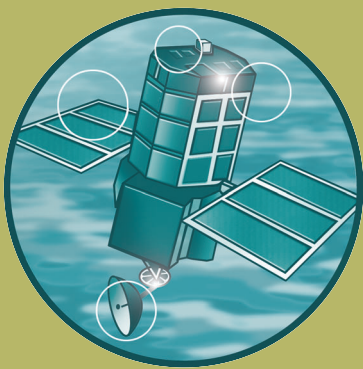


Understanding the Process for Community Adaptation Planning and Engagement (CAPE) on the Coast

R&D Technical Report FD2624/TR



Joint Defra/EA Flood and Coastal Erosion Risk
Management R&D Programme

Understanding the Processes for Community Adaptation Planning and Engagement (CAPE) on the Coast

R&D Technical Report FD2624/TR

Produced: November 2009

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Statement of use

This technical report and associated CAPE guidance accompany Defra's Coastal Change Policy. The Policy sets out ideas for how coastal communities can adapt to the impacts of coastal change and Defra's role in supporting this. The research project aimed to identify the key gaps, barriers, opportunities and synergies that affect community engagement in this context. The CAPE guidance which is the main output of this project provides a framework and roadmap to local authorities and other bodies on how they might engage and work with their communities to develop a plan for adapting to coastal change.

Dissemination status

Internal: Released internally

External: Released to public domain

Keywords: coastal, adaptation, planning, community, engagement, erosion

Research contractor: Scott Wilson with Collingwood Environmental Planning and Lindsey Colbourne

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www.defra.gov.uk/environment/flooding/index

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Executive Summary

Introduction

This is the executive summary of the final report for the Defra funded project:

“Understanding the processes for community adaptation planning and engagement”

Scott Wilson (with Collingwood Environmental Planning and Lindsey Colbourne Associates) were commissioned by Defra in January 2009 to provide:

- A policy report on the barriers and opportunities for Community Adaptation Planning and Engagement (CAPE) on the coast (this report); and
- A Guidance document on how to get started on CAPE (in a separate volume¹).

The policy report and Guidance aimed to provide support and accompany Defra’s draft Coastal Change Policy². This new policy is a recognition that coastal communities need more support from public agencies to understand and adapt to coastal change³. The Coastal Change Policy was published as a draft for consultation in June 2009. It set out ideas for how coastal communities can adapt to the impacts of coastal change and Defra’s role in supporting this.

The research project aimed to identify the key gaps, barriers and synergies that affect community engagement in adaptation planning for coastal change. The project was a response to the concern that participation in debates about adaptation and the best solutions for different communities has not been happening, or at least not effectively or consistently, at the local level. There is a need to better involve communities in adaptation planning to help move towards greater consensus and manage divergent opinion where consensus proves difficult. Evidence from urban regeneration suggests that involved and empowered communities and groups are also more mature and able to live with decisions where they understand the issues, risks and process and feel they have had their say.

The project produced a definition of community engagement in the context of coastal adaptation (CAPE):

¹ Woodin, S, Fernández-Bilbao, A, Richardson, J, Zsomboky, M, Bose, M, Orr, P, Twigger-Ross, C, Colbourne L (2009) Guidance for Community Adaptation Planning and Engagement (CAPE) on the coast

²The Draft Coastal Change Policy is available at: <http://www.defra.gov.uk/corporate/consult/coastal-change/index.htm> (accessed: 30 October 2009).

³ Coastal change is defined in Defra’s Draft Coastal Change Policy as ‘physical change to the shoreline, i.e. erosion, coastal landslip, permanent inundation and coastal accretion.’

“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 places ”.

The research was undertaken through desk reviews, stakeholder interviews, five case studies with coastal communities, a national stakeholder workshop, plus the feedback and comments obtained during the consultation on Defra’s Coastal Change policy. These tasks have informed the development of the CAPE Guidance (published as a separate volume) which is the main output of this project. The key findings revolved around the significant communications and engagement gaps relating to current approaches; lack of awareness of the problem or starting point; and how to structure and integrate adaptation planning in the context of the many other coastal management and planning activities.

Our study focussed mainly on the barriers to community adaptation planning and engagement on the coast. Therefore, the negative experiences of communities may be overrepresented in our findings. It should also be noted, particularly in relation with the Environment Agency, that they have acknowledged that community engagement has been an issue in the past and they are working to address it. For instance, the Building Trust with Communities (BTwC) tool was developed in response to previous negative experiences of working with communities (see the Shaldon case study in Appendix 6). In addition, the Environment Agency has recently appointed coastal engagement officers to improve community engagement practices in relation to new coastal erosion maps, SMPs and other coastal issues.

The key findings of our study are:

Current approaches to community engagement on the coast:

- Our study found evidence that coastal communities do not feel they are being meaningfully involved in decision-making, which can lead to distrust;
- Coastal communities feel that the main barrier for increased community involvement in planning and implementing adaptation measures is the current top-down decision-making structure;
- A key issue is the current lack of trust in authorities (particularly national agencies and central Government);
- Consultation is seen as a ‘rubber-stamping’ exercise. Communities feel nothing ever comes out of consultation even though they are ‘consulted to death’;
- Skills and resources issues. For engagement to be adequately planned and carried out a wide range of competencies are needed; and
- More use of independent facilitators and brokers has been highlighted throughout the research. This would help to bridge the lack of trust in authorities and also the lack of engagement skills.

Current awareness of climate change, coastal change and the need to adapt

- Both across and within communities there is a range of levels of awareness of coastal and climate change issues which results in a number of different engagement situations and needs;
- For engagement to be meaningful communities have to be involved in defining the problem and deciding on the options;
- Communities are at very different stages in terms of engagement and awareness of coastal change - the need to 'adapt' or 'change' is not well understood at the local level; and
- People are more likely to adapt if they have the awareness, knowledge, skills and experience to engage with the technical aspects of adaptation measures.

Who should lead in adaptation planning

- There are a large number of planning processes and strategies that affect the coast and various organisations with responsibilities. This complexity causes confusion in communities;
- The large number of organisations involved means that there is also a lack of leadership on coastal issues. In terms of who should be the lead in adaptation planning, there seems to be a consensus that local authorities should fulfil this role. This raises a further issue, outside the remit of this project, as to whether local authorities have sufficient resources and skills;
- Resourcing CAPE may be particularly challenging for smaller rural local authorities or for those that may only have a small stretch of coast; and
- There seems to be widespread agreement that existing structures and groups should be used to implement CAPE (rather than creating new governance structures or groups).

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Abbreviations

AONB	Area of Outstanding Natural Beauty
BBC	Barrow Borough Council
BTwC	Building Trust with Communities
CAZ	Coastal Action Zone
CCAG	Coastal Concern Action Group
CAPE	Community Adaptation Planning and Engagement
CHaMPs	Coastal Habitat Management Plans
CLG	Department for Communities and Local Government
Defra	Department of Environment Food and Rural Affairs
ELD	East Lindsey District
ELDC	East Lindsey District Council
EEDA	East of England Development Agency
EDD	Engage-Deliberate-Decide
EA	Environment Agency
EC	European Commission
EMP	Estuary Management Plan
HECAG	Humber Estuary Coastal Authorities Group
ICZM	Integrated Coastal Zone Management
LAA	Local Area Agreement
LDD	Local Development Document
LDF	Local Development Framework
LGiH	Local Government and Public Involvement in Health
LSP	Local Strategic Partnership
MASCOP	Mablethorpe Chamber of Trade
MAA	Multi-Area Agreements
NDC	New Deal for Communities
NNDC	North Norfolk District Council
NIMBY	Not In My Back Yard
RFDC	Regional Flood Defence Committees
RSS	Regional Spatial Strategy
SMP	Shoreline Management Plan
SSSI	Site of Special Scientific Interest
SCI	Statement of Community Involvement
SCAR	Suffolk Coast Against Retreat
SCS	Sustainable Community Strategy
UEA	University of East Anglia
UKCP09	UK Climate Change Projections 2009

1. Introduction

1.1 This report

This is the final report for the Defra funded project:

“Understanding the processes for community adaptation planning and engagement on the coast”

This report updates an internal interim report submitted and presented to Defra and the project Steering Group in April 2009. This report also reflects the findings of the research conducted following the issue of the interim report as well as the comments received from Defra and the project Steering Group.

The remainder of this section sets out the background to this project and to the issues that some coastal communities face. Section 2 sets out our approach and methodology and the findings of our research have been included in Section 3. Additional background, case studies and other information has been included in the Appendices.

1.2 Background to the project

Scott Wilson (with Collingwood Environmental Planning and Lindsey Colbourne Associates) were commissioned by Defra in January 2009 to provide:

- A policy report on the barriers and opportunities for Community Adaptation Planning and Engagement (CAPE) on the coast (this report); and
- A Guidance document on how to get started on CAPE (in a separate volume⁴).

The policy report and Guidance were aimed to provide support and accompany Defra’s draft Coastal Change Policy⁵. This new policy is a recognition that coastal communities need more support from public agencies to understand and adapt to coastal change⁶. The Coastal Change Policy was published as a draft for consultation in June 2009. It set out ideas for how coastal communities can adapt to the impacts of coastal change and Defra’s role in supporting this. The policy was launched in parallel with a new Coastal Change Pathfinders competition for local authorities to explore different approaches to adaptation in coastal communities facing coastal change. The programme will run from

⁴ Woodin, S, Fernández-Bilbao, A, Richardson, J, Zsomboky, M, Bose, M, Orr, P, Twigger-Ross, C, Colbourne L (2009) Guidance for Community Adaptation Planning and Engagement (CAPE) on the coast

⁵ The Draft Coastal Change Policy is available at: <http://www.defra.gov.uk/corporate/consult/coastal-change/index.htm> (accessed: 30 October 2009).

⁶ Coastal change is defined in Defra’s Draft Coastal Change Policy as ‘physical change to the shoreline, i.e. erosion, coastal landslip, permanent inundation and coastal accretion.’

autumn 2009 to spring 2011 and should provide an opportunity to learn more about how adaptation planning can work in practice.

The key aim was to identify the key gaps, barriers and synergies that affect community engagement on coastal change issues. The project was a response to the growing concern that participation in debates about adaptation and the best solutions for different communities is not currently happening at the local level. There is a need to better involve communities in adaptation planning to encourage consensus and manage divergent opinion where consensus proves difficult. Evidence from urban regeneration suggests that involved and empowered communities and groups are also more mature and able to live with decisions where they understand the issues, risks and process and feel they have had their say.

A recent report⁷ on the social impacts of climate change in the UK highlighted that there are three types of strategic climate change adaptation responses: (i) *policy*, (ii) *management and operational* and (iii) *community-led adaptation*. The report goes on to conclude that ‘*action is needed at 3 levels within the UK: nationally and regionally (e.g. by government, agencies, regional bodies, etc.), locally (including by local authorities) and, most importantly, **by and with communities***’ (our emphasis).

1.3 Background to coastal areas

Currently, there is not an up-to-date official definition of what is meant by ‘coastal area’⁸. However, although likely to be replaced, 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.”

The coast is at the forefront of a number of important challenges and opportunities including:

- Climate change impacts, which are likely to be felt at the coast before they impact elsewhere, through increases in the frequency and seriousness of flooding compounded by increasing coastal erosion and land instability;

⁷ CAG Consultants (2009) The differential social impacts of climate change in the UK. Final Report to Sniffer.

⁸ CLG are consulting on replacing for Planning Policy Guidance PPG20 with a Planning Policy Statement (PPS) on coastal change.

- Socio-economic pressures from activities such as tourism, port infrastructure, residential development and more recently for environmental mitigation schemes, managed realignment and compensatory habitats;
- The changing pattern of the use of the marine environment which includes an expansion of the offshore energy sector⁹ and the extension of the principles of spatial planning to the marine environment;
- The need to protect important habitats and statutory designated sites; and
- Pockets of deprivation, ageing communities, regeneration and investment needs.

Coastal processes are complex and depend on climate, tidal flows, sediment movement, water levels and man-made interventions. The 'science' of climate change is also highly complex and therefore there could be a tendency to assume that the public cannot understand complex issues. However, there is a wealth of evidence on the capacity of lay people to understand and engage with complex technical issues¹⁰. Also there is evidence of the detailed local and lay knowledge that members of the public bring to areas traditionally defined as "expert" and "scientific", with recent work considering how expertise can be "opened up" so that different types of knowledge are viewed as resources rather than as burdens¹¹.

Climate change will bring significant impacts to coastal areas due to sea level rise and an increase in storm intensity and wave height. Similarly, in terms of coastal erosion the areas of uncertainty '*relate more to the timescale of evolution rather than the underlying process of erosion*'¹². But for engagement to happen, this will need to be in a form that the public and communities can understand and relate to.

1.4 Some key facts about coastal communities

Coastal communities have been highlighted as being among the least well understood of Britain's localities. While considerable research and policy attention has been paid to rural and urban areas and to declining industrial

⁹ Fletcher, S and Potts, J (2008) 'Coastal and marine governance in the UK: Editorial' The Geographical Journal, 174 (4), p.295-298.

¹⁰ Gavelin, K and Wilson, R "Democratic Technologies? The final report of the Nanotechnology Engagement Group". Involve 2007.

¹¹ See Stilgoe, J Irwin, A, Jones, (2006) The Received Wisdom: Opening Up Expert Advice (Demos).

¹² Scarborough Borough Council in partnership with the Isle of Wight Centre for Coastal Environment (IWCCE) (2006) Coastal Study Area Report: North Yorkshire Coast of England. LIFE Environment Project 2003 – 2006 'RESPONSE': LIFE 03 ENV/UK/000611.

areas, the coast has received comparatively little attention¹³. As well as ageing populations, some coastal areas are characterised by having fragile economic conditions including low incomes, seasonal employment and pressure on services during the summer months. Coastal areas also experience high levels of youth out-migration. For instance, the Lincolnshire Coastal Action Zone (CAZ) reports that in East Lindsey for every two people aged 18-24 that move out of the area, three people aged over 60 move in¹⁴.

The UK population as a whole is ageing and this trend is particularly evident along Britain's coasts which have been traditionally popular retirement destinations. Rural areas along the coast experienced an increase in the proportion of their population aged over 65 between 1981 and 2001. In addition, coastal districts away from the main urban centres have disproportionate numbers of retired people¹⁵.

Some coastal resorts are said to suffer from the worse aspects of both urban and rural deprivation. Deprivation is particularly severe in the most isolated coastal resorts. Even larger and more prosperous resorts such as Bournemouth, Brighton and Skegness contain pockets of deprivation¹⁶.

Existing deprivation of coastal resorts is caused by a combination of coastal demography (with high proportion of retirees and benefits claimants), housing tenure, low wages, transitory populations and narrow economic activities. In every domain of the Index of Multiple Deprivation, coastal areas are found to be more deprived than rural areas¹⁷.

An example of one such resort is one of our case study locations, Mablethorpe, which combines disproportionately high deprivation, elderly population (57% are over 55), seasonal economy, lack of services and infrastructure and lack of public transport, in particular a train station.

However, despite all these issues, people still want to live on the coast. This attraction is particularly prevalent among retirees who may have spent their holidays on the coast when they were young. Another example cited in an interview with East Lindsey District Council is that of the 5,000 households that

¹³ Centre for Rural Economy, University of Newcastle upon Tyne (2006) Ageing and coastal communities. Final report to the Coastal Action Zone. Available: http://www.coastalcommunities.co.uk/library/research_papers/Ageing_Communities_Report.pdf (accessed: 17 November 2009).

¹⁴ Centre for Rural Economy, University of Newcastle upon Tyne (2006) Ageing and coastal communities. Final report to the Coastal Action Zone. Available: http://www.coastalcommunities.co.uk/library/research_papers/Ageing_Communities_Report.pdf (accessed: 7 November 2009).

¹⁵ Centre for Rural Economy, University of Newcastle upon Tyne (2006) Ageing and coastal communities. Final report to the Coastal Action Zone. Available: http://www.coastalcommunities.co.uk/library/research_papers/Ageing_Communities_Report.pdf (accessed: 3 April 2009).

¹⁶ Lincolnshire Research Observatory (n.d.) Statistics – The Condition of the Coast (Available: <http://www.coastalcommunities.co.uk/library/strategy.pdf> Accessed: 7 November 2009).

¹⁷ Lincolnshire Research Observatory (n.d.) Statistics – The Condition of the Coast (Available: <http://www.coastalcommunities.co.uk/library/strategy.pdf> Accessed: 7 November 2009).

the council has on its housing waiting list, the great majority want to live on the coast.

Coastal areas have also been a focus for regeneration funding. Since 1997, the Government has invested more than £20bn through initiatives like the New Deal for Communities, which supports 10-year regeneration strategies in 39 of the poorest neighbourhoods in the country and the Neighbourhood Renewal Fund, which has focused on the 88 (more recently 86) most deprived local authority neighbourhoods, 21 of which are on the coast. Councils in coastal towns, along with other communities in England, have also benefited from an increase in Government grant for local services of 39% in real terms since 1997¹⁸.

Coastal areas are rich in habitats, biodiversity and protected areas including sites of European importance and Ramsar Sites. Climate change, sea level rise and coastal management may negatively affect habitats in the coast. On some low-lying coasts, rising sea levels and an increase in storminess are leading to substantial losses of intertidal habitats as a result of 'coastal squeeze' (the process by which salt marshes and mudflats are eroded away as they become trapped between rising sea-levels and fixed seawalls). These losses also affect the management and cost of flood defences, many of which rely on salt marshes to reduce wave energy¹⁹.

Coastal issues such as the risk of flooding and erosion also affect historical assets and heritage sites on the coast. In addition, 33% (1,057 km) of the English coastline is conserved as Heritage Coasts. Most of the designated coasts are within the boundaries of National Parks or AONBs, although a small number stand alone²⁰.

1.5 Key coastal management issues

Coastal management issues include both coastal flooding of low-lying coastlands and estuaries and loss of coastal land due to erosion. The Foresight Future Flooding report highlighted that in terms of potential magnitude of harm, coastal flooding is far more significant. However, both processes are intimately linked. Very large scale movements of sediments on beaches, the shore and

¹⁸ The Government's Response to CLG and LGC Report on Coastal Towns, Available: <http://www.official-documents.gov.uk/document/cm71/7126/7126.pdf> (accessed: 7 November 2009).

