information, involve, partnership or stat consultee)	Their choice of engagement method

## 3.8 Step 5: Drafting an integrated engagement and project plan

3.8.1 Steps 3 and 4 will have highlighted the range of different ways in which you may need to engage stakeholders in making, delivering and responding to decisions around adaptation planning. In this fourth step, you will need to start considering how these activities can be undertaken in a way that builds on – or links to - existing planning processes and statutory requirements, and existing groups, initiatives and activities.

3.8.2 The result of this step should be:

- A project plan setting out the decision making process, that incorporates engagement at the heart of the steps. Where work has already been done, this can be set out clearly to show how far there has been agreement over the problem definition, the scoping of solutions and so on; and
- A diagram that represents engagement and decision-making plans, that is understandable and can be used as the basis for explaining the engagement plans to stakeholders.

3.8.3 An integrated engagement/project plan will need to be designed to suit the project team's working practices. It may evolve into a Gantt chart or other project plan. Two things in particular need attention (see table in Appendix 3):

- How the decision making process will be structured from start to finish (see column two in the table in Appendix 3), including how it relates to the outcomes of existing processes, what has already been done (by whom and how); and
- What engagement and technical or statutory activities will need to be undertaken how they fit together, and where changes will be made to ensure a good fit (columns 3 – 5 in the table in Appendix 3).

3.8.4 An example of how the engagement programme plan has been translated into a flow diagram. For a real life example (Shaldon engagement around a flood defence scheme) is provided in Appendix 3.

## 4 Sealing Your Approach with a CAPE 'Charter'

### 4.1 Introduction

4.1.1 The project team will have, from step 1 onwards, engaged formally and informally with a wide range of people and groups in order to get to this point in the process. CAPE working groups may have significant representation from the voluntary and community sectors locally, Right from the start Authorities should decide whether they are going to enshrine their intent and direction in a local charter.

### 4.2 Local Charters

4.2.1 Experience from the Young Foundation and the Communities and Local Government (CLG)<sup>19</sup> suggests that publishing a local charter can be a useful way of showing and sharing commitment to community interests. A useful starting point in developing a charter will be the Planning Department's Statement of Community Involvement and in some cases an authority's Voluntary Sector Compact<sup>20</sup> and LSP commitments to community engagement. The CLG report suggests that charters can contribute to:

- building understanding and trust locally, particularly through inclusive decision making processes;
- securing new and up front involvement of local residents and key community representatives in a service or planning issue;
- identifying and clarifying the obligations of service providers, voluntary organisations and residents;and
- agreeing priorities, how different interests wish to move forward and hoped-for outcomes.

4.2.2 A charter can trumpet your standard for working with coastal communities, spell out the hoped for outcomes as well as acknowledge the constraints that public agencies as well as communities and community representatives might be under. In the case of CAPE a charter **is not** presenting to a coastal area the adaptation plan itself, but rather how the many different interests within a given coastal strip will work within the CAPE framework journey together to **achieve** a trusted, holistic adaptation plan and projects.

4.2.3 Although charters often focus on 'process' goals, these outputs (e.g 'we will provide resources to strengthen estuary groups') need to be routed in agreed outcomes. In other words what will have changed locally in 3 years, 5 years and 10 years. These will need to be measurable and realistic and convey the vision of where you are going. Charter outcomes can be grouped around standards and support, awareness and understanding, structures, roles, community resilience and plans. See appendix 5 for further help in drafting your charter.

<sup>19</sup> How to develop a local charter; A guide for local authorities, Jan 2008, CLG. See also appendix 8

<sup>20</sup> Joint Compact Action Plan 2008 – 2009, Available: [http://www.thecomcompact.org.uk/shared\\_asp\\_files/GFSR.asp?NodeID=101401](http://www.thecomcompact.org.uk/shared_asp_files/GFSR.asp?NodeID=101401) (accessed 29<sup>th</sup> May 2009)

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- 4.2.4 Public bodies may want to use their charter to deal with more than adaptation planning and use it to re-inforce or integrate, for example, their commitment to Integrated Coastal Zone Management (ICZM, see section 7.2).

