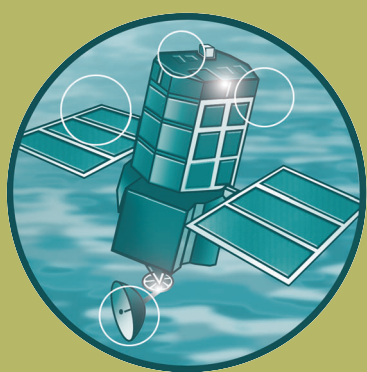


Community Adaptation Planning and Engagement (CAPE) on the Coast

Guidance

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The final Guidance has also been informed by the responses received on this document from Defra's Coastal Change Policy consultation.

The step by step approach in Section 4 of the guidance is partly adapted from original material from the Working With Others – Building Trust with Communities framework developed by InterAct Networks and the Environment Agency © 2009

Abbreviations

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

1 Introduction

1.1 Introduction and background

- 1.1.1 Community participation in adapting to coastal change is a key feature of Defra's Coastal Change Policy¹. Defra's policy emphasises the value of communities, particularly those most at risk of coastal change being informed, engaged and empowered to take an active part in deciding what happens locally. This process is referred to as Community Adaptation Planning and Engagement (CAPE).
- 1.1.2 Currently, 46% of England's coastline is protected by hard defences². Coastal defences protect properties, agricultural land, business and other assets from flooding and erosion and have allowed development, leisure and economic activities to take place in areas that have been at risk of coastal change since the Roman times. In reality it will not always be practically or financially possible to protect every stretch of coastline in the future. 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"³ in the future.
- 1.1.3 This Guidance provides a framework and roadmap to local authorities and other bodies on how they might work with their communities to develop a plan for adapting to coastal change as described in the Coastal Change Policy. Many of the approaches to CAPE described in this guidance may also be relevant to other situations such as adapting to flood risk and developing specific plans and policies, for instance, Shoreline Management Plans (SMPs), wider Integrated Coastal Zone Management (ICZM) work (see Section 7.2) and increasing community awareness of relevant scientific evidence and information.
- 1.1.4 The CAPE approach to engaging communities in adaptation planning should identify and take place at the most appropriate decision making level depending on the engagement aim – from local groups and parish councils upwards. Engagement and adaptation should also identify and engage with existing structures and groups as much as possible.
- 1.1.5 The guidance also draws lessons from community planning and engagement in the fields of regeneration and emergency planning. Experience here, particularly over the last decade, suggests that engaged communities are very much part of the solution for long term change and can help to identify and develop new ways of solving complex problems. In urban estate regeneration there is a growing acceptance that local people have important 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. They bring a unique perspective and a resource (e.g. time) to the table, particularly from the New Deal for Communities (NDC) and Neighbourhood Management programmes. They have been given control of significant budgets and taken responsible decisions.

¹ Defra Consultation on Coastal Change Policy available at <http://www.defra.gov.uk/corporate/consult/coastal-change/index.htm> (accessed 30/11/09)

² MCCIP (2008). *Annual Report Card 2007-2008* [online] available at: <http://www.mccip.org.uk/arc/2007/default.htm> (accessed 16/11/09).

³ 'Roll back' involves physical relocation of businesses, homes and other assets further inland away from the threat of coastal erosion.

1.1.6 In the case of the many communities living within a coastal zone, there are other equally compelling reasons why their engagement is so important:

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

1.1.7 The CAPE framework acknowledges that working actively to engage with coastal communities is not easy and that every local authority area is unique in terms of how aware or involved the community is, their level of vulnerability and the many different and often competing interests within any given community. In particular, this guidance aims to address three key issues identified in a recent review of community engagement in coastal planning⁴ which suggested that there are further opportunities within current planning processes (both spatial planning and shoreline management planning) for authorities to:

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

1.2 How to Use this Guidance

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

1.2.2 The guidance is not a toolkit telling authorities all the dos and don’ts of building community engagement in adaptation planning. What it does provide is a framework around which they can build successful communications, community involvement and adaptation planning measures. In order to get the most out of the document we suggest you:

1. Decide where you are on the getting started **issue check or situation analysis** (Section 3.2).

⁴ Understanding the Processes for Community Adaptation Planning and Engagement (CAPE) on the Coast, Scott Wilson 2009

2. Use the **step by step** process in Section 4 to build your tailored and agreed approach to CAPE.
3. Use the **appendices** to find out more and for further support.

2 CAPE Principles

2.1 Introduction

- 2.1.1 Adaptation is the process of becoming adjusted to new conditions, in a way that makes individuals, communities or systems better suited to their environment⁵. It embraces the actions authorities and their communities can take to reduce negative consequences and enhance beneficial consequences of coastal change. It is useful to distinguish between *building adaptive capacity* (e.g. training, monitoring, awareness raising) and *delivering adaptive actions* (e.g. moving buildings, creating new wetlands).
- 2.1.2 CAPE is an exciting opportunity to build a genuinely community centred approach into a new coastal adaptation planning process right from the start. Community adaptation planning is a new concept and will not happen overnight. The Government's Coastal Change Pathfinders will run from Autumn 2009 to Spring 2011 and should provide an opportunity to learn more about how adaptation planning can work in practice. The CAPE framework and roadmap has been developed with the aim of allowing authorities to build a specific vision and engagement approach to adaptation which is appropriate to their geography and coastal planning stage (see what is your starting point or coastal situation in section 3.2).
- 2.1.3 CAPE is built around a community empowerment model (see Appendix 5 for a classification of engagement processes based on levels of empowerment) and it is suggested that for maximum transparency your approach can be enshrined in a locally agreed 'charter' taking into account the following definition and the 6 principles behind the CAPE framework:

CAPE Definition:

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

CAPE – 6 Core Principles:

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

⁵ Defra Consultation on Coastal Change Policy available at <http://www.defra.gov.uk/corporate/consult/coastal-change/index.htm> (accessed 30/11/09)

2.2 Principles Explained

The Journey towards adaptation

- 2.2.1 Defra's new coastal change policy acknowledges that some coastal communities may not be ready to start planning adaptation measures and the change it implies. The journey towards effective medium and longer term adaptation work is both a technical and an engagement challenge and will take many years, not least because every community is different and every community has its own history leading to different relationships and conditions of organisation, awareness, understanding and involvement. Encouraging communities to take an active part in adaptation planning for coastal change means making it relevant to their concerns (rather than assuming it is) and understanding how participation can make a difference. Communities can also make significant contributions. For instance, the experience of urban renewal shows that institutional memory often resides within the community. This can provide information continuity and address issues such as changes in staff in local authorities and other public bodies.
- 2.2.2 Section 3 of this guidance pre-supposes that successful adaptation planning requires problem definition plus analysis of the full range of solutions in an inclusive engaging process. The focus is therefore on the stages that need to be considered when preparing an adaptation plan, including gaining an understanding of both your community's starting point and your relationship with the community so that, over time, you can realise the outcomes set out in your coastal charter. Starting where your community is at also means aiming to identify and engage with existing groups and structures.
- 2.2.3 Although communities have different concerns and priorities, and within communities there are often differences of opinion, it is possible to identify three typical starting points for the community's journey towards adaptation:
- **No (or lack of) agreement on the problem (i.e. there is no agreement that there is a need to adapt to coastal change or that coastal change is happening;**
 - **No (or lack of) agreement on how to address the problem (i.e. there is no agreement on what the preferred options for adaptation should be); and**
 - **No agreed decision-making process (this could include spatial planning, coastal management or whole community planning).**
- 2.2.4 The journey towards effective medium and longer term adaptation methods is therefore both a technical and process challenge, and the two aspects must be dealt with together to make progress. The above three scenarios are explored further in section 3.2.