¹⁹ South East Coastal Group (n.d.) Providing Coastal Defence and Preserving Natural Habitats, Available: <http://www.se-coastalgroup.org.uk/main.cfm?objectid=84> (accessed: 7 November 2009).

²⁰ Natural England (n.d.) Heritage Coasts, Available: <http://www.naturalengland.org.uk/ourwork/conservation/designatedareas/heritagecoasts/default.aspx> (accessed: 7 November 2009).

the sea bed have a key role in coastal dynamics²¹. Coastal erosion is estimated to be occurring along 30% of England's coastline²².

Currently, 46% of England's coastline is protected by hard defences²³. Coastal defences protect properties, agricultural land, business and other assets from flooding and erosion and have allowed development and economic activities to take place in areas at risk. However, coastal defence works have highly disrupted natural movements caused by tides, surges and the wind, particularly during the last century. In particular, the key activities that have caused disruption of natural processes include:

- The artificial protection of eroding cliffs which reduces sediment supplies;
- The introduction of beach control structures such as groynes which inhibit long-shore drift;
- The construction of harbour breakwaters and dredging of harbour entrances; and
- Widespread reclamation of the margins of estuaries²⁴.

Continuing with current levels of protection on the coastline may not be economically viable everywhere. 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"²⁵ in the future, making those new communities vulnerable to the predicted increase in extreme events.

In addition, sea level rise and the impacts of climate change will increase the challenges of protecting people and properties on the coast. Global sea level rise is currently 1.8 mm per year but the land in the South-East is sinking which means that sea-level rise is greater than the global average. By the 2080s sea levels may rise between 26cm and 86cm in parts of England. Periods of heavy winter rainfall may become more frequent and account for a higher proportion of

²¹ Foresight (2004) Future flooding: Phase 1 Technical Rep
<http://www.naturalengland.org.uk/ourwork/conservation/designatedareas/heritagecoasts/default.aspx?ort=Drivers,scenariosandworkplan>, Available:
http://www.foresight.gov.uk/OurWork/CompletedProjects/Flood/Docs/Drivers_Scenarios_and_Workplan_Main_Report.asp (accessed: 7 November 2009).

²² MCCIP (2008). Annual Report Card 2007-2008 [online] available at:
<http://www.mccip.org.uk/arc/2007/default.htm> (accessed: 7 November 2009).

²³ MCCIP (2008). Annual Report Card 2007-2008 [online] available at:
<http://www.mccip.org.uk/arc/2007/default.htm> (accessed: 7 November 2009).

²⁴ Foresight (2004) Future flooding: Phase 1 Technical Report - Drivers, scenarios and work plan, Available:
http://www.foresight.gov.uk/OurWork/CompletedProjects/Flood/Docs/Drivers_Scenarios_and_Workplan_Main_Report.asp (accessed: 7 November 2009).

²⁵ 'Roll back' involves physical relocation of businesses, homes and other assets further inland away from the threat of coastal erosion.

winter rain²⁶. In addition, climate models are predicting overall fewer storms but a greater number of intense storms and associated increase in wave height²⁷.

²⁶ Defra on behalf of the UK Biodiversity Partnership (2007) Conserving biodiversity in a changing climate: guidance on building capacity to adapt. Available: <http://www.ukbap.org.uk/Library/BRIG/CBCCGuidance.pdf> (accessed: 7 November 2009)

²⁷ MCCIP (2008). Annual Report Card 2007-2008 [online] available at: <http://www.mccip.org.uk/arc/2007/default.htm> (accessed: 7 November 2009).

2. Methodology and approach

2.1 Introduction

Our approach to this research drew on our experience of working in community engagement and urban regeneration and was informed by an understanding of the flood and coastal defence policy context. The research approach has been highly collaborative and our findings have developed over the life of the project in a continuous iterative process between the research team, Defra and the project Steering Group. The project Steering Group included *inter alia* representatives of the Environment Agency, Natural England, English Heritage, Communities and Local Government, Community Development Foundation, local authorities and Coastal Groups.

Our research has also aimed to involve those most affected by coastal change as well as those authorities with responsibilities to manage that change. The affected communities have been involved through a series of case studies and participation in the project workshop (see Section 2.5.1). Authorities and public bodies have been involved through interviews, case studies and the workshop.

Several research tasks were undertaken. The findings of each of the tasks informed the next research stage:

- A policy and context review (see Section 2.2);
- Stakeholder interviews (Section 2.3);
- Five case studies in coastal communities (Section 2.4);
- Preparation of a Draft Guidance on CAPE, based on the policy and context review, the interviews and case studies (Section 2.5);
- Stakeholder and community workshop to test and refine the Guidance (Section 2.5.1);
- Public consultation on the Guidance, alongside Defra's new Coastal Change Policy (Section 2.5.2); and
- Preparation of a final Guidance on CAPE based on the consultation comments, the findings of the workshop and Defra's comments (Section 2.6).

The following sections 2.2 to 2.6 describe our approach to each of the tasks and stages of the research.

2.2 Policy and context review

The policy and context review included both peer reviewed and grey literature,²⁸ as well as key policy documents and several organisations' websites. The review was undertaken in order to establish current policy and governance of coastal areas, challenges to policy implementation and emergent thinking on community participation in adaptation planning. In this review we explored wider contextual issues such as climate change, coastal erosion and flood risk, as

²⁸ Specialist/technical/research publications not always widely available.

well as the government's Sustainable Communities agenda. Relevant legislation and strategy in both planning and coastal management were reviewed, with an aim to establish opportunities for involving communities in adaptation planning within the current and emerging policy framework. The emphasis was to find synergies or barriers to community adaptation planning.

The desk review tested our initial understanding of adaptation planning and subsequently community adaptation planning and engagement. The findings of this review have been included in the introductory section of this report and have informed Section 3 on Findings. Part of our context review has been included as appendices to this report (Appendices 1 to 5).

The review also informed the sampling and questionnaires for our stakeholder interviews and our selection criteria for case studies.

2.3 Stakeholder interviews

We conducted six semi-structured interviews with high level stakeholders representing relevant organisations with a say in coastal change or community engagement. Lines of questioning included policy drivers and scope for community adaptation, institutional frameworks, potential funding sources or triggers, organisational relationships and community engagement practice. Interviewees' understanding of and vision for community adaptation planning were also explored. Interviewees represented the following organisations:

- Environment Agency (national coastal policy);
- Department for Communities and Local Government (CLG);
- Natural England;
- Coastal Communities Alliance (national regeneration partnership);
- GO-East Coastal Initiative; and
- North Norfolk District Council.

The key findings of the interviews have been incorporated to Section 3. The findings of the interviews aided in the identification of case studies and have informed the findings and conclusions included in this report.

2.4 Case studies

Five case studies with coastal communities were undertaken. The case studies had different foci in terms of scale, administrative level, specific adaptation issues, levels of community organisation and geographical location. Our brief stressed that case studies should aim to learn from the experience of existing active communities, but more importantly, explore less active coastal communities at varying levels of risk and risk awareness. The case studies were selected in consultation with Defra and the intention was to obtain as much of a spread as possible and cover a range of examples:

- Range of coastal issues: erosion, tidal flood risk, sea level rise

- Range of communities: different skills, deprivation, awareness levels, different degrees of activism;
- Range of administrative levels: whole coast (county), local authority, parish council, town, village; and
- Range of ‘flash points’: recent flooding, SMP consultations, poor engagement, visible erosion.

The five case studies were undertaken in:

- Mablethorpe (Lincolnshire);
- Barrow (Cumbria);
- Suffolk Coast;
- Happisburgh (North Norfolk); and
- Shaldon (Devon).

The case study information was gathered through a range of methods (see Appendix 6). The findings of the case studies have been summarised in Table 1 and the full write up included in Appendix 6.

2.5 Draft guidance and consultation

A draft Guidance document was produced based on the findings of the interviews, case studies and desk review. The draft Guidance was also discussed in several meetings with Defra. Issues such as how long the Guidance should be, the intended audience, lay out and format were discussed and agreed with Defra prior to publication.

The Draft Guidance was issued as a ‘working draft’ alongside the new Defra Coastal Policy in June 2009. The Draft Guidance was amended following a stakeholder workshop (Section 2.5.1) and public consultation on the Guidance as part of the wider consultation on Defra’s Coastal Change Policy.

2.5.1 Workshop

A stakeholder workshop was organised by Scott Wilson in August 2009. The workshop took place in London during the formal consultation on Defra’s Coastal Change Policy. The aim of the workshop was to present the findings of our research to date and to test the usefulness of the Guidance with a range of statutory stakeholders and community representatives. Invitations were sent to those that had previously been involved in the research (through our case studies or interviews) and to members of the project Steering Group and Defra. The format of the day covered presentations and three interactive sessions. The workshop was conducted under the Chatham House Rule.

The findings of the workshop and feedback from participants were used to finalise the guidance. The workshop notes have been included in Appendix 7.

2.5.2 Consultation on the Guidance

The draft Guidance was published for consultation alongside Defra's new coastal policy. Defra received 75 responses on its Consultation on Coastal Change Policy document which related to the CAPE framework and guidance note. The majority of responses appeared not to have read the detailed draft guidance note, but responded to the summary of the approach provided in section 4 of the policy consultation. In addition, many responses were concerned with policy issues rather than CAPE. Some of these points are relevant to this policy report.

Having reviewed each response we prepared a list of changes based on the key themes running through the consultation responses. The changes were agreed with Defra and a new Guidance document was produced reflecting consultation comments and the findings of the stakeholder workshop. It is worth highlighting that many of the responses welcomed the CAPE approach although many also commented that the approach required resources, high level buy-in from local authorities and capacity building for front-line staff.

2.6 Final guidance

The Guidance was finalised in November 2009 taking into account the findings of the workshop and public consultation. It was recommended during the consultation that the Guidance is evaluated and reviewed. This could be done as part of Defra's evaluation of the Coastal Change Pathfinders. Box 1 below provides a summary of the Guidance document.

Box 1: Summary of the CAPE Guidance

The Guidance on Community Adaptation Planning and Engagement has 6 core principles underpinning the approach:

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.

Adaptation planning needs to start where the community is at.

The first section of the Guidance looks at typical starting points for different communities' journeys towards adaptation. The remainder of the Guidance takes the audience through a series of steps which can potentially culminate in the publication of an authority's commitment²⁹ to engage (in a charter, compact or similar).

The seven steps are:

- Step 1: Clarify adaptation aims, drivers and scope of decisions. This will set out why you are considering taking action (i.e. why is adaptation needed).
- Step 2: Establish how much engagement. This will depend on the type of context and also how many people are affected by the decision and how controversial it is likely to be.
- Step 3: Clarify engagement aims and scope. This step involves setting out the aims of the engagement and how much the community can influence.
- Step 4: Identify who to engage, through a tailored stakeholder analysis.
- Step 5: Draft an integrated engagement and project plan. The plan should set out the decision-making process and points at which engagement will happen.
- Step 6: Publish your commitment to engage. Based on all the above, this optional step will help you to produce a charter or other similar document enshrining your commitment to working with communities.
- Step 7: Agree engagement methods and approaches. This step aims to help you choose the engagement methods appropriate to the desired outcomes.

Two further elements of CAPE which cut across all the steps are:

- Building capacity across all interests. Including skills for engagement and long-term community development.
- Working with other planning processes on the coast. This section provides an overview of policies and processes relevant to CAPE.

²⁹ Some of the steps are based on the Building Trust with Communities - Working with Others (BTWC) tool developed for the Environment Agency.

3. Findings

3.1 Introduction

This section provides a discussion of the key findings from research undertaken for this project (desk review, case studies and interviews). The findings of the study have fed into the development of the CAPE Guidance. In addition, Section 3.3 below provides a summary of the implications of the research which are reflected in the CAPE Guidance.

Section 3.4 below provides an account of the gaps and limitations of our research.

3.2 Current practice of adaptation planning and engagement

Our study focussed mainly on the barriers to community adaptation planning and engagement on the coast. Therefore, the negative experiences of communities may be overrepresented in this section. It should also be noted, particularly in relation with the Environment Agency, that they have acknowledged that community engagement has been an issue in the past and they are working to address it. For instance, the Building Trust with Communities (BTwC) tool was developed in response to previous negative experiences of working with communities (see the Shaldon case study in Appendix 6). In addition, the Environment Agency has recently appointed coastal engagement officers to improve community engagement practices in relation to new coastal erosion maps, SMPs and other coastal issues.

Our project identified the following findings in relation to current practice of adaptation planning and engagement:

Current approaches to community engagement on the coast:

- Our study found evidence that communities feel they are not being meaningfully involved in decision making (e.g. SMP2), which can lead to distrust. This appears to be a continuing and persistent perception, mostly revolving around SMP processes, where communities feel that key policy decisions are drafted and endorsed by professionals without taking the community along with them;
- Coastal communities feel that the main barrier for increased community involvement in planning and implementing adaptation measures is the current top-down decision-making structure;
- A key issue is the current lack of trust in authorities (particularly national agencies and central Government);
- Consultation is seen as a 'rubber-stamping' exercise. Communities feel nothing ever comes out of consultation even though they are 'consulted to death';
- Skills and resources issues. For engagement to be adequately planned and carried out a wide range of competencies are needed. Our project

found that not all lead players have the right skills for planning and delivering effective and efficient engagement; and

- More use of independent facilitators and brokers has been highlighted throughout the research. This would help to bridge the lack of trust in authorities and also the lack of engagement skills.

Current awareness of climate change, coastal change and the need to adapt

- Both across and within communities there is a range of levels of awareness of coastal and climate change issues which results in a number of different engagement situations and needs. The implication of this is that 'adaptation' is a contested issue without a clear, agreed definition (see also Appendix 2);
- For engagement to be meaningful communities have to be involved in defining the problem and deciding on the options;
- Communities are at very different stages in terms of engagement and awareness of coastal change - the need to 'adapt' or 'change' is not well understood at the local level. For example some communities we met appeared unaware of the risk of flooding or erosion, or that there are proposals to defend/ not to defend their community;
- People are more likely to adapt if they have the awareness, knowledge, skills and experience to engage with the technical aspects of adaptation measures; and
- The current approach of presenting potential solutions before communities are aware of the problem leads to conflict, as seen at both the strategic (SMP) and the scheme level.

Who should lead in adaptation planning?

- There are a large number of planning processes and strategies that affect the coast and various organisations with responsibilities. This complexity causes confusion in communities. One respondent to the Coastal Change Policy consultation felt that:

“Decision-making in relation to the coastal zone is complex. Communities find it difficult to engage in technical documents such as SMPs, EMPs, CHaMPs etc. and even when they do they find they have very little influence, due to the limited scope of the documents and their technical bias. The focus of spatial planning is on new development and finds it difficult to tackle adaptation of existing communities. Whilst people readily engage with the preparation of LDDs, their scope to manage coastal change impacts is extremely limited (due partly to the narrowness of the tests of soundness associated with them).”³⁰;

- The large number of organisations involved means that there is also a lack of leadership on coastal issues. In terms of who should be the lead in adaptation planning, there seems to be a consensus that local

³⁰ Peter Frew, Coastal Strategy Manager, North Norfolk District Council

authorities should fulfil this role. This raises a further issue, outside the remit of this project, as to whether local authorities have sufficient resources and skills;

- Resourcing CAPE may be particularly challenging for smaller rural local authorities or for those that may have a small stretch of coast;
- There seems to be widespread agreement that existing structures and groups should be used to implement CAPE (rather than creating new governance structures or groups); and
- Local Agenda 21 officers were used as an example for a model on how adaptation could be promoted by public bodies and local authorities in particular. Another useful suggestion is the establishment of a network of climate change champions to promote adaptation at the local level.

3.3 Implications for engagement of coastal communities

The findings of our research have the following implications for CAPE:

- **Comprehensive and long-term approach:** CAPE needs to invest in finding ways to ensure greater long-term engagement of citizens and communities. However, at the same time it should contribute to (rather than just add-on) joined-up involvement and engagement across government departments and local authorities to improve inclusive decision-making based on active community involvement;
- **Bottom-up approach:** CAPE should encourage 'bottom-up' citizen perspective and make it clear who will make the final decision to act on locally-driven adaptation initiatives;
- **Building on existing structures and mechanisms:** Many local authorities already have in place well established mechanisms for neighbourhood and service-specific engagement and CAPE should not require the setting up of new mechanisms that will duplicate these functions. Rather than designing new networks and approaches, CAPE should help authorities offer 'appropriate levels of involvement' by building on existing ones. Also, CAPE needs to be applied to the planning and local development framework to make 'statements of community involvement' (SCIs) more meaningful and effective;
- **Capacity and resources:** In order for CAPE to be effective, there is a need for 'easier means' for residents to take part in consultation, as well as training and empowerment of local communities to enable them to be involved. Having a community development worker engaging people in CAPE is a beginning, but specific resources and skills may be required to include marginalized, vulnerable groups and young people in the CAPE process;
- **Clear expectations:** CAPE needs to be clear about the purpose and limits of involvement and the role of elected members in taking difficult and sometimes unpopular decisions, recognising that within communities there will be differing interests; and

- **Clarity in the use of language:** There was consensus on the need for clear language with some respondents asking for clarity on what ‘community adaptation planning’ means in practice at the local level.

In the context of the above, the project has produced a definition of community engagement in the context of coastal adaptation (CAPE):

“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 places ”.

A review of the consultation process reveals that community engagement should largely operate according to the five core principles of community engagement (as outlined in the *PPS12*). These five principles would help ensure that engagement is:

- appropriate to the level of planning;
- from the outset – leading to a sense of ownership of local policy decisions;
- continuous – part of ongoing programme, not a one-off event, with clearly articulated opportunities for continuing involvement;
- transparent and accessible – using methods appropriate to the communities concerned; and
- planned – as an integral part of the process for making plans.

Effective community adaptation planning will require participation and input from a range of key stakeholders. Key ‘statutory’ consultees³¹, including challenge bodies, must be consulted at policy preparation. Secondly, as CAPE is being developed, consultation activities should include those most affected. It is largely up to the responsible body to identify these key stakeholders.