## 5 Step 6: Choosing your engagement methods

### 5.1 Introduction

5.1.1 Step 6 provides guidance for the project team to consider the way in which it wishes to engage with different interests. The engagement methods presented here are only methods, they do not in themselves tell you what to say or how to say it. Many methods involve deep and important conversations between two individuals and need to be delivered sensitively. With some conversations and written statements you may only get one chance. This is an important consideration given that emotions often run high when individuals, neighbourhoods and even whole communities face or fear loss of land, homes, jobs, social networks, habitats or facilities. People may want to express strong feelings of loss, despair, anger, denial and resistance in public meetings and around the table. Use your emotional intelligence appropriately (5.2 below).

5.1.2 Engagement methods can be classified into five types, based on levels of stakeholder participation and influence, appropriate to particular stages of each project or initiative.

- 'Giving information'
- 'Consultation / listening'
- 'Exploring / innovating / visioning'
- 'Judging / deciding together'
- 'Delegating / supporting'

5.1.3 'Coordination and networking' is an additional 'type', and is a background low-level activity which should be carried out in tandem with the other types of engagement.

5.1.4 Table 3 below provides a worked example for the 'Giving Information' type of engagement, to show a range of appropriate engagement methods if you want, for example in this case, to start building up knowledge and awareness (centre column 'Why you might want this type of engagement'). This can help to identify the appropriate type of technique for each stage of the process. The full version of the table can be found in Appendix 6.

**Table 3: Worked example of an engagement type**

Type of engagement	Why you might want this type of engagement	Methods you could use
<b>Giving Information</b>	<p>Building initial awareness of decisions, opportunities, and ideas. Generating and sustaining interest in initiatives.</p> <p>Ensuring a neutral to positive press for activities and proposals.</p> <p>Information giving may also mean allowing views to be shared and enabling others to listen to different points of view.</p>	<ul style="list-style-type: none"> <li>• Sign-posting</li> <li>• Cascade conversations</li> <li>• Leaflets, newsletters, reports</li> <li>• Visual Mapping and Ranking Diagrams</li> <li>• Community Profiles</li> <li>• Feedback on surveys and consultation</li> <li>• Exhibitions, drop ins, surgeries</li> <li>• Texting, street-work, translated focus groups, and communication through religious leaders</li> <li>• Annual performance reports</li> <li>• Support / advice</li> <li>• Video / internet communication - dedicated project website</li> <li>• Running education programmes</li> <li>• Press and PR</li> </ul>

## 5.2 Loss and grief - implications for CAPE

- 5.2.1 Loss is the disappearance of something cherished, such as a person, possession, land or property. Grief is the normal response to any kind of loss. In terms of loss of home or land there can be multiple layers of loss, both tangible, physical losses and intangible, symbolic losses. i.e. loss of the home but also loss of status as homeowner, loss of history, memories and connections to place.
- 5.2.2 A ‘grief’ reaction can occur both prior to loss (anticipatory grief) and after loss. Research has shown that anticipatory grief can help in terms of dealing with grief after the loss itself. There will be less likelihood of a prolonged, complicated or extreme reaction. Members of the project team can play an important role in building in the appropriate sensitivities into their engagement and allowing and / or facilitating anticipatory grief.
- 5.2.3 For further help on dealing with this aspect of CAPE, and in particular to explore the relevance of Stroebe and Schut’s dual process model of how people deal with loss see Appendix 7.