Social Justice and Support

- 2.2.5 Social justice principles suggest that both individuals and communities most affected by climate change or changes in coastal policy have a right to information, explanation and to be heard. At the centre of Defra's Coastal Change Policy is an emphasis on the communities most affected being not only the most involved in adaptation planning, but most supported to achieve solutions that are acceptable to them through informing, engaging and enabling activities.

Evidence from research (Stern 2006⁶) suggests that the effects of climate change will not be distributed evenly, with some communities and individuals being more vulnerable than others.

Confidence in Information

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

Integrated Coastal Planning

- 2.2.7 There are many different agencies and organisations with responsibility for or interest in coastal planning (see a brief guide to who does what in Appendix 8) as well as a number of different planning processes that affect the coast such as Shoreline Management Planning (SMP) and Local Development Frameworks (LDF). It is important that the spatial, corporate and coastal/environmental planning processes are sufficiently integrated to ensure that they are mutually supportive. Mechanisms developed through the Local Strategic Partnership (LSP) should be able to help achieve this integration.
- 2.2.8 This integration is important because long term planning for coastal change needs to be reconciled with short term needs of individuals and communities (e.g. house building, businesses, and regeneration). CAPE work may throw up challenges for existing structures and ways of working so that communities are reassured that the various planning levels that impact on them (e.g. regional and local spatial planning and shoreline management planning) are joined up and that their opinions, priorities and knowledge are fed into planning processes in a co-ordinated and influential way. In Section 4 we explore further how this might be achieved within the current system.

Successful Partnerships

- 2.2.9 Many successful community based⁷ partnerships have been built in the field of urban regeneration where communities also face real change, including the loss of their homes. Experience shows it takes time, strong leadership and resources to build such partnerships that are able to widen the awareness and influence of communities in the different spatial and service planning processes that affect their futures (see section on multi-disciplinary working and project team, Section 3.3).

Vibrant, empowered communities

- 2.2.10 The ultimate aim of adaptation planning is to ensure that coastal communities are vibrant and sustainable and remain places where people want to live and visit. The Government's 2008 White Paper on community empowerment⁸ stressed the link between empowered people and

⁶ Stern (2006) The Stern review on the economics of climate change. HM Treasury [Online: http://www.hm-treasury.gov.uk/sternreview_index.htm]

⁷ By 'community based' we mean having a clear and influential community element which is not token.

⁸ Communities in Control: Real People, Real Power, CLG, 2008, available at: <http://www.communities.gov.uk/publications/communities/communitiesincontrol>

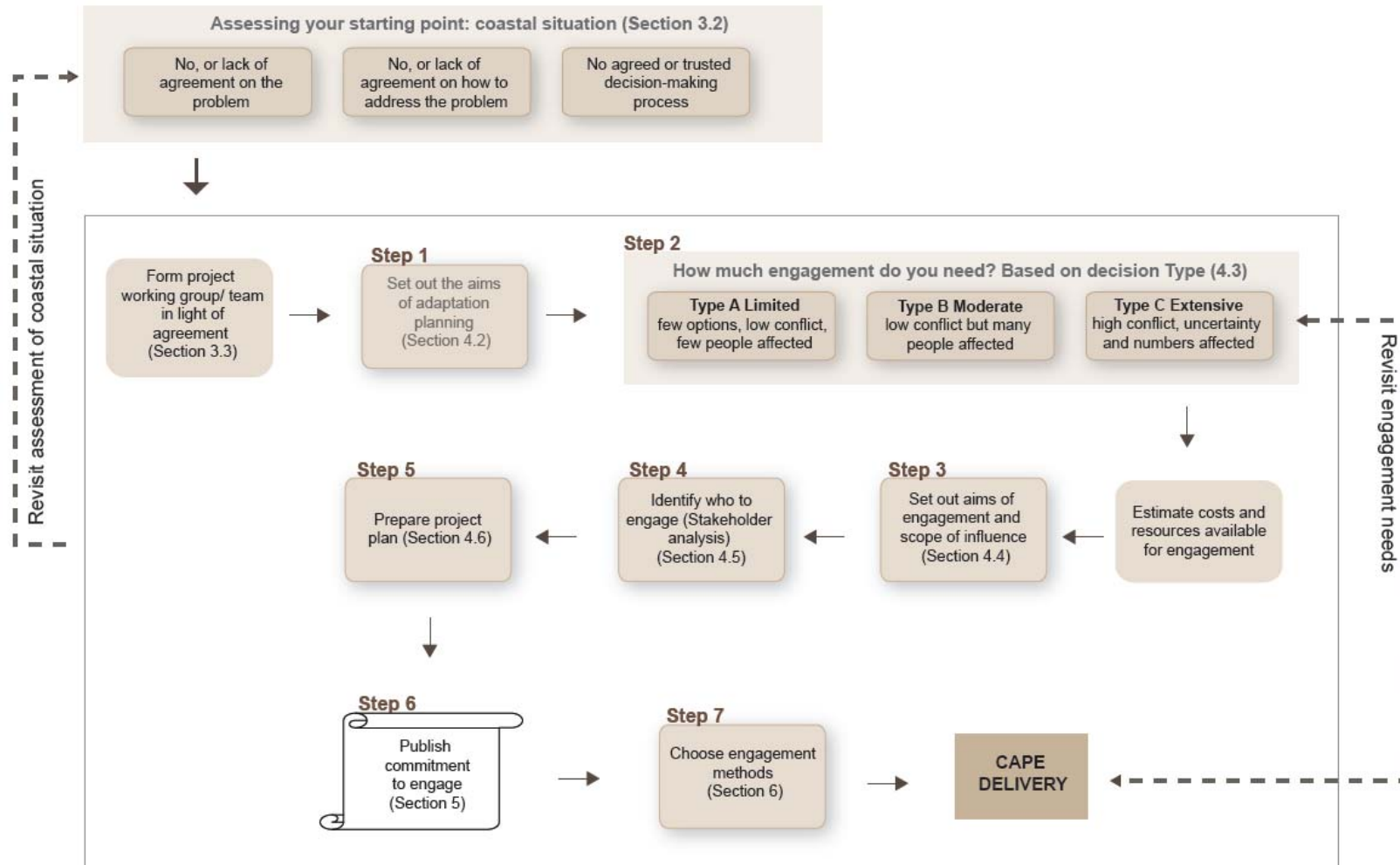
vibrant communities and put dynamic community involvement at the heart of good service planning processes.

3 CAPE Roadmap

3.1 Introduction

- 3.1.1 Coastal communities take very different positions on the nature and causes of the challenges they face, and the options for tackling them. The relationship between local people and coastal authorities also varies greatly. These understandings and relationships have developed over time and form the landscape in which adaptation planning for coastal change will need to happen.
- 3.1.2 Diagram 1 below shows how an understanding of your particular starting point will influence your approach to CAPE (see 3.2 'What is your starting point'). The next step is to form your project team (Section 3.3). The type of the aims of your adaptation project, (Section 4.2) particularly the number of people potentially affected by it and the number of options or degree of uncertainty will help you gauge how much engagement it is needed (Section 4.3). The amount of engagement will determine the costs of engagement and be determined by the resources available.
- 3.1.3 Once the aims of adaptation (Section 4.2) and of your engagement (Section 4.4) have been set out, the next step is identifying who to engage (Section 4.5). The next step is the project plan (Section 4.6) and how to publish your commitment to CAPE - in a charter or similar (Section 5). Your engagement methods should be chosen at this stage and different methods will give you different outcomes (Section 6).
- 3.1.4 It is possible that along the way factors such as the actions of those involved, external events or problems with the process design or implementation could re-kindle debates that appeared to have been resolved. This may mean providing a reminder of previous steps before moving on to the next challenge. Steps may need to be revisited throughout your project's life.