Furthermore, consultation objectives should relate to the intention of the plan and also need to correspond with the level of Government that is preparing the plan. Within the context of coastal management, central Government predominantly engages in consultation for the purposes of information giving. In contrast, consultation exercises carried out by local levels of government and for plans covering sub-regional areas are more likely to include acting together and supporting objectives. For example, the preparation of Sustainable Community Strategies utilise consultation in order to achieve stakeholder buy-in with organisations that will play a key role in the delivery of the strategies vision and objectives. SMPs include a ‘Key Stakeholder Group’ to provide a formal mechanism for stakeholder involvement in the duration of the plan’s development, allowing these stakeholders to act together.

³¹ Statutory consultees: The 2004 Planning and Compulsory Purchase Act requires local authorities to consult with ‘statutory consultees’ on their LDFs. The full list is included in the The Town and Country Planning (Local Development) (England) Regulations 2004 and includes the EA, Natural England, English Heritage, Regional Bodies, etc.

The current and emerging planning and policy framework for consultation as a whole represents a progressive movement towards the empowerment of communities and individuals to inform the decisions which affect them most. However, the overarching structure within which these voices are heard is driven by the objectives of Government. This framework provides the rules and processes for bringing the viewpoints of Government and communities closer together and through which the community led planning for coastal communities will be integrated.

The use of community development practices to build empowerment is still contentious and some see the empowerment White Paper as a lost opportunity. Effective community adaptation planning requires that various public consultation mechanisms are clearly described, internal mechanisms are established to process and integrate consultation representations within decision making and that this proceeds in a transparent manner. Community Development workers are particularly needed in terms of addressing inequalities and front line communication skills are essential to spreading the message and engaging effectively.

Table 1: Summary and key findings of the case studies

Case Study	Summary and key findings
Mablethorpe (East Lindsey)	<ul style="list-style-type: none"> • Small coastal resort in the East of England • The town is at high risk of tidal flooding, currently defended • Very low awareness of risk: as long as defences are maintained the community will feel safe • No awareness of 'coastal change', or the need to adapt; residents do not believe in climate change • Largely elderly population, high deprivation, high concentration of vulnerable dwellings, the town is in need of regeneration • The community are active and organised e.g. through a Neighbourhood Management Board • Very low levels of trust in authorities, particularly in the EA • SMP2 consultation and rumours have created worry that the town is not going to be defended for much longer.
Happisburgh	<ul style="list-style-type: none"> • Small village on the North Norfolk coast, tourist destination • The main issue is the lack of maintenance of sea defences • SMP2 identified this as an area for 'No active intervention', causing outcry • North Norfolk District Council is developing a Coastal Management Plan and have increased efforts to involve local communities in coastal planning • Local group (CCAG) campaigning and lobbying Government since 1999 for compensation for households affected by erosion • The group's high profile has strengthened community sense that they can influence events • Current top-down decision-making structure and the lack of integration of coastal management institutions and policies are seen as the main barriers for increased community involvement
Suffolk Coast	<ul style="list-style-type: none"> • 220 miles of coast and estuary, 40 miles of heritage coast, most of which is AONB

Case Study	Summary and key findings
	<ul style="list-style-type: none"> • Many small towns and long stretches of coast under threat • Strong estuary campaigns, partnerships and strategy groups • ICZM approach encouraging innovation and strong on facilitation • SMP process fired up activists with early presentation of potential solutions viewed as very threatening • The above led to both the evidence and science being heavily challenged • Stakeholder influence in SMP2 doubted by activists and any pressure to rush to adaptation rejected • Communities want more time to plan, without early 'abandonment' looming over them
Barrow	<ul style="list-style-type: none"> • 90% of people on coastal wards live on Walney Island; coastal management divided between Planning (local authority) and Capita Symonds (Consultancy) • Well organised community in general, but not focusing on coastal change • Very low levels of awareness about coastal change and adaptation • Flashpoint around a mobile home community, which may be lost to managed realignment • Elderly residents – perceived inability to engage, lack of confidence • Just one Ward Councillor acting as channel of information and engagement • Borough Council and County Council have many other things on their plate – representativeness of a small coastal minority? • EA and Defra seen as distant agencies, with no means of being sensitive to local concerns
Shaldon (Devon)	<ul style="list-style-type: none"> • Small, pretty fishing village • Fairly affluent with stable older population • High risk of tidal flooding, very low awareness • Used to pilot EA's Building Trust with Communities (BTwC) approach to engaging with communities • Key to separate the problem definition from looking at potential solutions • Showed benefits from the right level of engagement, at the right time and using facilitators

3.4 Research gaps and limitations of the study

Research projects are inevitably constrained by time and resources plus external factors. The key gaps and limitations of this study are listed below:

- Timescales: our project provided evidence and supported Defra's Coastal Change Policy. Therefore, most of our research, including case studies had to be done in the space of a few months;
- Changing brief: our study originally set out to explore existing practice of community adaptation planning on the coast. However, it emerged that communities are not ready to discuss adaptation as many of their members do not agree on the problem;
- SMP2 consultations: these were happening during our research and they were very present on our research participants' minds. Therefore our research findings are somewhat skewed by the SMP2 process;

- Small number of case studies: given time and resource constraints, our study does not aim to be representative of all coastal communities. The pathfinder programme and its evaluation should provide an opportunity for our findings to be tested with a larger number of communities;
- Availability of key stakeholders: not all relevant stakeholders have been involved due to lack of availability at the time the research was undertaken; and
- Stakeholder workshop: due to timetabling issues, our stakeholder workshop took place during the school holidays and on the date of a train strike. In addition, the workshop took place in London on a weekday. The consequence of this is that not many community representatives were able to attend this event.

Appendix 1 - What do we mean by adaptation planning?

The coast is a dynamic environment and people living and working in coastal areas have always had to adapt to change. The problem today is that the scale and speed of change is much greater than in the past and, according to the climate change projections (UKCP09),³² looks set to increase still further. This is happening after some half a century of public investment in engineering solutions designed to prevent or hold back coastal erosion, which created the expectation that it was possible to “hold the line”.

During public consultation on Defra’s “Making Space for Water” strategy, concerns were raised about the need for some kind of assistance for individuals and communities affected by coastal change, if the policy of working with natural processes to achieve more sustainable solutions were to be achieved. It was felt that this should not be seen as compensation for loss, but assistance to cope with impacts and adapt to the new situation.

Adaptation is the process of becoming adjusted to new conditions, in a way that makes an individual, community or system better suited to its environment. While the adjustment in natural or human systems usually happens in response to actual stimuli or their effects, with increasing knowledge and the capacity to predict future events and trends, human society has the opportunity to prepare for expected change by making adjustments in order to moderate harm or exploit beneficial opportunities. Adaptation planning is this process of preparation for future change. Adaptation is the ability to look forward to a future for the community despite coastal change. It is about giving people a degree of certainty, in some shape or form³³.

The definition of successful adaptation will therefore depend on perspective: a community facing obliteration or the loss of defining elements of its identity (e.g. landmarks or activities), is unlikely to see this as successful adaptation, even if their loss may facilitate the survival of a larger part of the coast. This explains the angry reaction of villagers in Norfolk when an option that would involve their disappearance, as part of Natural England’s Coastal Habitats Management Plan, was leaked in 2008.

Elements of adaptation

In general terms, adaptation involves change of four major types: physical, financial, social and institutional.

- Physical change relates to both the natural environment and the built environment (including homes, offices, schools and hospitals as well as

³² UK Climate Change Impacts, available at: <http://ukcp09.defra.gov.uk/> (accessed: 16 November 2009).

³³ Peter Frew, North Norfolk District Council Coastal Strategy Manager. Interview, 23 March 2009.

- the infrastructure on which they depend, such as drainage, water and energy supply, transport networks and communications);
- Financial environment (including businesses and services);
 - Institutional environment (policies, strategies, plans and the systems for developing and implementing them, such as decision-making processes, regulatory structures, partnerships, etc); and
 - Social environment: community networks and organisations, engagement processes, etc, as well as the social acceptance that change is happening and that some sort of response is needed.

Resistance, resilience and relocation

Planning for adaptation is complicated by the fact that adaptation is not a definable endpoint. At least three different coastal policy objectives impact significantly on adaptation:

- Resistance (slowing or stopping the harmful impacts of change);
- Resilience (making individuals and communities better able to cope with impacts); and
- Relocation (moving assets and activities to locations where they will not face the same degree of impact).

Prioritizing each of these objectives will involve a different set of adaptation measures. While the three objectives above could be seen as a hierarchy (resistance being the first or preferred objective while relocation would be the last option), in some situations it may be appropriate to pursue several objectives concurrently. A community threatened by rapid coastal erosion may feel that it is worth investing in measures to slow the rate of erosion while plans are developed to increase resilience and possibly relocate particularly vulnerable assets and activities. In addition, for some areas, such as London, resistance (e.g. the Thames Barrier) will remain the main option to adapt to an increase in coastal risk.

The term 'resilience' is sometimes used interchangeably with adaptation. Although the term can be used in different contexts with varying meanings, the most basic definition refers to '*the ability of a system to absorb disturbance and still retain its basic function and structure*' (Walker and Salt 2006). So the more resilient a system is, the more quickly it can recover and with less change³⁴.

In the case of flooding and coastal erosion, the resilience of communities and social systems could be characterised as their ability to maintain their functions and identity in the face of potentially disturbing situations. However, this may involve re-configuring physical, economic, social or institutional structures to ensure long-term survival, rather than maintaining the social system unchanged.

³⁴ Watson, N. et al; Response and resilience in post-flood communities: Lessons from Carlisle. In Fernández-Bilbao, A and Twigger-Ross, C (eds) (2008) Improving response, recovery and resilience. Improving Institutional and Social Responses to Flooding Science Report (SC060019) - Work Package 2. EA/Defra Science Report. p 59.

In practical terms, this would imply that a resilient person, household, organisation or community would have the ability to change their practices and structures. As a result, the person or entity is not only able to function in the new (post-flood) environment and but also has the capacity to anticipate and prepare for the possibility of similar shocks and surprises in the future³⁵.

Unsurprisingly, vulnerability in the system reduces its resilience, just as a weakness in a physical flood defence structure will make it less able to cope with storms. There is evidence from research into flooding and the impact of extreme weather events that people who are vulnerable in social or economic terms are more severely affected and take longer to recover. Comparison of the impact of coastal events in different parts of the world demonstrates that the social resilience provided by strong institutions with response capacity results in damage being limited³⁶.

Timescales for adaptation

One of the key characteristics affecting the management of coastal change is the timescales for change. Whereas most spatial planning looks at planning horizons of ten or at most twenty years, planning for coastal change has to be mindful of much longer term processes. SMP2s look at three time horizons: 20, 50 and 100 years. Although considering long time scales increases the element of uncertainty in predictions of future change, it also makes it possible to plan for a staged process of adaptation, rather than requiring communities to accept radical change processes before they have had a chance to fully understand and prepare for the implications.

“We’re buying people that time, doing coastal defences ... if you haven’t got adaptation in process, you should give people this [time] to come to terms with adaptation and give the powers that be the time to put processes in place, including legal processes, funding mechanisms, physical infrastructure like car parks and ramps.”³⁷

³⁵ Watson et al, op cit p 60.

³⁶ Neil Adger, Terry P. Hughes, Carl Folke, Stephen R. Carpenter, Johan Rockström, “Social-Ecological Resilience to Coastal Disasters”. Science 12 August 2005: Vol. 309. no. 5737, pp. 1036 – 1039.

³⁷ Peter Frew, *ibid*.

Appendix 2 - Community adaptation planning: a contested concept?

Our case studies of the management of change in coastal communities suggest that the term 'adaptation' is not one that is used by communities. Indeed, for some communities, 'adaptation' has become associated with a particular option or options for coastal management promoted by national Government. From this perspective, adaptation is seen as the expression of the concept of working with natural processes set out in Making Space for Water. Where second round Shoreline Management Plans (SMP2) are based on No Active Intervention along previously defended stretches of the coastline, the communities affected see the idea of adaptation as an imposition from above. They see No Active Intervention and even Managed Re-alignment as 'abandonment' or 'managed abandonment'. In this frame of mind adaptation becomes adapting to abandonment and some activists and landowners, for example in Suffolk, are now arguing that taking responsibility for sea defences is community adaptation and getting back to how communities used to work with the coast in past generations.

Some of our interviewees also feel that the concept of community adaptation planning is not a useful one. They point out that planning policy now recognises that communities are essential to the planning process, so considering adaptation within the planning process will necessarily involve the community perspective.

It is also worth considering the relationship between national policy and local governance and in particular the extent to which approaches to adaptation can be applied on a wide scale and whether good practice in a particular context can be transferred to other situations.

For example, how does a national strategy like Making Space for Water become translated into local practice? Is such a strategy appropriate to the needs of particular communities or might it inadvertently limit resilience by imposing standardised procedures or structures which do not 'fit' the local context? Should 'successful policy implementation' be taken to mean the accurate translation of national statements of intent into local practices (a programmed approach), or should 'success' be measured in terms of the extent to which local actors are able to interpret or custom-fit the policy in order to effectively manage the actual flood risk (an adaptive approach)?³⁸.

If effective adaptation cannot be implemented as 'one-size fits all' national policy, building institutional and social capacity for learning becomes as important as the introduction of specific measures. From this perspective, *'resilience reflects the degree to which a complex adaptive system is capable of self-organization (versus lack of organization or organization forced by external*

³⁸ Watson et al, op cit p 61.

factors) and the degree to which the system can build capacity for learning and adaptation³⁹.

Research into householder responses to flood risks suggests that the capacity to discuss the nature of risks and their mitigation may be an important basis for individual adaptive action: people are more likely to implement mitigation measures if they have the knowledge, skills and experience to confidently talk about the technical aspects of such measures. This involves more than the development of individual knowledge and capacities; it also requires a wider recognition and acceptance that these are important issues, or a social validation of adaptive action.

Learning from regeneration

There is a great deal of relevant learning and experience from neighbourhood renewal and urban regeneration to inform this work. For example in estate renewal:

- Residents sometimes have to move, they can lose their much loved homes through demolition programmes;
- Council tenants and leaseholders have to consider far-reaching changes to their lives involving planning and other services which often they have not initiated;
- Residents have to engage with wider planning and policy issues in order to understand constraints and opportunities;
- Tenants and residents have to weather long periods of uncertainty with proposals, funding resources, politicians and consultants regularly changing; and
- Even when key decisions are made, change can still take a long time to happen or not happen at all in some cases where resources are limited.

Resident groups are encouraged, through information, engagement and capacity building processes to 'raise their game' and look at the kind of community they want to live in and enjoy in the future. Professionals are encouraged to understand and develop programmes for residents and their families' whole lives (i.e. sustainable communities) and not to just fix the built environment. In many schemes community building and partnership building develops in tandem with residents working closely with officer led regeneration steering groups and enjoying seats on the boards of regeneration companies and housing association estate boards and Arms Length Management Organisations.

Similarly in neighbourhood renewal or management 'Action Planning' processes have brought together people to discuss complex, inter-related service areas with an emphasis on problem identification/solution, exploiting opportunities and agreeing priorities for spend. More recently 22 'Participative Budgeting' experiments have short-cut longer prioritisation discussions to arrive at decisions in a highly democratic, learning oriented process. In cities, many

³⁹ Adger et al, op cit.

authorities are now developing civic assemblies down to the ward/neighbourhood level with limited budgeting powers as a way of resolving difference and getting more buy-in to civic decision-making.

The experience of the more creative, process driven programmes is that the unexpected can happen, thinking out of the box can be challenging, but those who engage in this (e.g. Hackney's 20:20 vision) have found it a consensus building process and able to identify different kind of solutions. However, it also shows that traditional leaders can feel threatened, NIMBYs⁴⁰ rarely go away and that change management and high quality communications accompanying options and decisions is absolutely crucial.

Finally, the real breakthrough in consultative mechanism over last ten years has been the acceptance from built environment professionals that local people have expertise in their own right – not only in their own needs and aspirations, but also in the history, culture, needs and direction of their neighbourhoods. Residents bring institutional memory (activists often outlive programme officers), a unique perspective and a resource (e.g. time) to the table. Evaluations by SQW Consulting, on the New Deal for Communities (NDC) and Neighbourhood Management programmes, show a generally positive outcome from resident involvement at board level and a clear ability to take responsible decisions with significant budgets.⁴¹

The regeneration learning for community adaptation planning is that:

- All the evidence in empowerment and community development work suggests that you have to start where individual energy lies. People are where they are. This needs to inform adaptation interventions whether they are at the beginning or half way through existing processes;
- There are a number of key triggers that get people around the table. These can be threat (e.g. a sudden coastal slip) or opportunistic (e.g. funds becoming available or a working group being set up). The tendency in the latter is for these to be too highly orchestrated and the former to lead to divergent opinions and players forming strongly held views about each other;
- Different stages of adaptation planning will probably require different leadership and facilitation styles;
- Different structures and approaches to engagement attract very different stakeholders;
- Information and power. Over the last 10 years in urban regeneration, tenants and residents have become more and more involved in the appointment of consultants, landlords and key staff. In estate transfer, for example, residents are entitled to an independent tenant advisor paid by, but not controlled by a local authority;
- Structures and decisions made have to have both legitimacy and power; and

⁴⁰ Not In My Back Yard.

⁴¹ Neighbourhood Management Pathfinders: Final Evaluation Report; People, Places, Public Services: Making the Connections, CLG, 2008.

- Coastal communities' knowledge of their areas can be valuable to decision makers.

Appendix 3 - The role of communities in adapting to coastal change

Definition of communities

In looking at adaptation in coastal communities, the identification of the community with a particular location is a defining characteristic. Coastal communities are differentiated from inland populations by their natural environment and in many cases the sense of coastal identity is reinforced by tourism. It is precisely this territorial identity that is threatened by coastal change including sea level rises.

However, territorial identity is only one dimension of community; the other is the relational dimension, which refers to the nature and quality of relationships. Relationships within communities can be seen as comprising four elements:

- membership, which provides emotional safety, a sense of belonging and identification and is maintained by personal investment and the existence of a common symbol system;
- influence: both the individual's ability to have agency within community affairs and the influence or social control exerted by the community over its members;
- integration and fulfilment of needs; and
- shared emotional commitments⁴².