## 6 Building Capacity across all Interests

- 6.1.1 Capacity building can take many forms and is an important investment at all stages of CAPE in terms of the 6 Steps identified above. Each key stage identified in this guidance has a corresponding capacity building element – for the project team, public sector organisations, key community players and residents and other interests (e.g. landowners). Given that CAPE is ultimately about developing the community’s capacity to play a full part in adaptation planning and even to lead on adaptation measures, longer term community development and empowerment work is essential. National and regional empowerment networks exist to support community groups and organisations working towards involving communities in decision making. See Appendix 8 for resources and training offered by these networks and other sources, involving public and voluntary sector organisations.
- 6.1.2 The role and brief of community development workers should be agreed locally between key voluntary sector organisations and the project team. Experience from case studies suggests that in some areas community organisation infrastructure is limited or very much dependent on one or two individuals and capacity building may assist individuals and groups within the *community* to play a full part in adaptation planning. Community development can also help to strengthen voluntary and community groups, democratic processes as well strengthen community resilience, the involvement of harder to reach groups and vulnerable households who are isolated geographically or because they are particularly affected by coastal change.
- 6.1.3 But capacity building is also required within *public sector organisations* and the processes they use, as working with communities on adaptation planning can require significant changes in skills, processes and attitudes. To this end, the Environment Agency and the Department for Communities and Local Government have developed community engagement guidance for their own staff and other public sector agencies. See Appendix 8 for these and other relevant resources for public sector organisations. Some capacity building measures will be project team focused, for example getting up to speed with the different roles, who does what, where resources for CAPE are coming from, how people can best work together (for example through team building and inclusive visioning. See Appendix 6 for more on these and other methods of engagement and when they should be used.)
- 6.1.4 A useful place to start in relation to capacity building for adaptation planning is to consider the roles required and how best to manage the roles between the stakeholders. Often, a public sector body will operate in a number of roles, often undefined and sometimes potentially representing a conflict of interests or a barrier to working with others. For example, the Environment Agency may act as expert advisor, decision-maker, funder and implementer of a potential flood defence or realignment scheme. At the same time, they may run meetings or partnerships to input or steer the work. Instead, a community-based approach to adaptation planning may involve developing a partnership approach to decision-making, funding and implementation, based on discussions convened by an independent third party. Discussions would draw on expert advice from the Environment Agency together with other expertise, including local expertise, and the views of those most affected. Potential roles therefore could include:
- *Decision-maker.* Who/what body will take decisions?

- *Advisory/expert.* What (range of) advice/expertise is required to make informed, implementable decisions, and who can provide it in a way that will be trusted?
- *Affected community.* Who can input (represent) the full range of interests of those affected?
- *Implementer/contractor.* Who might play a role in delivery (and how does implementation expertise get reflected in planning)?
- *Independent broker or facilitator.* Who could act as a neutral third party to ensure fair and productive discussions, and a fair process?
- *Resourcing.* Who could potentially bring the necessary resources (funding, land, operator capacity) required to support the planning process and implement the results?

## 7 Working with other planning processes on the coast

### 7.1 Introduction

7.1.1 Section 3 mentioned that Defra's Coastal Policy states that CAPE can also be delivered by building on and enhancing existing community engagement initiatives that take place on the coast. There are many over-lapping planning and decision making processes that affect the coast, including regeneration, flood protection and management of biodiversity sites and others. The key decision making process on the coast that have relevance to CAPE are:

- **Spatial Planning** (including local and regional planning);
- **Coastal Flood Risk and Erosion Management** (particularly SMPs and coastal/ estuary or flood defence strategies); and
- **Whole Community Planning** (including Sustainable Community Strategies, SCSs, Local Area Agreements, LAAs, Local Strategic Partnerships (LSPs), Parish Planning and Neighbourhood Management).

7.1.2 Appendix 4 contains a more detailed explanation of these existing processes and their relevance to CAPE. An understanding of the decision making processes affecting the coast is an essential aspect of the situation analysis. These processes constitute key opportunities to engage communities, organisations and individuals in planning for adaptation.

7.1.3 As detailed in section 3, developing a CAPE approach will require establishing a project team and it will be key that this team involves and draws in the key organisations and individuals involved in other plan-making processes affecting coastal communities.

7.1.4 Whole community planning and in particular LSPs perhaps offers a good model for CAPE's project team as it brings together key stakeholders in a co-decision making format, with certain leadership functions distributed amongst its members (i.e. there are clear roles and responsibilities). However it is the Local Authority which has the responsibility of coordinating and administering the budgets.