Figure 1: CAPE Roadmap



3.2 What is your starting point?

Situation Analysis

- 3.2.1 This section explores three typical situations which stakeholders may find themselves facing⁹ in terms of the current relationship between key coastal authorities and the communities and interest groups they need to work closely with. The situations described provide the context for those responsible for initiating or leading CAPE (e.g. local authorities), helping them to identify the communications and engagement challenge ahead and the likely level of resources needed.
- 3.2.2 It is suggested that the situation analysis is conducted in a relatively informal setting between senior level officers and representatives from coastal organisations and other key partners (e.g. landowners). In other words, that it is used as the launch-pad for an 'open and honest' stock-take of the situation as perceived by different interests. In Suffolk for example a situation analysis was effectively carried out with different key groups quite informally – for example over a series of meetings around a local councillor's kitchen table where key assumptions, attitudes, expectations and process issues were openly explored.
- 3.2.3 When starting the analysis it will be useful to decide from the outset whether to focus this exercise on the whole coastline in a given authority or specific areas.
- 3.2.4 The three situations described are not 'cut and dry'. In some authorities it is possible that indicators will be present in a given coastal area relating to all three situations. In particular a Situation 1 starting point is also likely to include Situation 2 issues, but not visa versa. Reaching agreement on your starting point with others can be made more difficult because the impacts of coastal change and their solutions are both high risk and highly emotive, for instance, loss of homes and businesses.
- 3.2.5 The three hypothetical situations are described below.

Situation 1: No (or lack) of agreement on the problem

- 3.2.6 This type of situation is characterised by a lack of agreement on what the 'problem' is (i.e. the need to adapt) or indeed that there is a problem at all. This could include a lack of agreement on the causes, nature or speed of coastal change (e.g. erosion or sea level rise). Often the problem is defined by professional agencies before having had the benefit of engaging with the local community and understanding their perspective. Lack of agreement may be based on both local concerns, cultural and emotional issues relating to loss or change (see Section 7) or local information and knowledge that the community may hold.
- 3.2.7 The following bullet points will help you recognise if you are facing Situation 1:
- No awareness of the need to adapt. This may be linked to coastal change being perceived as a long term future risk which makes it more difficult to discuss these issues now;
 - Disagreement on the science which may lead to experts being brought in to support either the community or the organisation framing the project. This may be due to the existence of

⁹ These three situations have been characterised through desk reviews, case studies and stakeholder interviews (Understanding the Processes for Community Adaptation Planning and Engagement (CAPE) on the Coast, Scott Wilson 2009).

conflicting evidence from different sources or varying interpretations or perception that it is biased towards the interest of specific organisations;

- Communities apportioning 'blame' to an organisation or agency for coastal change;
- An emphasis on the urgency is backfiring by making those involved feel that the issue is very important and therefore needs more careful (and lengthy) consideration;
- Difficulty of getting communities to consider the whole range of potential impacts of coastal change beyond those about which they are knowledgeable.

Situation 2: No, (or lack of) agreement on how to address the problem.

3.2.8 This situation is characterised by agreement on the problem definition (i.e. the coastal threat) but no agreement on specific options to address the problem or whether adaptation is the right option. For instance, an SMP may identify an area where the defences are not likely to be maintained and where managed realignment or no active intervention will be promoted. Communities or individuals living in that stretch of coast may disagree with the SMP policy and be unwilling to engage with adaptation as an option. The research that informed this guidance suggested that community engagement around SMP2s¹⁰ was resulting in some stakeholders and members of the community being sceptical or even hostile towards a process which they felt did not allow them to suggest and explore other possible solutions, or that failed to consider the options most sensible or relevant to them.

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

- Local people not feeling that their concerns are being taken into account in the Shoreline Management Plan options or spatial plans and therefore becoming hostile to the process;
- An expressed lack of trust in the public agencies responsible for coastal management;
- Communities that have become very active on the issue, for instance, protest groups may have been formed and are developing their own (different) solutions;
- Lack of involvement of communities or particular sectors of the community leading to a feeling that certain settlements or interests are not being heard;
- Individuals and organisations who have worked on the issue for some time have a very different perspective to members of communities who are finding out about it for the first time.

Situation 3: No agreed or trusted decision-making process

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

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

¹⁰ Fernández-Bilbao, A, Woodin, S, Richardson, J, Zsamboky, M, Bose, M, Orr, P, Twigger-Ross, C, Colbourne L (in preparation) Understanding the processes for community adaptation planning on the coast, Defra Technical Report FD2624

- The existence of a number of different and sometimes overlapping decision-making processes covering coastal management leads communities to feel that their interests are not represented or taken into account at the 'right' point or in the 'right' way;
 - Lack of engagement work or resources resulting in only the loudest voices being heard;
 - Lack of involvement of whole communities or particular sectors of the community leading to a feeling that certain settlements or interests are not being heard;
 - Community interests not engaging in decision making processes because they view them as ineffective;
 - Communities being 'over consulted' (consulted on many different plans and strategies) in a disjointed or confused way;
 - Community interests within a given area expressing contradictory views that end up having minimal influence on the perceived key issues as professional judgement prevails;
 - Complaints about how long it takes a particular agency to make a decision;
 - Many stakeholders feeling that environmentally-focused planning processes fail to take account of local views and continue to prioritise one-way communication;
 - Delays in developing coastal strategies blocking development and investment planning decisions;
 - The current use of Integrated Coastal Zone Management is not seen as effectively integrating different planning processes but as simply adding a further layer of decision-making;
 - New processes (e.g. a Coastal Management Plan) which are intended to resolve some of the difficulties of more integrated planning have run into practical problems of institutional change; and
 - Many coastal communities have a high percentage of vulnerable people (including the elderly, migrants and low income groups) who are likely to have fewer links with relevant organisations and less opportunity to input to decision-making processes.
- 3.2.12 Any – or a combination - of the three situations described above will stand in the way of effective partnership working involving members of the community, local and national organisations and institutions all jointly engaging in discussions to find and agree options to address coastal challenges. Sometimes individuals and organisations who have worked on the issue for some time have a very different perspective to members of communities who are finding out about it for the first time.
- 3.2.13 The scope and scale of the engagement process required will, at any point in time, depend on the complexity and controversy identified in the issue check.

3.3 A planned approach

- 3.3.1 The rest of the roadmap takes public bodies and others through a series of steps which will help them to structure, resource and roll out an approach to involvement that is appropriate for their area.

- 3.3.2 Experience shows that working effectively and constructively with communities on complex, uncertain and controversial issues such as adaptation planning, requires a planned and tailored approach to engagement that suits local circumstances. This means considering right from the start in the adaptation planning process how public bodies and others will engage with communities as a core part of adaptation planning. Creating an inclusive, transparent and accountable engagement process takes more time in the early stages, but experience suggests that this can save considerable time and expense later.
- 3.3.3 A planned approach to engaging with communities entails:
- setting up a cross-sector project team or working group which can have both clout and credibility with a wide range of stakeholders;
 - realising that one-off activities such as establishing groups, running individual events, attending meetings or issuing press releases may not be enough;
 - planning the whole decision-making process (and the uncertainties, parameters, resources and actions required); and
 - understanding how and when education, communication, consultation and collaboration with interested parties will assist in effective decision-making, delivery and review.
- 3.3.4 A planned approach requires knowledge of the full range of engagement activities (not just communications but also collaboration, conflict resolution, behaviour change, consultation), the local area, local organisations' capacity, agendas and processes and technical coastal issues. This can best be created by an inter or multi-disciplinary project team (see below) which brings together all these skills and knowledge, and which does so in a way that produces an integrated process plan covering how engagement and technical activities will be undertaken. For help with relevant training as well as written and online guidance in skills such as specialised participation techniques, communication and conflict see Appendix 7.