Members of strong communities share a *“perception of similarity to others, an acknowledged interdependence with others, a willingness to maintain this interdependence by giving to or doing for others what one expects from them and the feeling that one is part of a larger dependable and stable structure”*⁴³

A strong sense of community identity and attachment to place can heighten the experience of loss in the face of threats such as natural disasters, man-made impacts from pollution or economic change. On the other hand, it can also be a source of strength and vitality.

Differential impacts of erosion and flood risk on coastal communities

The particular characteristics of coastal settlements and towns and the problems of economic and social decline often found in them have been explored by the House of Commons Communities and Local Government Committee. The Committee's Second Report of Session on Coastal Towns⁴⁴ points out that coastal towns account for a disproportionately high percentage of

⁴² McMillan, D.W., & Chavis, D.M. (1986). Sense of community: A definition and theory. *Journal of Community Psychology*, 14(1), 6-23.

⁴³ Sarason, S.B. (1974). *The psychological sense of community: Prospects for a community psychology*. San Francisco Psychological, p 157.

⁴⁴ House of Commons Communities and Local Government Committee. *Coastal Towns. Second Report of Session (2006 – 07)*.

England's deprived areas, with common features such as physical and social isolation, high proportions of older people combined with high levels of outward migration by young people, low-wage low-skill economies with seasonality of employment and a high incidence of poor housing conditions and high proportion of private rented accommodation.

However, the Committee also notes that there is a wide diversity among coastal towns, with some coastal towns thriving while others stagnate. Similarly, smaller settlements and villages along the coast display a wide variety of socio-economic conditions, with some locations having high levels of social well-being, in terms of income, education levels and social inclusion⁴⁵.

There is a risk that the threat of erosion and flooding could lead to a spiral of decline in coastal communities. The reduction in economic activities or migration of the population may have knock-on effects on other businesses and services, in the public as well as the private sector and the area is likely to cease to attract new residents or even visitors. This is a particular concern for coastal communities which may already suffer from deprivation and lack of connectivity (see Section 1.3). A review of the possibilities for adaptation identified the following characteristics of blighting:

- Drop in value of unprotected properties;
- Negative equity ties owners to current properties as they are uncompetitive in the wider market;
- Potential financial liability of landlords with current leases when properties are lost;
- Business failure as a result of reduced demand for goods and services
- Loss of jobs;
- Lack of maintenance of the built and natural environment; and
- Threat to public services (schools, health services, transport links)⁴⁶.

Adapting to coastal change by preventing or managing both the physical impacts and the associated socio-economic impacts entails costs. How costs are shared out and how social resources are allocated to those affected raise issues of both effectiveness and equity. A recent examination⁴⁷ of the 'fairness' current flood risk management system using three social justice models concluded that that current flood risk management decision-making is based on benefit and not on equality or fairness. This means that decision-makers are unable to target those most vulnerable or areas where large capital investments are not justified.

The sense of injustice felt by coastal settlements and individual residents who face loss of property without any prospect of assistance from the state is

⁴⁵ Oxford Consultants for Social Inclusion (2006). Deprivation in Rural Norfolk: Happisburgh Profile.

⁴⁶ Taussik, J et al (2006) Adapting to changing coastlines and rivers. Preliminary report. Defra, London. p 18.

⁴⁷ Johnson, C, Penning-Rowsell, E and Parker, D. (2007) Natural and imposed injustices: the challenges in implementing 'fair' flood risk management policy in England. The Geographical Journal, 173 (4)

compounded by the fact that provisions do exist for the protection of wildlife and habitats: *“...it is now clear that while there is considerable protection for the environment (e.g. Water Framework Directive) there appears to be nothing comparable for communities. This lacuna in policy fairness is of grave concern to those whose properties and livelihoods are directly affected by flood and coastal erosion.”*⁴⁸

⁴⁸ O’Riordan T, Watkinson A, Milligan J. (July 2006) “Living with a changing coastline: exploring new forms of governance for sustainable coastal futures” p49.

Appendix 4 - Current approaches to engaging communities

Communities and Local Government

The Government is committed to giving local people a real say in local decision making. One of the ways that this is happening is through Community Strategies, which are seen as a way of allowing people to express their aspirations, needs and priorities. The Guidance on preparing Community Strategies made it clear that the process of involving the community was fundamental to the strategy:

“The process by which community strategies are produced is as important as the strategy itself. The preparation process will be the means by which local people and organisations can be drawn into democratic decision-making. It will be vital to ensure wide local ownership of the community planning process, which should therefore be predominantly ‘bottom up’ rather than ‘top down’.”⁴⁹

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.*’

Environment Agency Building Trust with Communities / Working with Others

The Environment Agency recognises that it needs to work with communities, which are generally understood as being geographically-based: home-owners and businesses within a particular area. The Building Trust with Communities approach launched in 2002 encouraged staff to engage more effectively with local people and organisations by moving away from one-way communication (based on an “information deficit” model, which suggests that if only people knew what you do, they would think the same way too) to two-way dialogue that recognises that local people’s views are important and that they have a role in decision making. The Environment Agency has recently appointed coastal engagement officers in particular to improve engagement around new coastal erosion maps and SMPs.

Despite the commitment to better working with communities, some of the Environment Agency’s engagement practice still comes across as one-way information giving, or the traditional Decide-Announce-Defend approach. A recent review⁵⁰ made clear that this is increasingly ineffective in achieving solutions to difficult problems in flood and coastal erosion risk management.

⁴⁹ DETR (2000) Preparing Community Strategies: Government Guidance to Local Authorities London: Department of the Environment, Transport & the Regions.

⁵⁰ Colbourne, Lindsey (2008) Mainstreaming collaboration with communities and stakeholders for FCERM. Environment Agency Science Report: SC060019/SR.

Instead, a broader range of approaches is required, especially those which enable others to Engage-Deliberate-Decide (EDD). The review pointed out that many examples of the EDD type of collaboration do exist and the Building Trust programme is helping to promote and develop these approaches, but they have still not become common practice.

Flood and coastal erosion risk management work will involve some type of engagement and increasingly it is going to be required in order to deliver key services. Working with others is sometimes the only way of getting things done – not just at the local level, but also nationally. Choices to be made are about the extent and type of engagement with others, not whether to or not. The review identified three types of situations requiring different degrees of engagement and requiring different levels of resource:

- **Type A situations** are characterised either by low controversy and/or the existence of few alternative options due to constraints of time, procedure and resources, or by the existence of a crisis (and the need to act immediately);
- **Type B situations** are characterised by the existence of a greater number of options, increased uncertainty around the ‘right’ decision and/or the need to make tradeoffs and compromises; and
- **Type C situations** are characterised by the need to make a decision that will affect many stakeholders (individuals, communities and/or organisations) in a situation where there is a great deal of complexity or uncertainty, a wide range of (often entrenched) perspectives relating to the ‘right’ decision and a strong likelihood of conflict and resistance.

While it is likely that many coastal change processes could be equated to Type C situations, more work needs to be done to develop a typology of community-centred coastal adaptation.

Engagement process: principles, elements and guidance

Good practice engagement is based on commonly recognised principles. A clear set of principles is provided in a National Consumer Council/Involve publication⁵¹ shown in Box 3:

⁵¹ NCC / Involve (2008) Deliberative public engagement: Nine Principles. National Consumer Council.

Box 2: Nine principles of effective deliberative public engagement

1. The process makes a difference
2. The process is transparent
3. The process has integrity
4. The process is tailored to circumstances
5. The process involves the right number and types of people
6. The process treats participants with respect

While these principles may seem to be common sense, there are many examples of cases in which they are not observed.

Appendix 5 - Current and emerging planning and policy framework

The Current Strategic Framework

Flood and Coastal Management in the UK falls under the responsibility of many agencies and organisations, including the Department for Environment, Food and Rural Affairs (Defra), the Environment Agency (EA), the coastal district councils, Local and Regional Flood Defence Committees, Internal Drainage Boards and individual land owners. The EA is the executive agency and has particular responsibilities for sea defences that protect low-lying land under the Land Drainage Act 1991 and the Water Resources Act 1991. Local Authorities (District and Unitary) have responsibility for managing coastal erosion. However, since 2008 the EA has a strategic overview role of the coast.

Flood and Coastal Management operates through membership of Regional and Local Flood Defence Committees. These committees are controlled by county and district councils and can carry out adaptation measures for defence, maintenance and longer term protection, subject to approval from Defra and various statutory and non-statutory consultative procedures. Internal Drainage Boards have the ability to raise revenue to support and fund flood defence efforts (in flood prone areas of England), again subject to approval from Defra and various consultative procedures. For coastal defence, the primary responsibility rests with district councils. Defra provides strategic and policy guidance and offers support and advice to operating authorities through a national research and development programme and funding for coastal defence schemes, subject to each scheme meeting technical, environmental and economic criteria.

In England and Wales, the strategic planning of flood and coastal defence relies on Shoreline Management Plans (SMPs) for coasts and estuaries and these are prepared by local planning authorities following guidance from Defra. Defra's overall policy is that flood and coastal defence schemes should be technically, environmentally and economically sound and sustainable. Schemes should be cost-effective, based on a fundamental understanding of natural processes and start from the presumption that coastal processes should not be disrupted except where human life or important man-made or natural assets are at risk. This strategy stresses that flood and coastal defence in England and Wales is largely permissive and that, with few exceptions, decisions on protection are made in the light of the potential damage to assets measured in national economic terms.

Role of Community Involvement in Strategic Planning

Introduction

Two key strategic planning processes affect decision-making on the coast:

- Shoreline Management Plans; and
- Spatial Planning and in particular Local Development Frameworks.

Both processes currently emphasise the need for community involvement.

Shoreline Management Plans

In line with their strategic vision, SMPs have been based on coastal units defined in terms of sedimentary and coastal processes, rather than administrative boundaries. This makes it necessary for different operating authorities to work jointly and has important implications for public consultation and engagement in the strategic decision-making process. For example, whenever a scheme or programme is proposed, there is a process of engagement with statutory consultees (e.g. the government offices, local planning authorities, land owners, voluntary associations and coastal action groups). SMPs require a detailed design for stakeholder involvement as part of their guidelines or mandates.

Defra's current SMP guidance makes clear in section A.2 'The vision of stakeholder engagement', that, *'the vision should indicate that inclusive approaches have been adopted for the preparation of the SMP and state whether a more participative or consultative approach is being adopted. It should provide an overview of how stakeholder engagement is to be undertaken, paying particular attention to the role of local planning authorities, English Nature and Coastal Groups. It should identify and explain any organisations being established to facilitate SMP preparation (e.g. Elected Members Forum and Key Stakeholders Forum).'*

The guidance (Annex A1): lists a wide range of stakeholder engagement groups which it divides into four categories:

- Client Steering Group;
- Elected Members;
- Key Stakeholders; and
- Other Stakeholders.

Which group an individual stakeholder organisation ends up in will determine the stages they are included in the process, the level of influence (e.g. consultation or engagement) and the level of information and explanation they receive. There is no suggestion that levels of involvement have to be agreed with different interests at the beginning of the process. The costs can be met from within an application for funds, although post SMP costs (e.g. PR and monitoring) are not covered by the coastal process study.

Spatial Planning

Community involvement in strategic planning is required under the Local Government Act and related legislation. It is evident that engaging with a broader range of stakeholders has presented new challenges to local authorities.

The empowerment White Paper 'Communities in Control, real people, real power' launched by Communities and Local Government in 2008 seeks to recognise these challenges and puts forward a vision of community participation that aims to: *".....pass power into the hands of local communities so as to generate vibrant local democracy in every part of the country and give real control over local decisions and services to a wider pool of active citizens."* The White Paper sets out opportunities for community engagement and discusses plans for empowering people to influence the planning system, empowering tenants and specific empowerment plans and activities for both older and younger people. The voluntary and community sector is recognised repeatedly throughout the White Paper as a valued partner and stakeholder.

More recently, the new 'duty to involve', which came into force on 1 April 2009 and is set out in Part 7 section 138 of the Local Government and Public Involvement in Health (LGPIH) Act 2007, requires authorities to take those steps they consider appropriate to involve representatives of local persons in the exercise of any of their functions, where they consider that it is appropriate to do so. The Bill will give local authorities and other best value authorities a new duty to 'inform, consult and involve' local people. It presents a real opportunity for government to help join up involvement and engagement across government departments and for authorities to make better decisions based on active community involvement.

The policy and planning framework for coastal community led adaptation is provided by Government and implemented through regional and local tiers. A review of the overall objectives confirms that consultation is now a key component within each level of the government's decision making hierarchy. For example, the *Local Democracy, Economic Development and Construction Bill 2008* provides communities and local people new rights in the planning and delivery of their local services, while *PPS12* describes in greater detail how government policies should be prepared at the local level and the role of consultation within this process.

Local Strategic Partnerships (LSPs), Sustainable Community Strategies (SCSs) and Local Development Framework

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 led by the local council and should facilitate that different organisations work together to deliver services more effectively. LSPs are intended to provide a link between strategic issues and the local community.

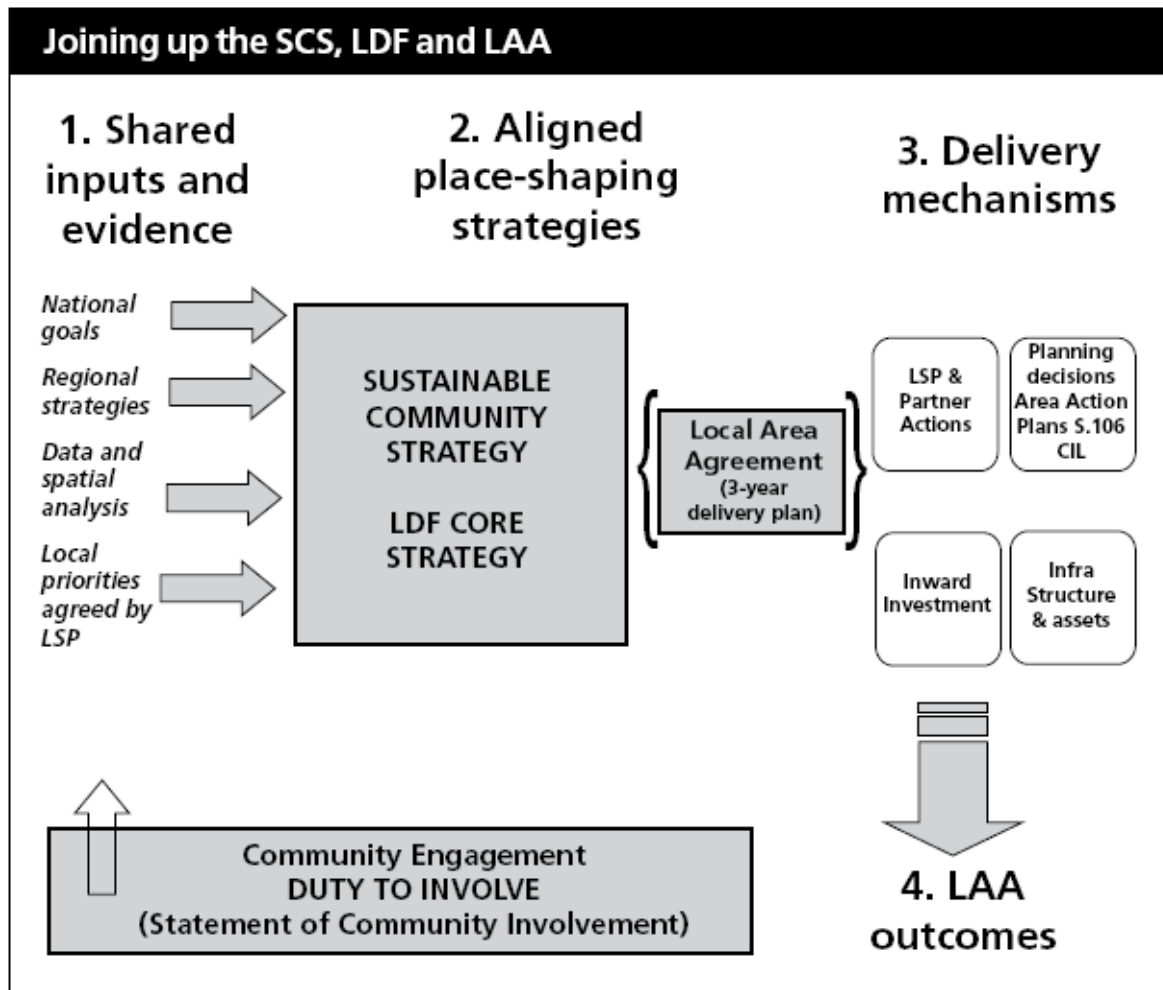
The LSPs are responsible for creating a long-term vision for the area to tackle local needs. This long-term vision is set out in the Sustainable Community Strategy (SCS) for an area. The Local Area Agreement (LAA) is the funding mechanism for delivering the vision set out in the SCS.

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 area⁵². **Figure 1** below shows the ideal links and relationships between SCSs, LAAs and LDFs.

Therefore, Local Strategic Partnerships could be an ideal forum to discuss coastal issues with communities, physical/environmental and planning and regeneration organisations. However, there are only five Local Authorities in the whole country which have prioritised coastal erosion in their Local Area Agreements (as indicated by having the relevant national indicator N189). It should be noted that local authorities, including coastal authorities, can agree and performance manage their own local indicators/targets - not all of which will be drawn from the national indicator set.

⁵² This is set out in the Statutory Guidance Creating Strong, Safe and Prosperous Communities and in PPS12, see CLG (2009) Planning together. Updated practical guide for local strategic partnerships and planners (Available: <http://www.communities.gov.uk/documents/localgovernment/pdf/1193492.pdf>, accessed: 17 November 2009).

Figure 1: Relationship between Sustainable Community Strategies, Local Development Frameworks and Local Area Agreements⁵³



⁵³ Source: CLG (2009) Planning together. Updated practical guide for local strategic partnerships and planners (Available: <http://www.communities.gov.uk/documents/localgovernment/pdf/1193492.pdf>, accessed: 17 November 2009).

Appendix 6 - Case studies

Five case studies were undertaken in March 2009. These case studies represent a point in time, therefore some of the findings or planning processes that the case studies make reference to may have moved on since they were undertaken. Case studies were undertaken in:

- Mablethorpe (Lincolnshire);
- Barrow (Cumbria);
- Suffolk Coast;
- Happisburgh (North Norfolk); and
- Shaldon (Devon).