7.1.5 Effective CAPE will require that SMPs and Coastal Strategies be more closely integrated with whole community planning. Perhaps spatial planning, particularly the Local Development Frameworks which are led by the local planning authority, could provide one opportunity to assist in the integration through mechanisms such as Area Action Plans (AAPs) and Supplementary Planning Documents (SPDs).

### 7.2 Integrated Coastal Zone Management (ICZM)

*'Integrated Coastal Zone Management means adopting a joined-up approach towards the many different interests in coastal areas – both on the land and at sea. It is the process of harmonising the different policies and decision-making structures, and bringing together coastal stakeholders to take concerted action towards achieving*

*common goals. Integrating the many different interests effectively means we can look at the coast in a holistic way*. (Defra 2008<sup>21</sup>)

7.2.1 ICZM in the UK and Europe is emerging as a holistic and comprehensive approach to the integration of the many different interests in coastal areas – both on the land and at sea. Although still relatively young as an approach, Defra identified its longer term importance and direction in a strategy issued in 2008<sup>22</sup>. The department's approach, based on the European Commission's recommendations of eight key principles for ICZM<sup>23</sup> embraces a vision which includes four drivers particularly relevant to CAPE:

- More consistent application of the principles of good, holistic and co-ordinated management around the coast;
- A management approach that builds on existing structures and responsibilities, whilst encouraging organisations to work better together;
- A flexible management approach, which supports local initiatives and solutions to address local circumstances, within an overall regulatory framework; and
- Appropriate and effective stakeholder and local community involvement throughout management processes.

7.2.2 CAPE can both inform and build on current ICZM strengths. Evidence from recent research suggests that the approach is already leading to more iterative conversations between community and statutory bodies and in some cases encouraging innovative adaptation solutions.

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<sup>21</sup> Defra (2008) A strategy for promoting an integrated approach to the management of coastal areas in England, available at <http://www.defra.gov.uk/marine/pdf/environment/iczm/iczm-strategyengland.pdf>

<sup>23</sup> European Commission 2007 Com (2007) 308 final – Communication from the Commission – Report to the European Parliament and the Council: An evaluation of Integrated Coastal Zone Management (ICZM) in Europe.  
See: [www.eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2007:0308:FIN:EN:PDF](http://www.eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2007:0308:FIN:EN:PDF) page 5, para 3.1

### Box 1: Case Study

In Suffolk an ICZM programme was initiated in 2008 as a two year fixed term contract jointly funded by the two coastal District Councils, Suffolk County Council and Environment Agency. This applies the principles of Integrated Coastal Zone Management under the framework of the East of England Coastal Initiative managed by the Government Office. The current post holder reports to a steering group consisting of the funders together with Natural England, Go-East and EEDA. Approximately 25% of his time is spent liaising with community stakeholders and the rest a wide range of statutory and private stakeholders. A key part of the post is to stitch together different kind of funding from EC, Region. MAAs downwards including the precious resource of time that local people are prepared to put in.

The ICZM here has encouraged a closer working relationship between coastal officers, local councillors, community activists and landowners. This has led to estuary Strategies and partnerships for the Alde and Ore, Deben and Blyth estuaries led by Environment Agency Officers working to their new Building Trust with Communities approach. Although the scope of one estuary strategy is difficult to resolve, positive outcomes have been different ends of estuaries speaking to each other for the first time and levels of mistrust declining. They have also allowed robust challenge to scientific evidence, for example evidence on the tidal prism of the Blyth estuary and sedimentation in the marshes was refuted by independent experts.

A very good example of an ICZM adaptation plan is the establishment of the East Lane Trust. Here two landowners offered open land outside the village envelope for development. In co-operation with their supportive district council, planning consent was secured and £2m raised from the sale of the land at the end of 2008 for the purpose of funding the bulk of a much needed £2.5m sea defence. The money has been put into trust until it is drawn down.

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## Part B – Appendices and further resources for developing CAPE

(In a separate volume)