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

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

The project team and multi-disciplinary working

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

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

Facilitators and independent brokers

- 3.3.8 As well as the project team and depending on the nature of the problem (see 3.2) and therefore engagement needed (see section 3.5 onwards), you may want to consider using independent facilitators or brokers. A brief description of these additional resources is provided below:

- **Facilitators:** a facilitator will usually be paid for by one party and may not be strictly speaking 'neutral'. Their role is often focused on a meeting or series of meetings and to enable progress in a variety of ways, e.g. to identify challenges, barriers, increase understanding, build consensus towards joint goals and delivery solutions. To help build consensus and to promote group commitment or wider consensus, a facilitator will normally be someone the community trusts with the ability to stand above local politics, to act as a mentor, tease out issues and offer advice and structure. Consider using a facilitator if you lack trusted or skilled internal resources to help all parties in evaluating new ideas, to run one off workshops or to facilitate events on partnership building, team building and strategic planning. Facilitators could include external paid consultants or individuals from local groups (e.g. coastal and estuary partnerships).
- **Trusted independent broker:** is a trusted intermediary who acts in an unencumbered way balancing interests between the community and other organisations or agencies, such as local authorities or the government. Brokerage might require high-level intervention between the community and the agencies, where finding the right approach might be a lengthy and subtle process. Therefore as a negotiator, the broker will often seek information and opinion and explore the constituencies and the organisational resources to enable collective adaptation planning and action¹¹. Use brokers if your starting point is difficult (see 3.2) or you have a particular 'flashpoint' locally that is holding back progress on other aspects of your adaptation planning. Independent brokers that could be considered include Planning Aid and the Community Development Foundation as well as independent consultancies (see Appendix 7).

Roadmap Steps and additional sections

- 3.3.9 The rest of this Guidance is structured around a series of 7 practical steps and other considerations that will help authorities to develop CAPE for their particular area.

¹¹ The Joseph Rowntree Foundation (JRF) Neighbourhood Programme provides both evaluation and examples of brokerage in practice, for example when a local authority gave very short notice for the withdrawal of substantial amounts of funding, without observing due process; or when they set up a new partnership for a new national programme despite the existence of well functioning partnerships. The outcome of this initiative indicated that difficulties might remain in some communities even after brokerage took place and highlighted the importance for communities on having access to someone "trustworthy" to help them to overcome obstacles on the way. See: Changing Neighbourhoods, Lessons from the JRF Neighbourhood Programme. Available online at: <http://www.jrf.org.uk/sites/files/jrf/2005-supporting-neighbourhood-change.pdf>

4 CAPE Steps

4.1 Introduction

4.1.1 Having already carried out a situation analysis (3.2) it is suggested that authorities will want to work through a number of steps with interested parties. 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) (Section 4.2).
- **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 (Section 4.3).
- **Step 3: Clarify engagement aims and scope.** This step involves setting out the aims of the engagement and how much the community can influence (Section 4.4).
- **Step 4: Identify who to engage, through a tailored stakeholder analysis** (Section 4.5).
- **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 (Section 4.6).
- **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 (Section 5).
- **Step 7: Agree engagement methods and approaches.** This step aims to help you choose the engagement methods appropriate to the desired outcomes (Section 6).

4.1.2 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 (Section 7).
- **Working with other planning processes on the coast.** This section provides an overview of policies and processes relevant to CAPE (Section 8).

4.2 Step 1: Clarify adaptation aims, drivers and scope of decisions

4.2.1 In Step 1, the project team will need to clearly articulate the aims, drivers and scope of adaptation planning. This will help others understand where you are coming from and why you are considering doing something. At this stage, the focus should *not* be on identifying possible solutions or decisions or the aims for involving the community and others; instead this step should focus on:

- Identifying the ‘problem’ i.e. why adaptation is needed
- Setting out the aims, drivers and scope of the adaptation measure or strategy.

4.2.2 Adaptation aims can be process oriented (e.g. awareness, training) or action oriented (e.g. to physically roll-back from an area at risk). Two examples of potential adaptation aims are given in the box below.

Example of adaptation aims

Example 1 (process oriented)

It has been identified that the majority of the population living in X has little or no awareness of coastal change and related impacts. Lack of awareness is likely to be a key barrier in terms of adapting to these impacts. The Local Authority would like to address this issue. Therefore in this case adaptation means ‘increasing awareness of coastal change issues’ and the following aims have been identified:

- To identify credible sources of information for coastal change impacts
- To identify the range of communication strategies suitable for different sectors of the community
- To assess the suitability of establishing a network of ‘climate change champions’ in the community

Example 2 (action oriented)

The current rates of erosion of an undefended cliff are expected to increase in the next five to ten years thus threatening a series of assets belonging to a certain coastal community. The aims of adaptation are:

- To identify and assess the range of options to deal with the impending loss of land and assets
- To identify preferred options to deal with the potential loss that a) are economically feasible b) are socially just c) ensure the long term viability of the community and d) minimise blight

4.2.3 Dealing with **risk and uncertainties** in an open and transparent way will be a central issue in adaptation planning, and the success of community engagement will depend on handling these issues in an open, transparent and practical way. Uncertainties handled well can turn into robust adaptation planning. Uncertainties handled poorly turn into conflict, reputation damage and erosion of trust. Clarifying and negotiating risks and uncertainties with the project team provides a strong basis for project and engagement planning and needs to cover risk and

uncertainty around climate change effects, policy, politics, resources, decision making, implementation and social/community issues.

4.3 Step 2: How much engagement do you need?

4.3.1 Step 1, enables authorities to identify the aims and scale of adaptation planning required. The next step is for authorities to undertake a broad-brush assessment of resource and time issues relating to the most appropriate engagement programme for their particular situation. Working through this step can start to raise awareness of the scope, extent and type of engagement and can be a useful first step for discussions between public bodies and others involved in adaptation planning. The results will only be indicative and should be refined in later detailed process planning.

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

4.3.3 The analysis above starts to distinguish between formal consultation and ‘informal’ or scoping engagement and how to use them both appropriately. Existing practice and the new Code of Practice on Consultation¹² shows that it is useful to think about three different types of ‘consultation’. A starting point for CAPE in designing engagement is to consider which type(s) of consultation might be appropriate – at which phase - in your adaptation planning process¹³.

- **Developmental/scoping engagement:** Often called ‘informal engagement’ or ‘informal consultation’ this work is little publicised but often has the most creative – and far reaching - influence on decision-making. It enables public bodies and others to work together to define the problem, investigate uncertainties, scope the issues, generate options, and contribute to robust analysis of impacts. It is recognised¹⁴ as an essential part of informed and effective policy making, and an essential prerequisite to formal consultation: “It will often be necessary to engage in an informal dialogue with stakeholders prior to a formal consultation to obtain initial evidence and to gain an understanding of the issues that need to be raised in the formal consultation”¹⁵.
- **Formal/written consultation on options:** Formal consultation is an essential part of our democratic process and focuses on checking evidence, providing scrutiny and refining of options or preferred options. “Consultation makes preliminary analysis available for public

¹² HM Government Code of Practice on Consultation 2008, Available: <http://www.berr.gov.uk/whatwedo/bre/consultation-guidance/page44420.html>, (accessed: 16/11/09)

¹³ The 6 steps tool was originally developed by Lindsey Colbourne for Defra/Environment Agency, SD6. For the theoretical underpinning of this tool see the review of the culture and practice of collaborative approaches in FCERM: Improving Social and Institutional Responses to Flooding. Work Package 4 (part 1). Environment Agency. Colbourne 2008. All use of this tool should include credit to Lindsey Colbourne Associates and the Environment Agency, who share joint copyright.