Data for the case studies was collected through a range of methods as detailed in table 2 below.

Table 2: Case Study Sources of Information

Location	Sources of Information
Mablethorpe (East Lindsey)	<ul style="list-style-type: none"> • Desk review; • Two day visit to Mablethorpe; • Interviews, site visits and meetings with: <ul style="list-style-type: none"> • East Lindsey District Council (ELDC) – Regeneration, • Coastal Action Zone (CAZ) – Regeneration Organisation that covers the East Lindsey Coast • ELDC Planners • HECAG SMP2 consultation event and had a brief chat with EA representatives • Mablethorpe Town Councillors and Neighbourhood Management representatives
Happisburgh	<ul style="list-style-type: none"> • Desk review • Telephone interviews with: <ul style="list-style-type: none"> • Coastal Strategy Manager, North Norfolk District Council • National Co-ordinator, Coastal Concern Action Group
Suffolk Coast	<ul style="list-style-type: none"> • Desk review; • Two day visit to Suffolk • Interviews, site visits and meetings with:

Location	Sources of Information
	<ul style="list-style-type: none"> • Suffolk Coastal District Council ICZM Officer • Suffolk County Council, Flood and Coastal Policy Officer • Councillor, Waverley District Council • Blyth Estuary Group representatives • Suffolk Estuaries Officer, Suffolk County Council • Alde and Ore Estuaries Association, Chair • Suffolk Coast Against Retreat (SCAR), Chair • Environment Agency, Coastal Advisor
Barrow	<ul style="list-style-type: none"> • Desk review; • One day visit to Barrow; • Interviews with: <ul style="list-style-type: none"> • Barrow Borough Council (BBC) – Regeneration, • BBC Coastal Manager (Capita Symonds) • Harbour master, Port of Barrow • Councillor of North Walney • Representatives of West Shore Park Residents Association • Telephone Interviews with: <ul style="list-style-type: none"> • EA area flood risk manager • West Lakes Renaissance regeneration agency • Morecambe Bay Partnership • Representatives of Friends of Walney
Shaldon (Devon)	<ul style="list-style-type: none"> • Interview with Project Manager of the Shaldon Flood Risk project and Head Office Communities Relations Manager, Environment Agency; • Review of Shaldon Project undertaken by Lindsey Colbourne.

The full write up of the five case studies has been included below.

Mablethorpe case study

Background

Mablethorpe is a small coastal town of 12,000 inhabitants located in the Lincolnshire Coast. Mablethorpe is the second biggest town in East Lindsey District (ELD), after Skegness. ELD is characterised by being largely rural and sparsely populated in-land and by its two larger coastal towns (Mablethorpe and Skegness). Mablethorpe is located in the EA Zone 3 coastal floodplain (highest risk) and in a rapid inundation area due to the low-lying land. The area is also at risk from some inland flooding. The rapid inundation area extends for several miles inland to the Lincolnshire Wolds.

The biggest flood event suffered in Mablethorpe was the 1953 North Sea event which caused several deaths in the area and flooding 8 miles inland. This flood event is still remembered by the Mablethorpe residents. This risk of coastal flooding is managed by the EA and Mablethorpe is currently defended from coastal flooding to standard of protection of 0.5% or 1 in a 200 years. The town is defended through a combination of dune systems and concrete walls. There has been overtopping of the defences in recent years but without great consequences.

The town is considered a declining seaside resort and its economy is characterised by its seasonality with 1 in 4 shops closing during the winter. However, some of the businesses in the area are said to be thriving. Mablethorpe is also highly deprived and has a predominantly elderly population, 57% of residents are over 55. The town has also a disproportionately high concentration of incapacity benefit claimants. ELD and Mablethorpe have large concentrations of caravan parks and bungalows.

The town is need of regeneration and infrastructure improvement. Small scale projects have gone ahead but the town needs more substantial funding in order to improve the seafront and traffic issues, particularly during the summer months. The District and Town Councils as well as residents also feel that the town needs investment in services and infrastructure, particularly during the summer months, when population trebles.

The current and emerging policy in the area provides highly relevant context. Currently, there is a moratorium on development for the whole of ELD. This means that only that development that has already been granted planning permission can go ahead. This is set by regional policy, the current Regional Spatial Strategy (RSS) and in response to the current risk of tidal flooding on this coast. The RSS identifies the need to undertake a coastal strategy in order to provide direction for future development. The Lincolnshire Coastal Strategy is currently being undertaken and will be ready in 2010. The Strategy will feed into the partial review of the RSS (scheduled for 2011) which will give clarity on which areas are to be developed.

The Coastal Strategy will look at the options to implement the overarching policy set by the second Shoreline Management Plan for the area, the HECAG

SMP2. The draft SMP2 (which will be finalised by 2010) identifies two policy options for the stretch of coast that includes Mablethorpe:

- Hold the line until 2105; and
- Hold the line until 2025 and managed realignment after.

The current situation means that no new development is to be carried out or allocated in ELDC and not just in the coastal areas. This means that the Council is currently in a 'limbo' and only allowing any development that already has planning permission. The Council has challenged the decision and they have been asked by regional authorities to progress a Local Development Framework (LDF) that is 'development-free'. This moratorium on development in ELDC is having other knock on effects for Mablethorpe and other coastal areas: businesses are not investing in the area because of the current uncertainty. There is also a worry in the Council that if no development goes ahead this will stall any regeneration initiatives.

In terms of community awareness, the opinion of the planning and regeneration representatives is that there are currently low levels of awareness in the population about the need to adapt to coastal change and the increase in flood risk. The community's view is that their awareness is high. The meeting with community representatives however showed that they are aware that some key policy decisions are currently being made about Mablethorpe and other coastal areas. The community has heard several rumours about Mablethorpe no longer being defended and having to move their town. In terms of whether they are aware of the immediate risks, that is, current risk of coastal flooding and overtopping of defences, the general feeling is that flooding is something that will not happen if the sea defences area is maintained. The meeting with the community showed lack of belief that climate change is really happening and the perception seemed to be more that the issue is lack of funding and lack of Government and particularly EA interest in their town. There is a low level of awareness of the need to 'adapt' to a changing coastline.

On the other hand, the business community and developers are very aware of the coastal issues. This is mainly because of the difficulties in obtaining planning permission due to the risks and the policy uncertainty. They have been the first to realise that the way they develop has to change.

The local authority representatives also had difficulties in defining what adaptation means. Currently it is very much dependent on the funding available and also on national and regional policy decisions (e.g. SMP policies and partial review of the RSS). Until the overarching policy is set, planning for adaptation is not considered to be entirely meaningful.

Key players

The following key players have been identified in Mablethorpe:

- The District Council as the planning and regeneration authority and also for their role in setting up and managing the Neighbourhood

Management Board in Mablethorpe which was set up two years ago and is considered a highly successful initiative;

- The Coastal Action Zone (CAZ) for the East Lindsey Coast is a regeneration partnership which has been very active in involving the community in regeneration and public realm-related activities;
- The Neighbourhood Management Board which is formed of various Mablethorpe residents and includes various sub-groups looking at particular issues; and
- The Mablethorpe Chamber of Trade (MASCOP) is also very active.

National organisations in the area have an important role. However, the levels of trust in these organisations (and even in the local authority) are very low. In particular, the Environment Agency (EA) has very low levels of trust among the local community. One of the reasons cited for this is the lack of presence of national government and the EA in the area.

With regards to who should lead on future adaptation planning, the following players were mentioned:

- LSPs were mentioned as having potential for leading in the future but it was felt that they are at a very early stage and still developing their networks. They are not quite in place and not being counted. LAAs linked to LSPs were mentioned as a possible source of funding for adaptation;
- Parish councils and community groups were highlighted as having a key role in lobbying for adaptation or maintaining coastal defences. Parish councils are also involved in emergency planning and there is also tangible involvement of communities, for instance through parish wardens for identifying residents most vulnerable to flooding. (note: Mablethorpe is an 'unparished' town);
- Communities and regeneration representatives had the opinion that communities, through neighbourhood management or another tool, should be leading on adaptation; and
- Elected members were also mentioned as potentially having a role, but they should also receive adequate training both in interpreting strategies and in engaging with communities. It was highlighted that members can be both conduits and blockages.

Current practice and results

The SMP2 public exhibitions were happening at the same time the field work for this case study was undertaken. The local authority view is that even if the result is not what they want in terms of maintaining or providing defences, there is still value in the SMP process. It was felt the language used in the SMPs and also LDFs is not plain enough. It is vital that communities engage in these strategic processes but currently they have no relevance to them. An example is from the SMP consultation held at Mablethorpe around the same time as the research for this case study was being undertaken. The EA staff present at the exhibition considered it a success as they had had over 100 people each day, higher than other authorities and thanks to the efforts of the council to promote the event. However, for the community the event was 'horrifying' as for many it

was the first time that they had heard about the policies that are being considered for Mablethorpe. They felt that the decision had already been made not to defend their community and define themselves as in fear.

With regards to current engagement practice, the community feels that they are 'consulted to death' but nothing ever comes out of it. They also feel that they are consulted on things that are already decided and that need to be 'rubber-stamped'. The local authority agrees that there are too many consultations (SMPs, LDFs, etc) so they try to combine these various consultations and try to raise the key issues in other events. By combining consultation events, there is a risk of overloading people with information, but this needs to be weighted against the risk of consultation fatigue.

The view of the council and regeneration representatives is that it is very difficult to involve residents over a certain age in discussions about climate change and things that will happen in 20 years as they say they will not be around then and therefore 'don't care'. They have to work particularly hard to involve this group of people and make them realise that they have to think about the implications for their children and grandchildren. From past experience, it is clear that residents and business are still not familiar with the SMP or the LDF processes.

The community have been involved in flood planning and emergency response events but they do not feel that there is a big threat of flooding. In their view, as long as the defences are maintained the risk is low.

Key issues and barriers to increasing community involvement in adaptation planning

Communication and (mis)information are key barriers. The community is hearing a lot of conflicting information about the potential impacts of climate change and what it will mean to them. They do not believe climate change is happening and are not aware of the implications. The planning and regeneration teams from the council feel that they have to manage the information that they give the community in order to avoid blight. However, they also feel they do not have enough information. One of the key barriers identified in this case study is that the community are not aware of the current risk and also future risk is not even on their radar. The local authority planners wonder about how to educate their residents about the issues of climate and coastal change. In their views '*communities do not grasp this issue and there is a lot of cynicism and distrust*'.

It is also not felt the community has enough capacity for lobbying and engaging with local and central government in a meaningful dialogue about their options for adaptation. External resources and experts were considered key.

One key issue for the whole of the coast in Lincolnshire is caravan parks. The area has the largest concentration of caravans in the country. Although permanent residency is not allowed, in practice some families are suspected to reside in caravans for most of the year. This presents huge challenges in terms of providing services for this additional population that it is not accounted for. It

also presents huge challenges for emergency services who, in the event of a flood, would have serious problems evacuating the caravan parks. It was also raised that caravan parks pay business rates which do not go to local authorities. ELDC suggested that a more fair system would be caravans paying resident taxes to cover the services and their protection.

There is also an issue with the timescales for the plans that communities are consulted on, they find it difficult to engage with LDFs which have 10 year timescales, so engaging with SMPs which look at 20, 50 and 100 years is particularly difficult. Especially for a community that is mainly elderly.

Media coverage of the issues is not helpful. This is a criticism from both the local authority and the community stakeholders. The question of where to go for information was raised by stakeholders and communities. There are too many organisations involved and the responsibilities are not clear. There is very low level of trust in national bodies and the local authority (ELDC), even though ELDC set up and runs the Neighbourhood Management Board. The lack of a coherent coastal management framework was also highlighted by ELDC.

Low levels of trust in the EA were highlighted by community and stakeholders. The EA is not seen as accountable as are elected members. There is an overarching feeling that EA's decisions are based on technical issues and availability of funding and do not take into account communities. This statement from a town councillor summarises these feelings: *'we are more than a line or a point on a map, we are people'*. Another community member said that he would get his information on coastal issues from Google and that calling the EA would be the last thing he would do.

Ideas for improved practice

ELDC felt that for any guidance on community adaptation planning to work, there is a need for all the organisations involved in coastal management to be working together. Another key aspect is that the guidance needs to be flexible and not overly prescriptive, in order to cater for different types of community. It was felt that 'one-size-fits-all' type guidance will not work.

ELDC also felt that there is a role for the Single Regional Strategy in dealing with coastal management as some issues need to be looked at a larger scale. They provided the argument that there should be some cross-subsidy between the West and the East of the East Midlands region to pay for flood defences because people move to the coast to retire from the inland areas. There was a suggestion that the new Community Infrastructure Levies could be diverted to flood defence. There was also a suggestion that funding for coastal protection and adaptation should be a priority.

The use of facilitators was considered useful for particular events as they 'take out the interested party element'. Facilitators enable an arms-length approach and enable more focussed events.

The ability to make people feel less marginalised is a key skill for those organisations involved in adaptation. There is a need for less structure and more informal meetings. There is also a need to use 'plain English' and to feed people information in small doses so they have time to assimilate new issues. Use of visuals and presentations rather than words was another suggestion, particularly when dealing with a low skilled community. Three businesses owners in the chamber of commerce do not read or write.

One technique mentioned as an example is the 'cup of tea technique' that is inviting people for a cup of tea. This informal approach has been known to work to deflate people's anger and aggression.

Another key point is that communities have to be knowledgeable to know they can bid for any funding for adaptation and there was recognition that in the first instance they will have to be galvanised by the local authority. There is also a need for capacity building and education so that when the coastal strategy comes up with a series of options the local community is able to interpret what this means and can engage in a dialogue with government.

Lessons learnt

Information and capacity building is essential but needs to come from a trusted and independent source. Linked to this, trust in authorities is currently very low – the authorities need to be seen and their faces become known in order to be trusted by the community.

The lack of a single voice and message leads to rumours and misinformation which in turn provokes fear and anger in the population.

Whilst engaging communities like Mablethorpe in adaptation planning will present huge challenges, it is particularly important to ensure that they are involved. Because this community is already highly disadvantaged, they are likely to be among the most vulnerable to the impacts of climate change. Recent work⁵⁴ has highlighted that vulnerable communities are more excluded from society, have fewer links with key organisations and often distrust authorities and formal decision making processes. All these characteristics are present in this community.

At the same time, there are opportunities because the community is already active and engaged in other aspects of community planning, for instance, the following quote refers to climate change but it is applicable to coastal issues:

'Existing community-led structures and participation processes, such as regeneration schemes, parish planning, community strategy and development

⁵⁴ CAG Consultants (2009) The differential social impacts of climate change in the UK. Case Study Report to Sniffer.

and public health involvement may therefore provide routes for communities to engage with climate change issues⁵⁵.

They have also been active in inviting experts and authorities to their Neighbourhood Management meetings. However, residents admit that this has been in reaction to rumours or media stories.

⁵⁵ UN, 2007 cited in CAG Consultants (2009) The differential social impacts of climate change in the UK. Case Study Report to Sniffer, p. 8.

Happisburgh case study

Background

Happisburgh is a small community on the North Norfolk coast. Surrounded by farmland, the village has been a traditional tourist destination. The timber coastal defences started to fail in the 1980s and by 1989 the District Council (NNDC) identified the need for a major investment in new defences. Various schemes were put forward during the following years, but for a variety of reasons were not implemented. Although the precarious situation of the bungalows and buildings along the sea front was recognised, the publication in 2004 of the second Shoreline Management Plan (SMP2) for Norfolk and north Suffolk, proposing No Active Intervention along this part of the coastline which caused outcry and consternation.

The Coastal Concern Action Group (CCAG) has been working since 1999 to campaign for coastal defences and to lobby central Government for social justice and compensation for householders affected by coastal erosion. Following the publication of the SMP2, NNDC has made increased efforts to involve stakeholders and local people in coastal planning and management. The council is developing a Coastal Management Plan (CMP) to provide a framework and set of processes that facilitate management and create the conditions for both physical and mental adaptation and change.

Key players

Both NNDC and CCAG have directed much of their efforts to promoting and influencing changes in national policies and resource allocation, particularly on the part of Defra. In 2008 Defra gave the Environment Agency overall responsibility for managing the coast. The Environment Agency is required to work in partnership with maritime authorities such as NNDC and to reflect the priorities of affected communities in their plans. Unitary and county councils nominate representatives to Regional Flood Defence Committees (RFDCs), which are also attended by Defra nominees. RFDCs exercise some influence on overall strategy in their areas and have budget setting powers, while funding allocation is set nationally to Defra targets⁵⁶, with national or regional boards deciding whether particular schemes meet those targets and get funding.

Other relevant players

Norfolk Coast Partnership: Responsible for AONB Management Plan, which belongs to the Norfolk Coast partnership and is made up of local planning authorities, the Broads Authority, the EA and NE. The current AONB Management Plan is out to consultation. The plan treats people as part of the environment and plans for their involvement.

⁵⁶ See Defra Flood Management's Funding webpage:
<http://www.defra.gov.uk/environment/flooding/funding/index.htm>.

East Anglia Coastal Group: The Group was set up under arrangements put in place in 2008, superseding the Anglian Coastal Authorities Group and exists to provide a forum for discussion and the sharing of good practice on the management of sea flooding and coastal erosion. Membership includes the Environment Agency, maritime authorities, county councils, ports authorities and Natural England.

Parish Councils provide a sounding board for local views. NNDC holds meetings with coastal Parish Councils to inform them where things have got to and to gauge their feelings: are they comfortable with the way things are going, etc.

Natural England (NE) exerts influence over coastal defence policy and actions in Happisburgh because cliffs to the north of the site of the former ramp are a geological SSSI. NE's agreement had to be obtained for temporary defence measures.

Current practice and results

NNDC sees coastal adaptation as *'the ability to look forward to a future for the community despite coastal change. It is about giving people some certainty, in some shape or form'*⁵⁷. Since 2005, NNDC has taken pains to involve coastal communities, including people in Happisburgh, in developing priorities for the coast. NNDC has a planning officer in the coastal team who leads on the Coastal Management Plan and coastal engagement and has done careful stakeholder analysis, developing contacts and updating details where necessary. The council's community engagement activities have included:

- Workshops to listen to residents' concerns and priorities (in the context of developing the LDF);
- Workshops with other parts of the community, such as fishermen, schools, etc, that may be outside the representational system;
- Involvement of local groups in the development of a Coastal Management Plan (CMP); and
- Regular meetings with stakeholders and information on developments.

The Council has also taken direct measures. Despite not being able to obtain grant aid for coastal defences in Happisburgh, in 2006 NNDC agreed to provide an additional £2m over 10 years for temporary repairs of the existing defences on its frontage. The Council's Coastal Strategy manager recognises that *"We're buying people that time, doing coastal defences ... if you haven't got adaptation in process, you should give people this [time] to come to terms with adaptation and give the powers that be the time to put processes in place, including legal processes, funding mechanisms, physical infrastructure like car parks and ramps."*⁵⁸

⁵⁷ Peter Frew, NNDC Coastal Strategy Manager: Interview, 23 March 2009.

⁵⁸ Peter Frew, *ibid.*

CCAG has provided forums for local people to express their concerns, including meetings in 2005 to discuss the effect of the SMP2, attended by over 1000 people. CCAG has also set up a charity, Coastal Concern Ltd, to raise additional funds for temporary defences: in 2007 it contributed over £47K to bolster NNDC's investment. The Group's high profile lobbying of central Government has contributed to strengthening the community's sense of agency and ability to influence events: *'We galvanised community feeling in Happisburgh, we now have a Dunkirk spirit.'*⁵⁹

Key issues and barriers to increasing community involvement in adaptation planning

The main problem for increased community involvement is seen as the current top-down decision-making structure. Despite the statements to the contrary, stakeholders feel that Defra and its agencies continue to prioritise one-way communication and have not been prepared to listen and engage in dialogue. A second issue is the need to reform institutions to improve integration and the ability to deal with complex issues. The strategy for Integrated Coastal Zone Management could have been a vehicle for this but in its current form is seen as being an added layer.

Stakeholders and communities welcomed the decision to make resources available for adaptation, but they want greater clarity on what will be available, for at least the medium term. This would allow local authorities to put in place mechanisms for involvement. *'Communities' say in prioritising spending has got to be as part of a structured plan. We'd have to have identified a set of measures in our CMP as the best way of adapting [in order for them to be prioritised].'*⁶⁰

Ideas for improved practice

Guidance on engagement would be useful to help national organizations to understand what working with communities involves, rather than for those who are currently working with communities or the communities themselves.

Facilitators can be very important as they provide a degree of independence. An organisation's own teams may include trained facilitators but at some point they need someone else to do the listening, otherwise they will be liable to miss the message.

People can learn from the experience of others: the National Voice for Coastal Communities is encouraging coastal communities to build on what has already been achieved.

⁵⁹ Malcolm Kerby, CCAG Co-ordinator: Interview, 30 March 2009.

⁶⁰ Peter Frew, *ibid.*

Lessons learnt

- Information and education pave the way to acceptance of the need for adaptation to coastal change and readiness to discuss what should be done;
- Coastal adaptation must be bottom-up, not top-down. Successful strategy development starts in the community; and
- Patience: community engagement takes time.

Suffolk Case Study

Suffolk County has a linear coastline of some 47 miles which increases to 220 miles if all the tidal estuaries and inlets are included. Tourism, recreation and shipping form a vital element of its economy with Felixstowe being the largest container port in the UK. In contrast, just 2-3 miles away begins 40 miles of Heritage Coast, almost all of which is set in an Area of Outstanding Natural Beauty. There are 141 Sites of Special Scientific Interest in the county of which 30 sites are within the AONB area including 4 National Nature Reserves, 4 Special Areas of Conservation, 7 Special Protection Areas and 4 Ramsar sites.

The coastline is constantly changing due to the influence of natural processes such as erosion, but also because of man's desire to change the coastline and control the impact of the sea over the centuries.

The communities affected by Coastal change are small towns on or close to the coast including Woodbridge, Bawdsey, Orford, Aldeburgh, Leiston, Dunwich, Walberswick, Southwold and Snape. These are historic centres with significant economic, cultural and heritage assets. In addition there are a small, but vociferous number of individual households impacted by coastal processes.

Adaptation Issues

The over-riding context for current adaptation issues is Shoreline Management Plan (SMP) for sub cell 3C. The County is two thirds of the way through its SMP2 review led by Waveney District Council, Suffolk Coastal District Council and British Energy and the Environment Agency – in association with Natural England and Suffolk County Council. The technical review is being carried out by Royal Haskoning UK Ltd and is due for completion in March 2010. Over 500 issues and concerns have been identified from the initial consultation phase two years ago. Key adaptation challenges have emerged in the course of the SMP review:

- Individual households at risk from coastal erosion, some of whom are investing in their own defences, regardless of the SMP process;
- Estuary shape and nature significantly changing due to potential SMP policies of managed re-alignment or no active intervention;
- Loss of land and threat to vital infrastructure (e.g. A12 road and water treatment farms);
- Flooding from over-topping of sea defences affecting parts of towns; and
- Privately owned and maintained sea defences being more vulnerable in the long term.

Existing initiatives aimed at engaging Coastal Communities

Over the last few years a number of important developments have taken place at the local authority, community and Environment Agency level:

- At the County level, led by the Carbon Reduction Partnership (CRed Suffolk) and Suffolk Strategic Partnership, the Suffolk strategic Partnership (the LSP) a Climate Action Plan has been developed with a communications and education element.
- The Environment Agency is developing Estuary Strategies for the Alde and Ore, Deben and Blyth estuaries. These are flood risk management strategies for each of the Suffolk estuaries considering flood risk over the next 100 years. For further details go to www.suffolkestuaries.co.uk.

The focus of most current engagement work is the SMP2 review mentioned above. A number of officer posts have been key to the communication of the review process to local stakeholders. In particular, Environment Agency Coastal Officers and officers working within Suffolk's unique ICZM:

ICZM in Suffolk

"The objective of Integrated Coastal Zone management (ICZM) is to establish sustainable levels of economic and social activity in our coastal areas while protecting the coastal environment. It brings together all those involved in the development, management and use of the coast within a framework that facilitates the integration of their interests and responsibilities. (Defra)"

An Integrated Coastal Zone Management (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 the Environment Agency. This applies the principles of Integrated Coastal Zone Management (see above) 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 has been spent liaising with community stakeholders and the rest a wide range of statutory and private stakeholders. The wide range of plans now impacting on coastal communities, including the new Marine Plans, makes discussion with communities more complex and fitting it all together for specific landowners challenging.

Under this initiative Estuary Partnerships have been set up resulting in different ends of estuaries speaking to each other for the first time and levels of mistrust declining. A key part of the post is to stitch together different kinds of funding from EC, Region and MAAs downwards including the precious resource of time that local people are prepared to put in. An application to Defra for more community development support for an Alde and Ore 'Exemplar' project was, however turned down as it was considered not contributing clearly enough to adaptation effort and the timing (pre Defra's Pathfinder initiative) was too early.

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. Good

leadership was provided through a combination of the landowner's agent, the district council and a local councillor.

The role of LAAs is seen more in terms of co-ordination and delivery than funding. The LSP gives relatively small amounts, e.g. £2,500 for the Deben Partnership to help with communications and community engagement.

Since the advent of the SMP regime, community groups have become increasingly aware of what is going on and are well networked, both amongst themselves and with professional bodies. Working with such groups has enabled an acceleration of both understanding and trust within a relatively short space of time. The key appears to be the ability of agencies and statutory bodies to put the time in, although working with community groups absorbs significant time. This is particularly noticeable with the relationship between the Environment Agency and local groups which has improved significantly over the last year with the appointment of an officer working under their Building Trust with Communities programme.

The SMPs managed realignment option causes the most difficulty for the statutory players. Community interests view this as more 'managed abandonment' which throws strong elements of doubt into residents minds. Community confidence, in their future and their leaders is very much linked to investment. For example the market town of Southwold is very vulnerable to tidal surges and increasing sea level both of which it was reported could blow out the mouth of the Blyth estuary. Private sector investors in the harbour area are currently looking at the wider issues and local campaigns are stimulated by declining confidence and uncertainty.

Overview of Communication process

In Suffolk good working relationships are being established between community representatives, Local Government and Environment Agency Coastal Officers. Relationships between local activists and their local councillors appeared to vary significantly, whilst levels of trust with Natural England, GO-East, EEDA and Defra were described as 'low'. Frustration with the SMP communication process from both community activists and some officers was high. A round of SMP key stakeholder workshops was taking place during the case study visit and it is possible that the long gap between the initial key stakeholder workshop and the draft policy workshops was accentuating this. However, activists had a number of consistent messages in this meeting and in 1-1 interviews:

1. That arguments and solutions put forward have had no effect on the proposals, that consultants ruled out some options very early on, "*They (the SMP Steering Group) are talking at, not with, you*";
2. That the evidence was not robust enough or shared openly. For example evidence on the tidal prism in the Blyth estuary and sedimentation in the nearby marshes was refuted by independent experts from UEA⁶¹. "*All we want is their evidence of policy*", commented one activist. This has

⁶¹ University of East Anglia

prompted one group to conclude that “seriously flawed” science is being presented to stakeholders. This in turn has led different groups to conclude that abandoning, e.g. the river walls programme, now would be premature;

3. Related to the above is the issue of access to information on current spending patterns. One group had a long fight to get figures for cost of works to the Alde and Ore – which was only eventually secured via a Parliamentary Question;
4. Maintaining a level of consistent community engagement with one activist commenting, *“There has been no community involvement until it got adversarial”*;
5. The time frames or epochs are felt to be ‘forced’ on them by Defra, with activists arguing there should have been local agreement on how far forward a given review should focus and real flexibility here. As one young landowner commented, *“we don’t have to make these tough decisions today for our grandchildren. Let the next generation take decisions for themselves, which is what has always happened, for generations”*;
6. Understanding some of the basic SMP concepts, e.g. the difference between managed re-alignment and retreat;
7. The regulatory burden on community assets (defences) where improvement or repair is being proposed by landowners. Applications to Natural England can take three months or more; and
8. Lack of involvement by the Tourism Board who they see as a natural ally.

Lessons Learnt

- Local groups, although well networked and with leaders that have a good grasp of the issues, appeared to vary significantly in their ability to attract a diverse membership and committees base. Resources for a dedicated website, meetings, bulletins and mail-drops were an issue for some groups;
- The ability of local people to take a long term view of the threats was viewed as being significantly undermined by a lack of compensation for individual home owners. Individual cases also appear to exert a disproportionate effect on the campaigning position of active groups on the social justice issue;
- All parties welcomed the use of trained facilitators or mediators, although some also argued for community development resources as well;
- An important starting point for adaptation appears to be a joint understanding of the data. There is an obligation here for statutory partners and their consultants to be *“open and honest and admitting the grey areas”* as one officer put it. Some data is contrary to what people see on the ground. The commissioning and use of joint research which all stakeholders, including the community, agree to be bound by would appear to have helped in a number of instances, not just in Suffolk but around the country. This approach would also help to soften the political impact of, for example, spending £400,000 on examining how an estuary works when £50,000 for a sea defence cannot be found;

- Communities are consciously trying to 'buy some time'. This includes landowners who are collectively hiring a digger to maintain defences to campaigning groups who are hiring independent experts to challenge the SMP2 findings;
- Guidance needs to be flexible, non-patronising with an innovation fund mentality;
- Given that the LDF process is a key driver for the spatial planning stage, even down to building adaptation, tidal or fluvial flood risk is crucial to this. However, LDF engagement was also seen as another unwieldy process which does not give communities a proper chance and new ideas a chance to emerge. This and similar views seem to suggest that applications for coastal change funds might encompass engagement and communications activities that feed directly into LDF processes and decision making as well as coastal strategies, later SMP reviews and LAAs; and
- The value of 'whole community planning' processes and the need to take Parish Plans, locally generated 'mini' SMPs, more into account in adaptation planning.

Shaldon case study

Background

The pretty village of Shaldon with a population of approximately 1500 - 1700, lies near the mouth of the Teign estuary on the South Devon coast, opposite the town of Teignmouth. The Shaldon (and neighbouring Ringmore) sea front stretches for approximately 1.5 km along the Teign estuary.

The Environment Agency became concerned about the tidal flood risk in Shaldon although it had not flooded in living memory. The existing informal defences offered a low standard of protection with a large number of low-lying properties behind them. Properties are in a 'basin' behind the defences and this basin would begin to fill – to life threatening first floor level - if the defences were overtopped. Wave action could exacerbate this problem, as does the number of gaps in the existing defences, which are present to provide people with direct access to the beach. Existing defences also affect the ability of some of the minor tributaries and surface water drainage systems to discharge, which can cause localised flooding.

The Shaldon Flood Risk project was used to pilot the Building Trust with Communities - Working with Others (BTwC) tool between 2005 and 2009. This project is currently being subject to a review and evaluation. This findings from that review forms the basis for this case study together with an interview with Ruth Johnston (EA project manager for Shaldon and EA's Head Office Communities Relations Manager) undertaken on 25 March 2009.

The Environment Agency was interested in adopting a 'building trust' (Building Trust with Communities or BTwC) approach to working with the community to reduce the flood risk in Shaldon because⁶²:

- The history of quite frequent flooding from surface water and sewerage. However, there was no direct experience of tidal flooding, even though the village had a near miss in September 2004. Therefore it was considered unlikely that there would be widespread awareness - or even acceptance – that there is a tidal flood risk;
- The experience of Teignmouth, which lies across the estuary and is joined to Shaldon by a bridge and ferry. This community rejected a flood defence scheme just before the planning application stage (final stage) which cost the Environment Agency a lot of time and money;
- Shaldon is a key focus for movement of people on foot and by boat (the latter at all scales of use). Economic viability of a large number of activities and businesses dependent variously to the estuary. There are a significant number of events such as bonfire night and the regatta, focused on access between the village and beach;
- Shaldon has an older and stable population with quite good sense of community and high levels of participation in formal and informal

⁶² Taken from minutes of internal meetings, based on the six step BTwC planning template.

community and voluntary sector activities. For example there have been very strong public responses to development proposals in the past;

- Some evidence of a long history of planning disputes between District and Parish Councils; and
- Major scale of the problem: the seafront runs along 1.2 – 1.5 km compared to Lympstone (approx 300m) or Teignmouth (approx 500m).

In terms of awareness of the need to adapt, the EA staff leading this project explained that, following the project, the community has a higher awareness of the risk of tidal flooding. The community are also more aware of the constraints within which public bodies operate (e.g. constraints to solving surface water issues). Adaptation is evident in terms of the increase of community preparedness for flooding. However, awareness is still rather low and the community would say that they are flood resilient rather than have adapted.

It was reported that following this project, the EA have adapted some of their practices. It has helped the EA to think of wider solutions, for instance during the period before a flood defence is built or in areas where defences are not going to be provided. In these cases the EA are now thinking of other ways to help communities adapt to the risk for instance by encouraging community flood plans, community flood wardens, improving flood warnings etc.

Key players

One of the key issues for this project was that the community were concerned and active about reducing the risk from surface water flooding. The EA work was aimed at providing a scheme to protect the village from tidal flooding. However, the community wanted the problem of surface water addressed as part of any scheme. Even though the EA had no responsibilities with regards to this issue, the EA acted as a convenor and brought the water company and the road and highways authorities into the discussion. The EA convened a water surface group and were involved in it, even though they had no resources or role on surface water.

The EA also convened the Shaldon and Ringmore flood risk liaison group with volunteers from the community following on from an exhibition about the tidal flood risk in October 2005. Detailed liaison with the community was conducted through this group formed by residents and representatives from; community groups, interest groups (rowers, boat owners, regatta organisers, etc), parish council, Teignbridge District Council, flood action group, etc.

Other key players included:

- The community and particularly those who had been affected by surface and/or sewage flooding and were therefore very active; other members of the community that were active were those who would be affected by the proposed tidal scheme, particularly those who would see their views of the sea affected by the scheme;
- The parish council who were also very active;

- Teignbridge District Council in particular biodiversity and landscape and planning officers;
- Road authorities: Devon County (highways), Teignbridge District Council (road drainage); and
- Water company.

Current practice and results

One of the criticisms that it is often directed at the EA is that they propose potential solutions (e.g. a sea defence) to a community that is not yet aware that they have a problem (i.e. that they are at risk of tidal flooding). This may lead to fear and conflict and may result in the community rejecting the scheme as was the case in Teignmouth. The BTwC approach in Shaldon was divided into two parts, in order to separate out the identification of the problem or need from the potential solutions. This was enshrined in the following principles agreed by the project team:

- Adopt a precautionary approach: engage as openly, inclusively and early as possible (and reduce intensity later if appropriate);
- Clarify the need (i.e. that flood risk is sufficient to justify action) before moving to consider the range of possible solutions and working up the preferred way forward; and
- The Environment Agency is part of engagement process/decision-making: deliberative approach rather than consultation.

The two steps followed in Shaldon were:

- **Step 1:** Raising awareness of the flood risk and understanding the community/stakeholder levels of acceptance that there is a flood risk and acceptability of likely consequences; and
- **Step 2:** working with the full range of interested parties on options for responding to the flood risk in Shaldon.

Figures 2 and 3 show the different activities and timescales of the two stages in the Shaldon project.

The results from Step 1 were that 250 people attended the drop in public meeting (see Figure 2 below) and 87% supported work to reduce flood risk in Shaldon. In addition, the difference in approach was welcome by the community and media.

By February 2009, the BTwC engagement in Shaldon had led to;

- getting a **mandate** for action from the community, based on agreement that the tidal flood risk is sufficient to justify finding ways to reduce the risk;
- involving the community in generating and **scrutinising** all possible ways to reduce the flood risk, including a wall-based tidal flood defence scheme;

- getting community input to maximise the community **utility** of a wall based tidal flood defence scheme by advising on layout, height, finish;
- getting all relevant bodies to work together to tackle **all forms of flooding**, including surface, sewerage and tidal;
- ensuring **all parts** of the community are protected through identifying areas (in this case Ringmore) which need to be included;
- increasing **resilience** of the community by generating interest and creating a parish flood action plan. This included coverage of flood issues in parish newsletters and the press;
- generating community **ownership** of (and confidence in) the scheme's operation via the parish council;
- improving **trust** in and respect for the Environment Agency staff and opening constructive channels of communication;
- suggesting how to **speed up** the construction process without interrupting local events and the tourist season; and
- suggesting how to maintain **communication** with the wider community throughout the construction process.