¹⁴ See Barnett, Dr Julie (University of Surrey). Making Consultation Meaningful (2007)

¹⁵ HM Government Code of Practice on Consultation 2008, Available: <http://www.berr.gov.uk/whatwedo/bre/consultation-guidance/page44420.html>

scrutiny and allows additional evidence to be sought from a range of interested parties so as to inform the development of the policy or its implementation”¹⁶.

- **Feedback and implementation phase:** In addition to the two types of consultation, there is also a final phase which is focused on using the results in decision-making and implementation. This phase is crucial and often forgotten. “All responses should be analysed carefully, using the expertise, experiences and views of respondents to develop a more effective and efficient policy... feedback should normally set out what the decisions have been in the light of what was learnt from the consultation exercise. This information should normally be published before or alongside any further action”¹⁷.
- 4.3.4 Understanding the difference between formal and informal engagement is however not sufficient. The amount (or depth) of engagement, and the relative amounts of ‘formal’ consultation or ‘informal’ engagement will take place in a range of different situations.
- 4.3.5 There are three broad types of “decisions” (A, B and C below) which require a different amount of and approach to engagement and consultation. The types of decisions are based on the number of people affected, range of options available, how controversial the decision is likely to be etc. They represent an indicative spectrum rather than three discrete types. Table 1 below is intended to aid in the identification of these 3 decision types and the corresponding engagement needed. The first column presents a series of questions and possible answers are included in the columns marked A, B and C:

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

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

Table 1: Characterising the type of decision and depth of engagement required

Decision type	A: Limited	B: Moderate	C: Extensive
<p>Feature 1: How affected will others be by the adaptation planning decision (s)?</p> <p>How many will be affected?</p>	The decision may have very little effect on few people's public interest, health, livelihoods	The decision may have some effect on some people's public interest, health, livelihoods or, very little effect, but on many people or, severe effect but on a few people	The decision may have severe effect on many people's public interest, health, livelihoods
<p>Feature 2: How many perspectives/politics will there be?</p>	There is likely to be no significant different perspectives on adaptation planning (to ours) and no/ containable politics	There is likely to be a number of different perspectives on adaptation planning (to ours) and some politics	There is likely to be a wide range of different perspectives on adaptation planning (to ours) and significant politics
<p>Feature 3: How much support or ownership of the adaptation planning decision(s) or implementation by others is required?</p>	The 'best' decision(s) is known (lead body has strong opinion) . And we can implement alone (with or without support)	The 'best' decision(s) is open to influence, but limited options . And we can implement more easily if others work with us	The 'best' decision(s) is open to influence and there are multiple options (or lead body has no opinion). And we can implement only with sufficient support, or only with others
<p>Feature 4: Understanding of risk and uncertainty?</p>	Risk and uncertainty relevant to the adaptation decision(s) is low: understood by most	Risk and uncertainty relevant to the adaptation decision(s) is medium: understood by us (and some) but not by all others	Risk and uncertainty relevant to the adaptation decision(s) is high: poorly understood
<p>Feature 5: Timescale?</p>	Actions or decisions need to be made and implemented immediately/ very quickly	Actions or decisions need to be made and implemented over months	Actions or decisions need to be made and implemented over years

4.3.6 After answering each of the questions in the first column of the table, you should consider where the weight of answers lies:

- If mostly column A answers then the decision is characterised as Type A

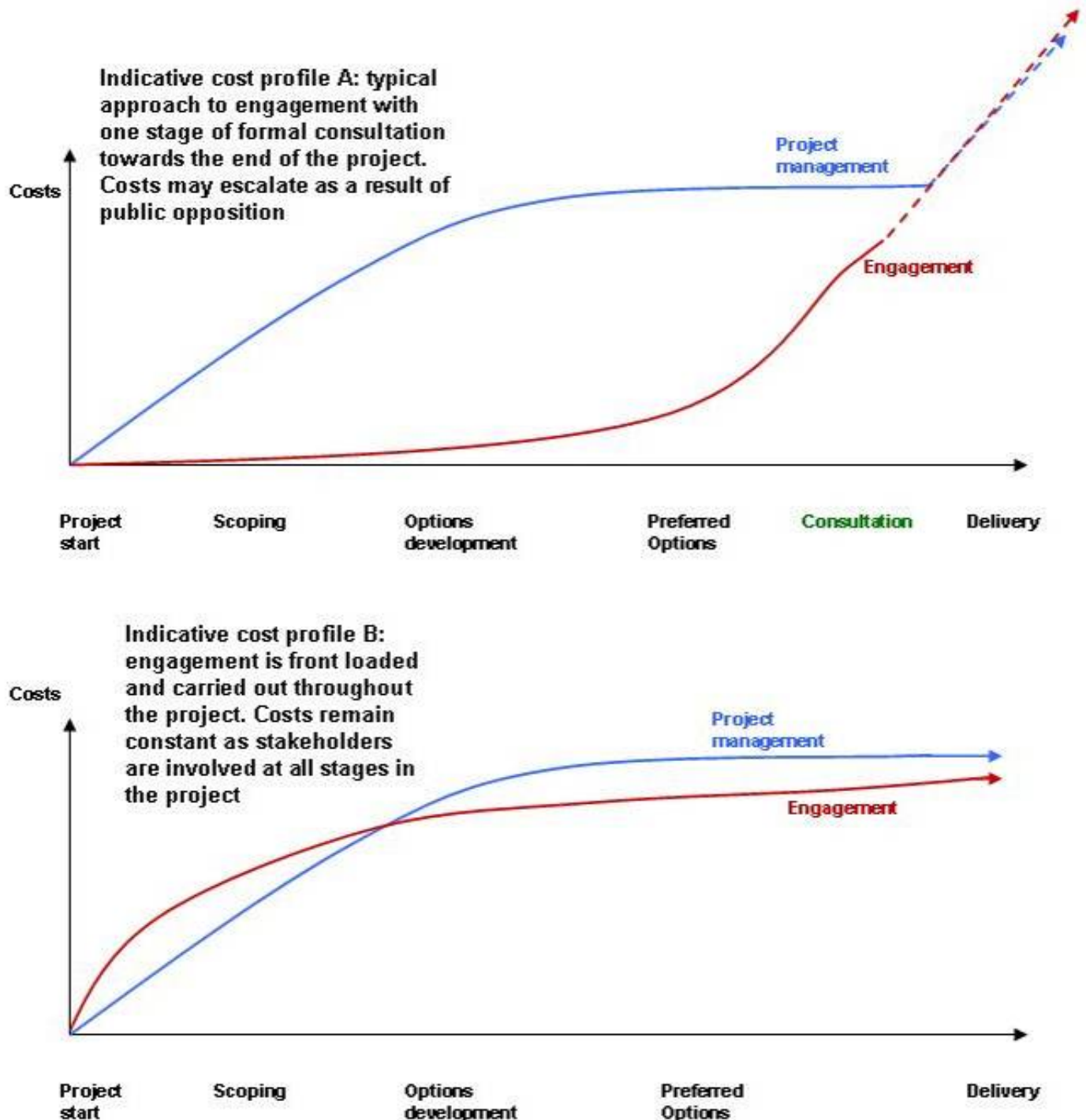
- If mostly column B answers then the decision is characterised as Type B
 - If mostly column C answers then the decision is characterised as Type C
- 4.3.7 A summary of the key characteristics of each decision type has been included below. More information on the characteristics each of the decision types can be accessed in Appendix 1.
- 4.3.8 **Type A decisions: Requiring limited engagement/consultation.** These decisions are characterised by:
- low conflict, controversy or uncertainty about the need to adapt and the options for adaptation;
 - few or no options due to the decision being constrained by time, procedure or resources; and
 - limited impact from changes and/or the numbers of people and organisations affected will be low.
- 4.3.9 Engagement here will need to be focussed on getting details right to ensure *the community understands issues and risks*. For example: *why a cliff top path was closed after a sudden coastal slip*.
- 4.3.10 **Type B decisions: Requiring moderate engagement/consultation.** These decisions are characterised by relatively low controversy about the adaptation problem or the potential solutions. However, the issue under consideration will have significant impact on many people or organisations and there is a need to:
- obtain buy-in or understanding from a limited number of stakeholders (individuals, organisations and/or communities) to ensure that the adaptation plan is well informed and deliverable; and
 - make trade-offs and compromises particularly as some stakeholders may have strong emotional reactions to loss or change implied in adaptation.
- 4.3.11 Engagement here will need to manage the different preferences and emotions amongst stakeholders in terms of options. For example: *A changing coastline affecting a relatively small number of landowners, properties, conservation or other interests such as ramblers*
- 4.3.12 **Type C decisions: Requiring extensive engagement/consultation:** These decisions are characterised by (potential or actual) high conflict, controversy and uncertainty about the problem (for instance people may be unaware about or not believe the impacts of coastal change) or disagreement about whether adaptation is the best option. The situation or decision is likely to affect many and typical challenges will include:
- Coastal issues that have significant impact on many people or organisations;
 - Specific groups, people or habitats will be affected (e.g. by a Shoreline Management Plan);
 - Significant risk of opposition which is strong enough to derail any scheme unless people are part of finding the solution;
 - One set of interests gaining while others lose out; and
 - A good deal of uncertainty about the problem to be solved (and whether it exists in the first place), and many different options for the way forward.

- 4.3.13 Engagement here will require different organisations to work in partnership to engage, fund and deliver adaptation. *For example: A changing coastline affecting significant numbers of people and communities, especially those where there is existing conflict with authorities.*

Engagement Costs

- 4.3.14 The costs of engaging residents, businesses and other interests around these different decisions vary significantly over time. Each type of situation has associated costs, obviously the more engagement the higher the costs. However, despite limited resources, it is good practice and can be more cost-effective to apply a precautionary approach and frontload the engagement efforts.
- 4.3.15 The two diagrams below are an attempt to illustrate the potential pitfalls of following an approach to engagement based on 'consulting' once the decision or preferred option stage has been reached. The lines in the diagrams are illustrative only. The top diagram exemplifies that following this approach (consultation on decision) runs the risk that the decision will cause conflict and the costs will spiral due to the need to undertake more engagement which in turn could delay delivery of the adaptation measure or project and add to the running costs of the process.
- 4.3.16 The bottom diagram illustrates a process where engagement is undertaken concurrently with the project development (continuous engagement rather than one consultation). The costs of engagement (red line) rapidly mount at the beginning of the graph but then stay almost constant. The costs of project management (blue line) also remain almost constant and unaffected by engagement costs.

Figure 2: Profile costs of different approaches to engagement



4.4 Step 3: Clarify aims and scope of engagement

What can or cannot be influenced by our work with the community and others?

- 4.4.1 The next step is to consider what the agendas and resources of relevant organisations, individuals and communities may be in relation to adaptation, and the extent of their influence on decisions and implementation. In doing so you want to manage expectations but also not exclude creative solutions. **Be very careful NOT to make ‘preferences’ into exclusions, or uncertainties into false certainty.**
- 4.4.2 Opinion on what can be influenced will vary among organisations you are collaborating with as they may be able to influence things that individuals or communities may not. You need to be clear who ‘we’ is in considering who is being influenced.
- 4.4.3 A useful way of thinking about this is to list the issues into three categories:

Table 2: Scope to influence adaptation planning decisions

Very Limited Opportunity to Influence	Some Scope to Influence:	Open to Influence
<p>Examples</p> <p>Increasing coastal erosion in an area has caused the relocation of several properties and businesses that are located on a cliff</p> <p>At least 350ha of intertidal habitat needs to be created to meet EU obligations, capable of designation within 20 years</p>	<p>Examples</p> <p>There is a need to relocate a caravan park. The local authority will need to designate land in their Local Development Framework. Several suitable plots have been identified by Local Authority planners</p>	<p>Examples</p> <p>What leisure facilities and public access should be maintained, changed or enhanced</p> <p>What people and communities want to do themselves to adapt to climate change</p> <p>Tap new or alternative sources of funding to increase options</p> <p>How best to raise awareness of the impacts of climate change</p>

Set clear aims for the engagement side of CAPE

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

Examples: statement of engagement aims

Example 1

Authority (.....) will work with active groups, residents, landowners and businesses in (.....town/area) to raise awareness and understanding of coastal change and to work together in an inclusive, open and transparent way [within the Community Strategy Process], to identify how the town should adapt to coastal risks (if at all). Recommendations will inform adaptation options bearing in mind what is technically feasible, publicly acceptable, most financially viable and environmentally acceptable.

Example 2

Authority will work with the local community, businesses and voluntary sector to identify ways to raise awareness of climate change impacts and thus build capacity and empower communities to adapt. Particular care will be taken that hard to reach groups and those not normally represented will be engaged.

- 4.4.5 Linked to the aims of engagement should be awareness that engagement is not an end in itself but a means to an end (i.e. getting support for an adaptation measure, improving the decision making process).

Box 1: Case Study Medmerry Managed Realignment: Community and stakeholder engagement plan

The Environment Agency is currently developing a managed realignment scheme in Medmerry. Alongside this scheme, a detailed stakeholder engagement plan has been prepared. The initial engagement on the Medmerry managed realignment scheme took place at a workshop held at Selsey Town Hall. This workshop was attended by 52 people and was professionally facilitated. The workshop has led to the establishment of a Stakeholder Advisory Group with representatives from local authorities, parish councils, residents groups, farmers, local partnerships and fora, business groups, etc. The main role of the group will be to act as the 'voice of the local community'.

The Medmerry Managed Realignment: Community and stakeholder engagement plan sets out in more detail the objectives of this group. This document also sets out the timetable for future meetings and how these meetings fit in with the scheme's timetable. Their stakeholder engagement plan can be accessed at the EA website¹⁸:

http://www.environment-agency.gov.uk/static/documents/Business/MedmerryMR_Community_and_Stakeholder_Engagement_Plan_October2009.pdf

4.5 Step 4: Identify who to engage

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

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

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

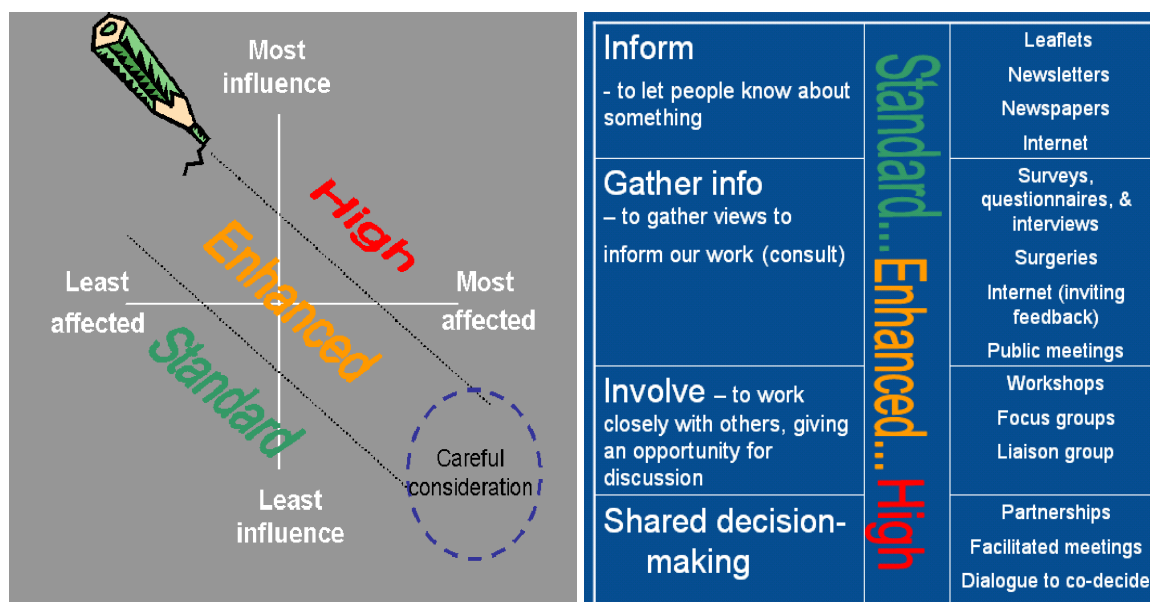
4.5.3 Once you have your stakeholder categories, you should brainstorm as many stakeholders as the team can think of – *under each category* that you have identified needs to be covered. Be as specific as possible, listing individual departments or even individuals within departments for example, rather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