In addition, the **pilot** status of the project has resulted in a plethora of communication materials, techniques, skills, case study material, good practice guides and new standards.

Figure 2: Step 1 of the Shaldon BTwC approach

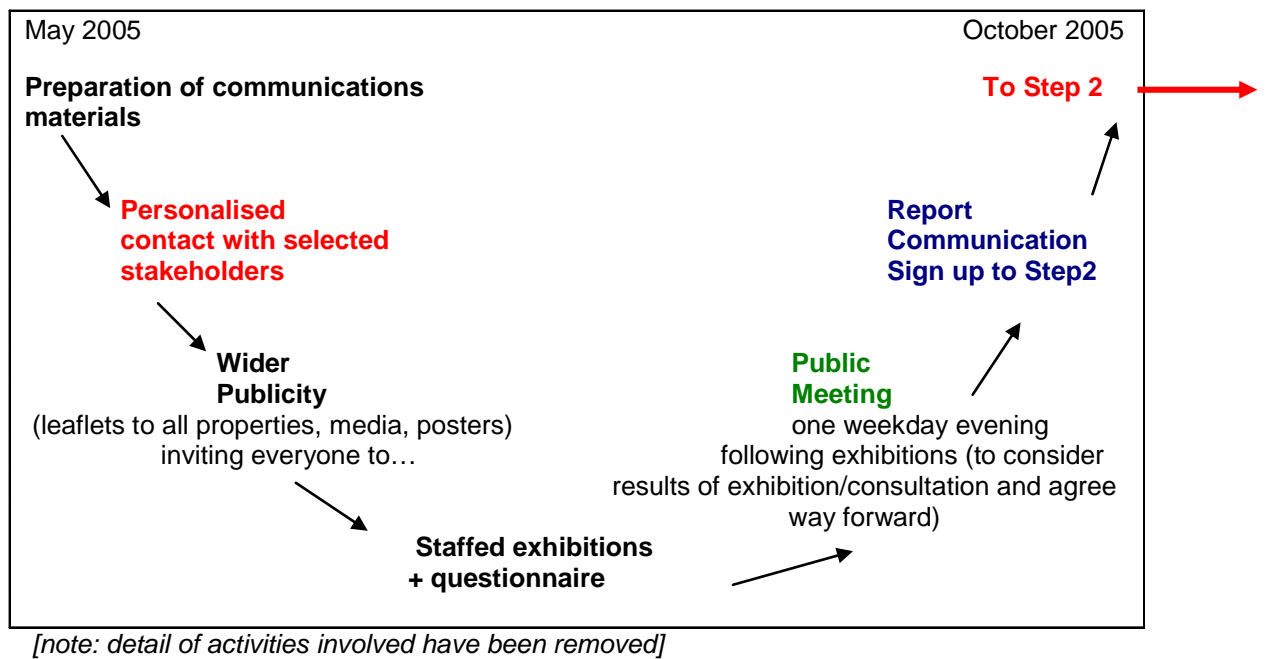
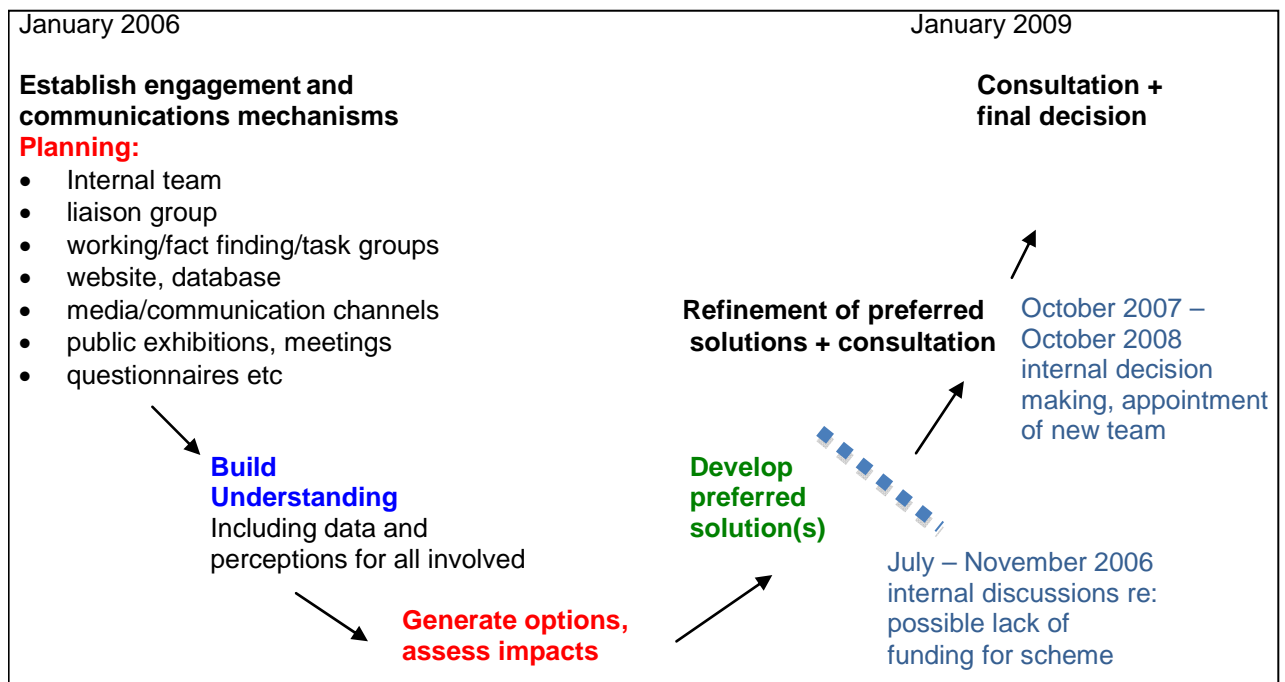


Figure 3: Step 2 of the Shaldon BTwC approach



Key issues and barriers to increasing community involvement in adaptation planning

Shaldon illustrates what can be achieved through 'maximum' liaison with the community and other organisations. However the process has been hampered by:

- internal inconsistencies and changing goal posts relating to funding, policy, priority score and sea level rise. These are now threatening to stop the whole process, 4 years after engagement started; and
- internal requirements and processes which are incompatible with community engagement to increase community resilience.

In particular, this project raised a series of strategic questions:

- What policy should be pursued – best value vs. public acceptability or resilience?
- Does engagement have a valuable role in scrutiny and accountability?
- How to avoid the temptation to use engagement as manipulation or 'education in disguise'?
- How to deal with changing requirements such as tides, sea level rise and funding?
- How to know when a remit to act has been secured from the community, what to expect as a scheme progresses and how to deal with objections?
- How to provide continuity of teams? (The EA team changed during the life of the project).

The EA project manager for the Shaldon project mentioned in particular the lack of a national position on adaptation, erosion and flood risk management. For instance, if the conclusion is that there has to be managed realignment, then flood defence policies need to reflect this overarching policy. In terms of policies and processes, another issue raised is that they are often based on technical issues and do not allow for adaptation and good engagement. The issue of a lack of a shared ownership of the problem which should precede the stage of proposing solutions was highlighted as another key barrier.

Unless these bigger strategic issues are resolved, there is a danger in promoting more community engagement in a policy/process environment which prevents it working.

Ideas for improved practice

The principles, style and methods used in the BTwC approach in Shaldon are different from standard practice and have the potential to be transferred to other communities and coastal issues. These include:

- A decision was taken to engage as widely as possible as early as possible as a precautionary approach: if the decision is not controversial, or if there is no interest, the extent of engagement would then be reduced. For example, a liaison group would be offered but if no interest

or controversy, engagement may have been restricted to exhibitions or even to newsletters;

- The process was structured and publicised in two phases. Again this was a precautionary approach: if the community did not buy into the existence of the problem, no work would be done on solutions;
- The views and information of dissenters and objectors were deliberately sought out. Time was invested in sharing information with them and on incorporating their information where possible;
- Professional facilitators and communicators were used to augment the internal team. They were involved in (and often ran meetings for) internal planning as well as delivery of engagement activities. They also acted as a point of reference during times of challenge, for example where internal changes might have led to abandonment of the BTwC approach.
- EA staff were briefed and trained to encourage constructive face to face contact with the public. This included practicing listening skills and generating and answering Frequently Asked Questions.
- The exhibitions were designed to encourage interaction and discussion, rather than be restricted to provision and extraction of information. They included a reception desk, café area, visually appealing exhibition boards that explained the whole story in lay terms, use of an interactive map, use of flip charts to record comments (and comments on comments) in public. As a result, people tended to stay at least half an hour, rather than the usual 10 minutes.
- EA staff were able to answer questions on all aspects of the scheme – and flood awareness – and were present at the exhibition and public meeting. Once the remit was extended to cover all aspects of flooding, staff from other organisations were also asked to attend so that all questions could be answered as far as possible;
- Every household and building in the community received invitations to become involved, at each stage in the process;
- Contact details of all who took part in exhibitions or who expressed an interest were captured. All received a report of the exhibition and meeting and were invited to take part in future activities. Preferences regarding the mode of communication and extent of involvement were captured;
- Questionnaires were designed to encourage respondees to explore their own concerns and experience and to express considered views in an actionable way, setting the remit for the next steps;
- The public meeting was facilitated, enabling all present to raise their concerns, conflict to be dealt with constructively and responses to be given to concerns and questions in the meeting where possible. A document was produced answering all questions following the meeting and circulated to participants and put on the website;
- A website was established on the Environment Agency's website on which information was readily available about the process and results; and
- An open invitation was given to all with sufficient interest to join the Liaison Group.

Lessons learnt

The key lessons of the Shaldon project are based around the engagement needed for a new flood defence scheme. Some of the conclusions are however, largely applicable to coastal adaptation.

In terms of obtaining the best results from engagement, one of the key conclusions from this case study is that the question is not whether or not to engage but making the right decision about *how much to engage*. This will be typically determined by several factors:

Reactive or proactive? If coastal adaptation is being developed in response to an established history of flooding or erosion, the community may not need convincing of the need for flood protection. For proactive adaptation where no flooding has occurred or erosion is an issue, the community will almost certainly first need convincing of the need for adaptation and will want to be involved in identifying possible solutions. A fuller BTwC approach will therefore usually be necessary for proactive situation than for reactive ones.

One obvious solution or a range of solutions? Where there is one 'blindingly obvious' way of adapting (such as maintaining or enhancing existing defences), engagement may be focused on finessing the details of that solution. This will be lighter touch application of BTwC than programmes where there may be many different solutions or significantly different permutations of adaptation options.

High or low benefit? Shaldon has a comparatively high risk of annual flood damage and potential loss of life. Getting the scheme completed much sooner rather than later is important. To minimise the objection and time risk, enhanced BTwC is advisable. Conversely, if much less is at stake, enhanced BTwC may not be cost-effective.

Solo delivery or collaborative delivery? In some situations, the Environment Agency may be in a position to deliver flood risk reduction without the involvement of the community or other organisations. The application of BTwC in these situations can be light touch. But in other situations, successful implementation may require key organisations to play a major role, or for individuals, community or public to take action (e.g. flood proofing properties, responding to flood warnings, giving permission for works). The application of BTwC in these situations will need to be much fuller in order not only to get their buy in, but also to ensure that the adaptation option is workable.

Another key lesson from the Shaldon project is that critical that engagement is done well and efficiently. In order to achieve these efficiencies, it was found that the BTwC should be used consistently by the EA in all interactions with communities and other stakeholders. Developing staff skills in delivering BTwC, building key parts of the approach into internal EA procedures, knowing when to use the full approach (i.e. in response to controversial and proactive situations) were some of the key factors to achieve this consistency of approach.

Barrow case study

Background

The borough of Barrow-in-Furness is a non metropolitan borough situated at the southern tip of Cumbria, to the north of Morecambe Bay and set against the backdrop of the English Lake District Mountains. The town centre of Barrow is Victorian built and some of the existing port infrastructure dates from Victorian times. Barrow Town Centre, Walney Island and Barrow Island are tourist destinations, with Victorian heritage buildings and beautiful stretches of beach designated as environmentally significant.

Barrow Borough Council represents a mix of coastal and inland wards. The total population of the borough is 71,980 of which 11,654 people live in coastal wards (2000 census).

The age structure of the borough is skewed towards older people, as the percentage of people aged over 60 is slightly higher than the regional and national figures, while people between 20-30 is slightly lower. 33% of the population of the borough lives in residential care homes, reflecting the high number of retirement homes in the borough. In addition to this, around 30% of the population lives in NHS or local authority medical and care establishments, significantly higher than the regional and national average of 6%. There are a high percentage of economically inactive people, comprised of the long term unemployed, permanently sick or disabled and retired people, figures for all of which are higher than the averages for the North West and England. Those who are employed work mostly in low to mid-level positions in the manufacturing, hospitality and health care industries. These statistics confirm borough officers' accounts of socio-economic decline, especially in the borough's inland wards.

Inner wards are protected from the sea due to the unique position of Walney Island, which acts as a natural barrier to the sea. Walney Island itself is undergoing major land erosion, in spite of being partly defended. Due to the narrow breadth of the island, flooding occasionally causes temporary breaches across the island, cutting off key routes and isolating communities.

A coastal defence management strategy for Walney Island over the next 100 years was developed by WS Atkins in 2000 and went to full public consultation. A number of existing defences provide essential coastal defence to parts of the island, but the Walney Island Strategy questions the justification for maintaining some of the defences, especially based on current operating guidelines. Defences have been erected on the west side of the island primarily to prevent erosion of the shoreline, while on the east side of the island defences have been erected to prevent flooding due to extreme tides and storm surges.

Apart from a series of historical defences, the first of which dates back to the 13th century, defences have been constructed in the last thirty years, either to

protect individual land interests or more significantly to protect specific development interests. The most significant of these are:

- White Horse Scar Landfill Protection, built in 1987 to protect the then landfill site.
- Earnse Point Groyne and Rock Revetment⁶³ built in 1993/4 to reinforce the collapsing masonry wall and provide protection to the Furness golf club land and West Shore Park.
- Low Bank Landfill Protection built in 1993 to provide protection to the current operational landfill and thereby providing an effective continuous linear defence between Hillock Whins and the north side of Hare Hill.

The 2000 Walney Island Strategy recommends a policy of 'Sustainable Strategic Intervention', which seeks to continue the current approach, with improvements or modifications to existing defences, but also includes use of beach management techniques through local recycling of shingle or defence material. At selective locations the strategy encourages moving defence lines landward. The strategy distinguishes between the significance of Walney Island as a natural breakwater at a regional level and the island's role as home to a thriving community. It asks how wide a future Walney Island would need to be, to maintain community life there.

The strategy also proposes that local communities be involved in monitoring and feedback systems around implementation.

The coastal protection duties of Barrow Borough Council are currently delivered by a team from Capita Symonds in a consultancy model.

The coastal communities of Barrow Borough are characterised by low awareness of adaptation but high awareness and some agitation around coastal erosion and flood risk issues. Communities borough-wide are well organised, with active residents associations within close knit communities. Coastal issues however appear on very few agendas, except where erosion is very visible or flood risk is immediate and communities organise to galvanise authorities into action.

Communication with Barrow Borough Council regarding coastal issues is currently limited, with a Ward Councillor acting as the main channel of information for community groups. Acting as the single point of contact between people and the authorities responsible for their coastal issues the Councillor has good individual relationships with the local coastal and regeneration teams as well as members of community action groups.

Awareness levels about the Environment Agency, Defra and the wider context of coastal change management are extremely low. On the whole, community involvement around coastal issues in Barrow is a far cry from any ideal of community centred adaptation to coastal change.

⁶³ Revetment: A facing of stone or concrete built to supplement for example sea walls.

Regeneration of the docklands in Barrow, partly owned by the Port Of Barrow, is currently under way. Regeneration proposals have been subject to a Strategic Flood Risk Assessment as well as a community engagement programme, but as the regeneration site is protected from the sea by Walney Island, coastal vulnerability issues have not been discussed.

Key players

The following key players have been identified in Barrow:

- Barrow Borough Council's Regeneration and Community team, which carries out community engagement and capacity building programmes targeted at the declining inland wards;
- Barrow Borough Council's Coastal Management team from Capita Symonds, which manages defences, carries out coastal monitoring and prepares strategies for future coastal protection, including defence. The team occasionally outsources discreet elements of its research and strategy work to other consultant teams;
- Friends of Walney, a residents group based on Walney Island and containing a number of influential members of the relatively small community, including the Council's Coastal Manager and the majority of the borough's ward councillors;
- West Shore Park residents association, representing the interests of a 300 home mobile-home community, currently occupying a vulnerable piece of coast adjacent to Furness Golf Links, which carries an environmental designation;
- Biggar Village residents association, which was very vocal following the last flood event in the early 1990s, which caused a temporary breach on Walney Island;
- Councillor of North Walney ward, who champions the interests of residential communities on Walney Island, including West Shore Park residents;
- Morecambe Bay Partnership, a voluntary organisation which aims to improve the environment and quality of life around Morecambe Bay. Barrow-in-Furness falls within their remit. Activities of the Partnership are steered by a board of trustees, which is comprised of resident leaders as well as officers from Lancaster City Council and Cumbria County Council. British Energy and Heysham Ports are also represented. The Partnership is well networked into Barrow's communities and coordinates beach cleans, among other interactive activities related to coastal management;
- The Environment Agency, the duties of which, apart from managing coastal flood emergencies, include maintenance of a number of watercourses in the inland wards of the borough;
- Natural England has local interests in the form of an SSSI and several designated habitats, apart from those which carry EU designations; and
- Cumbria County Council is the next level of administration above Barrow Borough Council.

Current practice and results

As well as low levels of awareness and interest in adaptation debates, there appears to be a marked disconnection between all community engagement and coastal management in Barrow-in-Furness.

There has been no specific engagement over coastal issues since the development of the Shoreline Management Plans 11C and 11D and the Walney Island Strategy, all of which were completed before 2001.

The high level of engagement over planning and regeneration in the inland wards is not followed through in the coastal wards, even though the docks are undergoing regeneration, due to the remoteness of the site from any immediately vulnerable part of the coastline.