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

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

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

Figure 3: Stakeholder analysis¹⁹



- This should help you identify which stakeholders fall into ‘standard’, ‘enhanced’ and ‘high’ levels of involvement, and starts to give some ideas as to the types of engagement you may need to offer.
 - **‘Standard’ stakeholders** may need to be offered ways of their being kept informed (e.g. letter, newsletter, internet) as well as ways of informing decisions taken in a fairly light touch way (e.g. an opportunity to take part in a questionnaire, exhibition, formal written consultation);
 - **‘Enhanced’ stakeholders** will expect access to all that is offered to ‘standard’ stakeholders. They may need an additional opportunity for interaction or a deeper level of input to decision making (and taking action as a result of those decisions) through an opportunity to take part in ongoing advice, liaison or task groups. Those who fall into the bottom right hand corner are candidates for careful consideration – they may need particular support or access to decision making (for example going to their house, meeting place, working through peers etc), or to capacity building to enable them to respond to decisions made (standard communications such as flood warnings are unlikely to be sufficient);
 - **‘High’ stakeholders** will expect the opportunity to actually help to shape the work, or work collaboratively through partnership, dialogue, liaison and task groups. Those who fall into this category should be given the opportunity for involvement, no matter what past experience or conflict has been experienced.

4.5.5 Information on stakeholders can now be compiled in some detail, perhaps including what you know of their interests, what they want to achieve, how involved they want to be. This

¹⁹ Fig 3: Building Trust with Communities framework developed by InterAct Networks and the Environment Agency © 2009

information will constantly evolve – the stakeholder analysis is only a ‘first guess’. It is going to be up to the stakeholders themselves to decide when they want to take part (and how). Recording information may involve the use of audits, building a shared data-base and establishing ways of updating these as information comes to light, for example, whether they attended an event, are on a liaison group, prefer email or paper updates.

Table 3: Example table to record stakeholder information

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

4.6 Step 5: Drafting an integrated engagement and project plan

4.6.1 Steps 3 and 4 will have highlighted the range of different ways in which you may need to engage stakeholders in making, delivering and responding to decisions around adaptation planning. In this fourth step, you will need to start considering how these activities can be undertaken in a way that builds on - or links to - existing planning processes and statutory requirements, and existing groups, initiatives and activities. The timescales for the engagement should be commensurate with the nature of the decision, e.g. controversial decisions may require longer engagement.

4.6.2 The result of this step should be:

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

4.6.3 An integrated engagement/project plan will need to be designed to suit the project team's working practices. It may evolve into a Gantt chart or other project plan. Two things in particular need attention (see table in Appendix 2):

- How the decision making process will be structured from start to finish (see column two in the table in Appendix 2), including how it relates to the outcomes of existing processes, what has already been done (by whom and how); and
- What engagement and technical or statutory activities will need to be undertaken, how they fit together and where changes will be made to ensure a good fit (columns 3 – 5 in the table in Appendix 2).

- 4.6.4 A real life example of how the engagement programme plan has been translated into a flow diagram (Shaldon engagement around a flood defence scheme) is provided in Appendix 2.

Box 2: Case Study: Slapton Innovation Project – South Devon AONB Unit

Slapton Sands is a popular three mile long shingle beach in South Devon which carries the main A379 road, has three public car parks and a village and forms part of the larger coastal and wetland Slapton Ley National Nature Reserve.

The Slapton Innovation Project is an example of existing good practice in community adaptation planning and engagement. A series of formal structures have been established. These comprise the Slapton Line Partnership Steering Group (including key agencies, authorities and land owners), supported by a Local Advisory Forum (including parish councils, transport operators, emergency services, utility services and so on) and a local business forum. These structures are serviced by a dedicated project officer and supported by other staff specialising in communications and community work.

A wide range of communication media have been used to engage with local communities including meetings, newsletters, website (www.slaptonline.org), the commissioning of attitude and awareness surveys, etc.

Those involved in this work highlight the following elements as key to success:

- high level political buy in
- senior officers at director level and local elected councillors involved in the decision-making
- the establishment of bespoke decision-making structures at the right geographical area
- the employment of a community officer at a senior level
- the availability of a project budget for proposals generated by the community engagement process
- engagement with the local business community

These elements have been key in turning around a situation which had been characterised by serious controversy following storms in 2001 which damaged the coast and temporarily closed the main coast road.

5 Step 6: Publish your commitment to engage

5.1 Introduction

5.1.1 The project team will have, from step 1 onwards, engaged formally and informally with a wide range of people and groups in order to get to this point in the process. CAPE working groups may have significant representation from the voluntary and community sectors locally. A suggested approach is for public bodies and others to enshrine their intent and direction in a local 'charter', although there will also be other routes available such as a compact (with wider voluntary sector) or a cabinet level report (less inclusive).

5.2 Local Charters

5.2.1 Experience from the Young Foundation and the Communities and Local Government (CLG)²⁰ suggests that publishing a local charter can be a useful way of showing and sharing commitment to community interests. A useful starting point in developing a charter will be the Planning Department's Statement of Community Involvement and in some cases a local authority's Voluntary Sector Compact²¹ and LSP commitments to community engagement. The CLG report suggests that charters can contribute to:

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

5.2.2 Developing a charter can involve significant officer time (regeneration experience suggests between 25 and 40 hours). However, this could be seen as time well spent since it will 'trumpet' your standard for working with coastal communities, spell out the hoped for outcomes as well as acknowledge the constraints that public agencies as well as communities and community representatives might be under. In the case of CAPE, a charter **is not** presenting to a coastal area the adaptation plan itself, but rather how the many different interests within a given coastal strip, using the CAPE framework will work together to **achieve** a trusted, holistic adaptation plan and projects.

5.2.3 Although charters often focus on 'process' goals, these outputs need to be rooted in agreed outcomes. In other words, what will have changed locally in 3 years, 5 years and 10 years. These will need to be measurable and realistic and convey the vision of where you are going. Charter outcomes can be grouped around standards and support, awareness and understanding, structures, roles, community resilience and plans. See Appendix 4 for further help in drafting your charter.

²⁰ How to develop a local charter; A guide for local authorities, Jan 2008, CLG. See also appendix 8

²¹ Joint Compact Action Plan 2008 – 2009, Available: http://www.thecompact.org.uk/shared_asp_files/GFSR.asp?NodeID=101401 (accessed: 16/11/09)

- 5.2.4 Public bodies may want to use their charter to deal with more than adaptation planning and use it to reinforce or integrate, for example, their commitment to Integrated Coastal Zone Management (ICZM, see section 8.2).