The only other intersection between community interests and the sea seems to be around the recreational use of the docks. The Port of Barrow, essentially a commercial organisation, facilitates community activities such as fireworks displays. Friends of Walney also actions the community's recreational interests.

West Shore Park erosion and activism

West Shore Park residents association is currently involved in community activism against the fact that West Shore Park is identified as an area suitable for managed realignment. The community consists of 300 mobile homes, many of which have been long-term occupiers of the site. A majority of residents are elderly and retired. The temporary defences constructed two years ago have held the sea at bay for the present, but residents feel that high tides reveal how easily the defences would be overtopped. Residents have also witnessed the coastline receding 20 metres in less than a decade, which adds a sense of urgency to their demand for new and better defence.

Walney Island Strategy on the other hand, recommends that the temporary defences protecting West Shore Park are abandoned, as their continued upkeep or improvement may compromise the environmental designation of the Furness Golf Links coastal strip adjacent to the Park.

Residents have canvassed borough council officers and enlisted a local Councillor to further their cause, but see themselves as unable to engage in any long-term debate around adaptation, due both to what they see as the immediacy of their situation and the fact that most residents would prioritise enjoying a quiet and trouble free retirement.

West Shore Park residents see themselves as being involved in 'Community Action'. As far as 'adaptation' refers to changes in action or outlook within the community itself, residents representatives feel that their issues are too immediate and their population too removed from any possibility of active long term involvement.

Key issues and barriers to increasing community involvement in adaptation planning

Planning vs. Engineering

The Barrow case study flags up the issue of who is ideally placed to deliver community centred adaptation. There seems to be a sharp disconnection between the community engagement functions of the council's regeneration team and the coastal management functions of the coastal team. Not only do these teams sit within different departments in the council's structure, the borough council has also outsourced its coastal management functions to Capita Symonds. In terms of discipline, this is seen as a divide between the council's planning and policy functions and its engineering work delivery functions.

While the structure in itself is not necessarily a barrier to adaptation planning, it represents a divide in the thinking of the responsible authorities. In Barrow, the engineering aspects of coastal management are given due emphasis, with apparently much less stress on stakeholder engagement aspects.

Communication skills

This links into a gap in communication skills, which will be a crucial skill in delivering community centred adaptation. At present, engagement around coastal change is being carried out by officers whose core competency and core duties lie elsewhere. The current model relies on personality traits, which may make it easier and more fruitful for some officers to engage with communities than others. Communications and engagement are now recognised as specialised creative skills, the lack of adequate investment in which will be a key barrier to involving Barrow's community in adaptation planning.

Representation

As the borough council has a much wider remit than the three coastal wards, the lack of coastal engagement initiatives may be a case of under-representation of coastal concerns at the administrative level. The county council may not be prioritising coastal issues due to its relatively advantageous geological position as compared to other coastal counties. Coastal issues are likely to be important to only a small proportion of the populations of both the borough and the county.

The Environment Agency and Defra, which are also responsible, albeit at different levels, for managing coastal change and for delivering any future community adaptation planning, are seen as distant QUANGOS, with no means of being sensitive enough to very local but real concerns, e.g., the managed realignment of West Shore Park, which would have very unpalatable implications for a particularly vulnerable section of the community.

At present, discussions around coastal stakeholders' issues seem to be carried out through one-on-one links between key players and officers, rather than any representative forum with an organisational link. While this works to an extent

for the purposes of immediate local issues in a small close-knit community, it may present a barrier to wider debates around community centred adaptation to coastal change.

Existing structures

The well-networked Morecambe Bay Partnership is a key route into the community and which specialises in coastal issues. One of its functions is to organise conferences exploring current thinking in coastal issues, with a degree of emphasis on adaptation debates. The Partnership is therefore well placed to be a delivery vehicle for adaptation discussions, but is seriously under-resourced. It views its lack of funds and resources from the central and regional governments as a key barrier to effective community centred adaptation planning.

Apart from the Morecambe Bay Partnership, the level of community organisation focusing on coastal issues is at best embryonic. A few vocal individuals with strong ideas about required actions are working hard to raise the profile of the community's concerns. This in itself is a time-consuming and intensive exercise, which makes them ill-placed to receive and process any information and training that may become available in future about adaptation.

Timing

Community engagement around coastal change issues in Barrow is currently limited to reactive activism around short-term issues. Even though the bigger long term issue of the future of Walney Island exists, it is seen as too distant to grapple with in the present. The preferred solution for the immediately affected group is to hold the future at bay with further temporary defences, so as to give a degree of security to vulnerable communities, before engaging in any wider debate. In addition, groups on the mainland which may be affected if Walney Island is breached prefer to wait and see and deal with the issue if it comes to a head.

'Aspiration gap'

Low awareness levels within the community as well as low interest in long-term adaptation discussions leads to what the Coastal manager terms an 'Aspiration Gap'. The trade-offs and processes that Barrow Borough Council is required to go through remain largely unknown and misunderstood by community players, which in turn leads to what the authorities responsible would view as unrealistic aspirations to coastal defence on the part of the community. This 'aspiration gap' would be a key barrier to community centred adaptation planning.

Ideas for improved practice

- The borough council welcomes guidance around means of increasing the effectiveness of community participation;
- Community players feel that they would benefit from a route map to finding the right people and level in authority; and
- The borough council's Director of Regeneration makes a strong case for Walney Island to be included in any pilot exercise for community centred adaptation planning. The idea would be to use Friends of Walney, an

existing community network as a vehicle for this. As Walney Island, within the borough, experiences different types of coastal change issues, different levels of risk, different levels of engagement and awareness and different types of communities, this would be an opportunity to test the pilot exercise. As the Walney Island Strategy is currently being updated, the pilot exercise could feed into this, causing the engagement process to have tangible outcomes.

Lessons learnt

Administrative boundaries, even in a democratic structure, may not always be the best way to represent the concerns of a coastal minority. Issue-based organisational structures may be a better means of achieving this and this would have an impact on governance.

The definition of community assets within coastal policy may not address long term associations of communities with their dwelling place. Any real engagement around adaptation will need to consider that people will want to engage with the criteria for prioritisation of assets.

Coastal management is a complex interdisciplinary process. The relative importance of engineering concerns and stakeholder concerns must be optimised. Interdisciplinary communication skills as well as skills for creative engagement with communities are an important resource and an integral part of this process.

Appendix 7 – Workshop report

1. Introduction

This report sets out the draft notes of a workshop held in London on 13 August 2009. The workshop was organised by Scott Wilson on behalf of Defra and was part of the research project:

Understanding the processes for Community Adaptation Planning

Background and aim of the workshop

Scott Wilson was commissioned by Defra in January 2009 to provide a guidance document to accompany the new Coastal Change Policy. Defra's new Coastal Change Policy is recognition that coastal communities need more support from public agencies to understand and adapt to coastal change.

Drawing on literature reviews, case studies and interviews, we have prepared a draft guidance document for getting communities involved in planning for coastal change in the context of climate change adaptation.

The Guidance, published as a working draft in July 2009, was the focus of this workshop. The aim of the day was to test the usefulness of the Guidance with a range of statutory stakeholders and community representatives. A full attendance list has been included at the end of this Appendix.

The comments and feedback from this event will, together with any feedback from the wider Coastal Change policy consultation exercise, have been used in finalising the draft Guidance.

Format of the day

Following the greetings and introductions, Defra gave a presentation on the policy context. This was followed by another presentation by Scott Wilson introducing the project. The rest of the day consisted of three interactive workshop sessions looking at different sections in the Guidance and one more briefing presentation by Scott Wilson.

Participants were divided into three groups or break out tables (A, B and C) for the interactive sessions.

The following sections record the key points of the:

- Discussion following Defra's presentation (Section 2 of this Appendix);
- Interactive Session 1 (Section 3);
- Interactive Session 2 (Section 4); and
- Interactive Session 3 (Section 5)

The workshop was conducted under the Chatham House Rule and comments and points have not been attributed to any participants.

2. General discussion

The following points were discussed following Defra's presentation:

- The point was raised that the budget for coastal erosion management only forms a smaller proportion of the overall flood and coastal erosion risk management budget of £2.15bn referred to in the Coastal Change Policy Consultation. A request was made for more clarity on what proportion of this budget is used for coastal erosion risk management spend, where it is being spent and what kind of management it is being spent on. The consultation and CAPE guidance both talk about the 'local circumstances' that come into play when making decisions about how to adapt to coastal change, such that a 'one size fits all' approach is inappropriate. The point was raised that whilst local circumstances are certainly important, decisions will also always need to be compliant with national and international legislation and policy such as PSA targets and the Water Framework, Birds and Habitats Directives. It was suggested that clarity should be provided on how all these different factors fit into the wider framework of Flood and Coastal Erosion Risk Management to help communities and others understand and engage with what is a very complicated picture;
- One participant warned against 'double-counting' when it comes to engagement activities surrounding different strands of coastal policy and practice. Communities are involved in and consulted on a number of initiatives including SMP2s, ICZM, the activities of Coastal Partnerships etc – apart from avoiding 'consultation fatigue' and mixed messages about coastal management, it makes good sense to try to join these engagement activities up from a cost/time perspective; and
- The point was raised that in many areas and in substantial portions of even the most 'engaged' communities, there is a significant lack of understanding of how coasts change naturally, the historical context of how they are managed, how management is approached now and why, in other words the entire 'coastal narrative'. Public meetings and many of the other traditional forms of community engagement simply aren't enough to change this and nothing will change overnight. A sustained approach is needed that uses a range of innovative approaches to getting people aware and involved.

3. Session 1

The aim of this session was to test the usefulness of the Guidance by each table selecting a 'real' case study in order to:

- To assess whether a given local authority is facing a Situation 1, 2 or 3 in terms of their starting point for the communications and engagement challenges in developing CAPE in that authority (Section 3.2 of the draft Guidance;
- To determine the ‘decision contexts’ that will affect the amount and approach to engagement or Step 1 (Section 3.4, Figure 2 and Appendix 2 of the draft Guidance); and
- To assess the usefulness of CAPE material covering this area.

The same exercise was undertaken by all three tables. The key points from this discussion and the associated actions have been included in the table below:

Table 3: Key points and actions Session 1

Key points	Actions
<p>The situation analysis (Section 3.2) was seen as useful but it was acknowledged that communities are not uniform. In some cases all three situations may be found in communities.</p> <p>It was also suggested that the type of situation could vary during the process. Applying the precautionary approach to the identification of the situation and re-visiting this assessment as you go through the process was recommended.</p>	<p>Add text acknowledging all 3 situations may be present, depending on geographical focus of the exercise</p> <p>Add text acknowledging that communities are not uniform and that the type of situation may change during the project, therefore feedback and revisiting this section is essential.</p>
<p>In general Figure 2 was not found very helpful. It was suggested that Figure 2 was removed and the table in Appendix 2 incorporated into the text.</p> <p>Again, a recommendation to revisit this table during the process and avoiding showing this as a linear process was made.</p> <p>It was also mentioned that Figure 2 does not take into account the point of the planning process at which the diagram is entered. A precautionary approach to engagement, i.e. front loading was also suggested.</p> <p>It was also recommended that examples or case studies of good and bad practice to illustrate the different situations would be helpful to identify the type of decision (A, B, C).</p>	<p>The table in Appendix 2 will be moving to the main text and the text in this section will be amended.</p> <p>Consider examples: Some examples already included. Adaptation planning still a very new practice on the coast</p>
<p>The cost profiles in Appendix 1 were not found particularly useful. The figures were found confusing and also not applicable to all circumstances. The graph profiles need to show more clearly that front-loading reduces costs later</p> <p>It was suggested that a narrative would be more appropriate, e.g. frontloading of engagement could lead to cost savings later on....</p>	<p>This Appendix will be removed and some narrative and a simple graph included in the main body of the guidance.</p>

4. Session 2

This session covered two exercises. Tables A and B undertook the first exercise and Table C the second.

The first exercise had the following aims:

- To clearly articulate the aims, drivers and scope of adaptation planning in the volunteer local authority (Section 3.5 of the draft Guidance);
- Clarify the aims and scope of your engagement (Section 3.6 of the draft Guidance); and
- To assess the usefulness of CAPE material covering this area.

The second exercise had the following aims:

- To undertake a stakeholder analysis to identifying stakeholders and appropriate engagement methods authorities might use in CAPE (Section 3.7 of the draft Guidance); and
- To assess the usefulness of CAPE material covering this area.

The key points of the discussion and the relevant actions are detailed below:

Table 4: Key points and actions Session 2

Key points	Actions
<p>It was suggested that section 3.5.1 (on defining adaptation aims) could be reworded for clarity to ensure that the statements of adaptation aims do not include detail on solutions etc.</p> <p>The box included as an example should be reworded 'Suggested template for adaptation statement'. It was also suggested that a worked example or a series of examples should be included.</p> <p>Some of the examples could illustrate that in the first years, adaptation aims may be largely process-oriented e.g. awareness rising.</p> <p>An additional point is that the adaptation aims in the example could be made more positive, e.g. see adaptation as an opportunity and not just as a threat.</p>	<p>Agreed: to be reworded</p> <p>Reword</p> <p>Agreed: amend</p> <p>Agreed: amend</p>
<p>In terms of setting out engagement aims, changing the title of the example box to 'suggested template for engagement aims' and including a worked example were also suggested.</p> <p>It was also suggested that some of the examples in the table setting out what is negotiable or non negotiable need to be improved.</p> <p>Related to the last point, the question was raised of whether 'non-negotiable' was an appropriate term and whether something is really non-negotiable. For instance, even if the EA can't fund flood defences, local funding could still be raised.</p>	<p>Agreed, relate examples to different options in table 1 more clearly</p> <p>Agreed</p> <p>Agreed to change to 'level of influence possible'</p>
<p>The stakeholder analysis was undertaken using a real example provided by a local authority/ community group. The long list of engagement methods in Appendix 6 was found to be potentially too long and giving the impression that 'anything is possible'. The truth is that funding is often a constraint.</p>	<p>Make clearer that different techniques apply to different situations and that newer, more creative methods aren't necessarily more expensive</p>
<p>There was some concern about whether the word 'adaptation' was the best one to use in this context given that adaptation covers a lot of different things and means different things to different people. No suggestions on an alternative word.</p>	<p>Adaptation term to be defined as in Defra's Coastal Change Policy</p>

5. Session 3

Each table was tasked with a different exercise. The aims of the three exercises covered by this session are listed below.

The first exercise had the following aims:

- To identify the key players who you would ideally like to involve from the outset in a CAPE project group (this relates to Sections 2 and 3.3 of the Guidance);
- To identify key arguments you might use to draw in resources and co-operation within your organisation; and
- To assess the usefulness of CAPE material covering this area.

The aims of the second exercise were:

- To identify capacity and knowledge you most want to build up in your geographical areas and where resources for this might come from (this relates to Section 6 and Appendix 8 of the draft Guidance); and
- To assess the usefulness of CAPE material covering this area.

The third exercise aimed to:

- To consider as a group the advantages and disadvantages of developing a local 'CAPE Charter' (Section 4 and Appendix 5 of the Guidance);
- To decide whether, on balance, you would commit your CAPE approach to a formal written charter; and
- To assess the usefulness of CAPE material covering this area.

The key points and associated actions from this session have been recorded below:

Table 5: Key points and actions Session 3

Key points	Actions
<p>It was felt that the section on the project group (3.3.6) included the ‘usual suspects’ and was lacking in representativeness of communities. It was also felt that it would be useful to explain what the overarching aim of the project group would be and acknowledge the pros and cons of different types of groups. For instance, local authority officers may not be appropriate for all circumstances.</p> <p>Other suggestions included that if the group became too large, forming sub-groups looking at specific issues may be appropriate. As the project advances it may also be appropriate to change composition of the group and move to a more community-based group. It was also suggested that a group may already exist and therefore additional resources to form another group may not be needed.</p>	<p>Clarify that the project group should aim to increase membership and/or input from multi-disciplines and community interests as the project evolves</p> <p>Agreed that sub-groups, e.g. on biodiversity or geographically could be formed</p>
<p>In terms of building capacity and knowledge (section 6 and appendix 8) flexibility was highlighted as key. Decision making should be based on ‘principles’ rather than ‘rules’.</p>	<p>Agreed</p>
<p>There may be different aspects and a wider context to adaptation which may need to be scoped in order to identify who the frontline staff are who would be involved in adaptation and what skills they would need</p>	<p>Agreed, examples of capacity building topics could be included</p>
<p>It should also be recognised that there is a lot of variation between organisations: some will start from a very low base but others are more developed.</p>	<p>Agreed, add this point</p>
<p>The need for managers to support their frontline staff was also identified. For instance, these staff may need to receive training on community engagement. A further recommendation was that there may be a role for engagement specialists within an organisation and the guidance should cover how best to utilise them.</p>	<p>Agreed, use as an example and sign-post to appendices</p>
<p>The discussion about the CAPE Charter highlighted that this needs to be flexible and recognise that some authorities will be past this stage.</p> <p>It was felt that a Charter can be useful to strengthen and protect existing engagement processes and provide a longer term commitment to engagement.</p> <p>However, concern was also expressed about the time that may be needed to draft and agree a charter (25 to 40 hours).</p>	<p>Agreed: add to text</p> <p>Add ‘health warning’, but make the point stronger that the process of agreeing a charter can be very beneficial for relationship between all parties</p>

List of participants

Name	Organisation
Brenda Turnbull	Coastal Action Zone (CAZ) / East Lindsey DC
Cath Brooks	Environment Agency
David Andren	Chairman of the Alde and Ore Estuaries Association / Deputy Chair SCAR
Graham Henderson	Suffolk Coast Against Retreat (SCAR)
Ian Lings	Coastal Communities Alliance / Lincolnshire CC
Iona Cowe	Environment Agency
Jenny Bashford	NFU
Mark Walton	Community Dev. Foundation
Matthew Bigault	CLG
Nick Hardiman	Environment Agency
Peter Murphy	English Heritage
Richard Stewart	Blyth Estuary Group
Sarah Nightingale (nee Clifford)	Defra
Sharon Gunn	Natural England
Steve Bickers	Defra
Sue Allen	Blyth Estuary Group
Trazar Astley Reid	Suffolk County Council
Stuart Woodin	Scott Wilson
Amalia Fernández-Bilbao	Scott Wilson
Jeremy Richardson	Scott Wilson

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