6 Step 7: Choosing your engagement methods

6.1 Introduction

6.1.1 Step 6 provides guidance for the project team to consider the way in which it wishes to engage with different interests. The engagement methods presented here are only methods, they do not in themselves tell you what to say or how to say it. Many methods involve deep and important conversations between two individuals and need to be delivered sensitively. With some conversations and written statements you may only get one chance. This is an important consideration given that emotions often run high when individuals, neighbourhoods and even whole communities face or fear loss of land, homes, jobs, social networks, habitats or facilities. People may want to express strong feelings of loss, despair, anger, denial and resistance in public meetings and around the table. Use your emotional intelligence appropriately (6.2 below).

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

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

6.1.3 'Coordination and networking' is an additional 'type', and is a background low-level activity which should be carried out in tandem with the other types of engagement. Methods such as visioning or scenario planning may be particularly apt for adaptation planning given the longer term nature of many of the impacts of coastal and climate change. These and other methods have been included in Appendix 5.

6.1.4 Table 4 below provides a worked example for the 'Giving Information' type of engagement, to show a range of appropriate engagement methods if you want, for example in this case, to start building up knowledge and awareness (centre column 'Why you might want this type of engagement'). This can help to identify the appropriate type of technique for each stage of the process. The full version of the table can be found in Appendix 5.

Table 4: Worked example of an engagement type

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

6.2 Loss and grief - implications for CAPE

- 6.2.1 Loss could involve the disappearance of something cherished, such as a person, possession, land or property. Grief is a common response to loss. In terms of loss of home or land there can be multiple layers of loss, both tangible, physical losses and intangible, symbolic losses. i.e. loss of the home but also loss of status as homeowner, loss of history, memories and connections to place.
- 6.2.2 A 'grief' reaction can occur both prior to loss (anticipatory grief) and after loss. Research has shown that anticipatory grief can help in terms of dealing with grief after the loss itself. There will be less likelihood of a prolonged, complicated or extreme reaction. Members of the project team can play an important role in building in the appropriate sensitivities into their engagement and allowing and / or facilitating anticipatory grief.
- 6.2.3 For further help on dealing with this aspect of CAPE, and in particular to explore the relevance of Stroebe and Schut's dual process model of how people deal with loss see Appendix 6.

7 Building capacity across all interests

“Building capacity requires continuous effort to raise levels of knowledge amongst stakeholders about both physical coastal processes and decision making mechanisms.”
(Peter Frew, Head of Coastal Strategy, North Norfolk District Council)

- 7.1.1 Capacity building can take many forms and is an important investment at all stages of CAPE in terms of the 6 Steps identified above. Each key stage identified in this guidance has a corresponding capacity building element – for the project team, public sector organisations, key community players and residents and other interests (e.g. landowners). Given that CAPE is ultimately about developing the community’s capacity to play a full part in adaptation planning and even to lead on adaptation measures, longer term community development and empowerment work is essential.
- 7.1.2 The role and brief of community development workers should be agreed locally between key voluntary sector organisations and the project team. Experience from case studies suggests that in some areas community organisation infrastructure is limited or very much dependent on one or two individuals and capacity building may assist individuals and groups within the *community* to play a full part in adaptation planning. Community development can also help to strengthen voluntary and community groups and democratic processes as well strengthen community resilience, the involvement of harder to reach groups and vulnerable households who are isolated geographically or because they are particularly affected by coastal change.
- 7.1.3 But capacity building is also required within *public sector organisations* and the processes they use, as working with communities on adaptation planning can require significant changes in skills, processes and attitudes. To this end, the Environment Agency and the Department for Communities and Local Government have developed community engagement guidance for their own staff and other public sector agencies. See Appendix 7 for these and other relevant resources for public sector organisations. Some capacity building measures will be project team focused, for example getting up to speed with the different roles, who does what, where resources for CAPE are coming from, how people can best work together (for example through team building and inclusive visioning. See Appendix 5 for more on these and other methods of engagement and when they should be used.)
- 7.1.4 A useful place to start in relation to capacity building for adaptation planning is to consider the roles required and how best to manage the roles between the stakeholders. A public sector body may operate in a number of roles, often undefined and sometimes potentially representing a conflict of interests or a barrier to working with others. For example, the Environment Agency may act as expert advisor, decision-maker, funder and implementer of a potential flood defence or realignment scheme. At the same time, they may run meetings or partnerships to input or steer the work. A community-based approach to adaptation planning may involve developing a partnership approach to decision-making, funding and implementation, based on discussions convened by an independent third party. Discussions would draw on expert advice from the Environment Agency together with other expertise, including local expertise, and the views of those most affected. Potential roles therefore could include:
- *Decision-maker.* Who/what body will take decisions?
 - *Advisory/expert.* What (range of) advice/expertise is required to make informed, implementable decisions, and who can provide it in a way that will be trusted?

- *Affected community.* Who can input (represent) the full range of interests of those affected?
 - *Implementer/contractor.* Who might play a role in delivery (and how does implementation expertise get reflected in adaptation planning)?
 - *Independent broker or facilitator.* Who could act as a neutral third party to ensure fair and productive discussions, and a fair process?
 - *Resourcing.* Who could potentially bring the necessary resources (funding, land, operational capacity) required to support the adaptation planning process and implement the results?
- 7.1.5 National and regional empowerment networks exist to support community groups and organisations working towards involving communities in decision making. See Appendix 7 for resources and training offered by these networks and other sources, involving public and voluntary sector organisations.

8 Working with other planning processes on the coast

8.1 Introduction

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

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

8.1.2 Appendix 3 contains a more detailed explanation of these existing processes and their relevance to CAPE. An understanding of the decision making processes affecting the coast is an essential aspect of the situation analysis. These processes constitute key opportunities to engage communities, organisations and individuals in planning for adaptation.

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

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

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

Box 3: Case Study: Partnership Working at the Regional Level – 4NW

4NW is the Regional Leaders Board in the north west of England. 4NW has responsibility for housing, planning, transport and, together with the Regional Development Agency, economic development.

A network of local coastal and estuary partnerships have developed in the north west, with support of coastal communities, local authorities, government agencies and others including the private sector. These partnerships make important contributions to promoting sustainable development and use of the coast. In addition the north west has a regional coastal partnership, which also includes the shoreline management planning groups and the three regional governance bodies: 4NW, the NWDA and Government Office. 4NW works closely with the North West Coastal Forum, hosting its secretariat and working alongside bodies with an interest in the coast to progress sustainable development, management and use of the north west coast, including seeking to influence emerging national and regional policy relating to marine and coastal issues.

8.2 Integrated Coastal Zone Management (ICZM)

'Integrated Coastal Zone Management means adopting a joined-up approach towards the many different interests in coastal areas – both on the land and at sea. It is the process of harmonising the different policies and decision-making structures, and bringing together coastal stakeholders to take concerted action towards achieving common goals. Integrating the many different interests effectively means we can look at the coast in a holistic way'. (Defra 2008²²)

8.2.1 ICZM in the UK and Europe is emerging as a holistic and comprehensive approach to the integration of the many different interests in coastal areas – both on the land and at sea. Although still relatively young as an approach, Defra identified its longer term importance and direction in a strategy issued in 2008²³. The Department's approach, based on the European Commission's recommendations of eight key principles for ICZM²⁴ embraces a vision which includes four drivers particularly relevant to CAPE:

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

²² Defra (2008) A strategy for promoting an integrated approach to the management of coastal areas in England, available at <http://www.defra.gov.uk/environment/marine/documents/iczm/iczm-strategy-england.pdf> (accessed: 18/11/09)

²⁴ European Commission 2007 Com (2007) 308 final – Communication from the Commission – Report to the European Parliament and the Council: An evaluation of Integrated Coastal Zone Management (ICZM) in Europe. See: www.eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2007:0308:FIN:EN:PDF page 5, para 3.1

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

Box 4: Case Study: Suffolk ICZM

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

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

A very good example of an ICZM driven plan relevant to coastal change 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.

9 Part B – Appendices and further resources for developing CAPE

(In a separate volume)

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