Strategic planning for flood and coastal risk management: Shoreline management plans - monitoring, change and reporting

Environment Agency Asiantaeth yr Amgylchedd

Operational instruction	D12_34	Issued 07/09/2012

What's this document about?

This document establishes an approach to:

- consistently implement Shoreline Management Plan (SMP) actions;
- enable SMP actions to drive our business and that of our partners;
- accurately monitor and report on the extent and success of SMP implementation;
- keep the SMPs relevant and current.

Who does this apply to?

This document applies to England only, specifically:

- Area Partnership and Strategic Overview Technical Specialists and Team Leaders;
- Area Coastal Engineers, and other Area teams responsible for delivering the policies and actions in the SMPs;
- Area Managers; Area FCRM Managers; Area Coastal Managers
- Regional FCRM Programme Managers; Regional FCRM Executive Managers; Regional Asset Investment and Planning teams

Document details

Related documents

Feedback

Contact for queries

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Contents

Introduction

Approach to SMP implementation and review

Coastal Groups formed Client Steering Groups, each under a 'Lead Authority', to develop 22 Shoreline Management Plans (SMPs) across England and Wales. Environment Agency Wales is working with Welsh Government to draw up arrangements for implementation, monitoring, reporting and updating Welsh SMPs with the transition to the new Single Body for Wales. This document therefore applies to England only, including the English parts of the two cross-border SMPs.

To help implement the Environment Agency Corporate Strategy, we want these plans to guide and drive flood and coastal erosion risk management activities so that, together with our partners, we will achieve more sustainable outcomes for communities.

As partnerships between the Environment Agency, maritime local authorities and other key organisations, Coastal Groups use SMP action plans to inform the development of investment plans such as the Medium-Term Plan. Across the suite of individual SMPs in England, working in partnership to collate and monitor relevant action plan information in a more consistent format should:

- increase confidence and efficiency in investment planning;

- help all interested parties keep track of progress, and

- enable the Environment Agency to report on SMP implementation.

The Environment Agency Service Level for "FCRM Strategic Overview" includes monitoring and reporting service levels for Area teams.

Links to other strategic plans

As part of the Strategic Overview for flood and coastal erosion risk management, the Environment Agency advocates a strategic, long-term, risk-based approach to planning. SMPs, along with Catchment Flood Management Plans (CFMPs), are an important part of this strategic framework. This document mirrors the instructions for monitoring, updating and reporting on CFMP progress and change, so the Environment Agency can maintain a comparable Strategic Overview of inland and coastal risk management and collate and process information efficiently. However, as SMPs are developed and managed by partnerships in Coastal Groups, there are differences.

In implementing SMPs and CFMPs, we also aim to support the objectives established within the River Basin Management Plans (RBMPs) prepared under the Water Framework Directive.

Keeping SMPs up to date

In order to adapt to changing circumstances the SMPs must be kept valid by updating them as necessary. Changes to these plans must be managed in a transparent and consistent way that includes appropriate governance and consultation procedures that reflect those used in SMP development.

New legal duties to plan and report

Section 18 of the Flood and Water Management Act 2010 creates new responsibilities for the Environment Agency to report to Ministers on the application of the National FCERM Strategy. SMP implementation progress and changes are an important aspect of that reporting.

The implementation and update of SMPs is also part of our groundwork for ensuring we are in a position to provide the Flood Risk Management Plans required under the Floods Directive. The Flood Risk Regulations 2009, which transpose the Directive, mean we have a duty to prepare a Flood Risk Management Plan for each River Basin District, drawing upon existing information from strategic plans such as SMPs. The Environment Agency must report to Europe on a cyclical six yearly basis detailing progress of risk management objectives and measures. In a bid to support and collate the necessary information we need to act now to ensure compilation of suitable data; the first report under the Regulations is due in 2015.

What do we need to do?

Coastal Groups and the Environment Agency need to work in partnership to:
- draw together and maintain relevant information about SMP action implementation progress;
- report annually to the Environment Agency Head Office on SMP action implementation using a spreadsheet (based on Appendix 1a, Action Monitor);
- use transparent change management procedures that enable SMPs to be revised and updated;
- report annually to Environment Agency Head Office on changes to each SMP, using a spreadsheet (based on Appendix 1b, Change Monitor);
- draw on the SMP actions to inform the investment planning process which is managed by Environment Agency Asset Investment and Planning (AIP) teams;

Note: Coastal Groups maintain different governance approaches to managing SMP implementation and may include remnant Client Steering Groups, SMP Lead Authorities or 'Coastal Action Groups'. Arrangements will vary across England, so these will hereafter be referred to as 'SMP sub-groups' in this document. It is for the Coastal Groups to decide how their governance structures link to the framework set out in this document.

Monitoring progress against SMP actions

The approach to monitoring

To record and monitor progress against SMP actions, action plans should be collated and prioritised by Coastal Groups or their SMP sub-groups..

So that the Environment Agency can report SMP implementation to Ministers and to Europe in a consistent way, mandatory information to monitor progress is set out in Appendix 1a (Action Monitor) of this document Any monitoring arrangements for SMPs must capture the information set out in this spreadsheet.

Within the Action Monitor spreadsheet, progress on implementing each SMP action can be recorded in the "Action Progress Status" field once other fields containing contextual information have been completed.

What do we need to do?

Environment Agency Areas must work with Coastal Group partners to ensure an appropriate and auditable system is in place to record and prioritise SMP actions and monitor progress, using the categories of information outlined in the Action Monitor spreadsheet as a minimum.

! Important

Please do not alter the format of the spreadsheet – it is your record of reporting requirements. This spreadsheet need not be used by the Coastal Group/SMP sub-group as the primary monitoring mechanism, but the information parameters in this spreadsheet should be provided for the purposes of annual reporting of progress against SMP actions to Environment Agency Head Office (see section on 'Reporting').

Notes on the Action Monitor spreadsheet:

Priority and Implementation Cycle: These require consideration of risk, and resources and will be based upon action plan prioritisation undertaken by the Coastal Group.

Action reference: With the development of a national database for reporting, these will follow a nationally consistent format for the purposes of both SMP and CFMP reporting based on Environment Agency Area, SMP name, Policy Unit, epoch and unique action reference. Until this system is developed, please use the action referencing you have developed locally.

Action Activities and Themes: Looking at the Action Description, decide which Activity type each action belongs to from the spreadsheet's drop-down list. The 'Theme' (prevention, protection or preparedness) is then automatically populated – they broadly describe the primary objective of each Activity. The Activities and Themes are used in national reporting against the Floods and Water Directive and the Flood Risk Regulations, and are consistent with those used for Catchment Flood Management Plans.

Action Progress Status: Ensure each SMP action has an up-to-date progress status to allow SMP implementation to be accurately monitored.

When should it be done?	This SMP implementation monitoring system should be used from April 2012, with the first annual submission reporting progress due by the end of the second week in April 2013.
	A full timetable for the SMP implementation, monitoring and reporting cycle is provided in Appendix 2.
Who should do it?	**Overall responsibility:** As part of the Strategic Overview, the Environment Agency Area FCRM Manager or Coastal Manager is ultimately responsible for ensuring an appropriate system is in place to enable SMP implementation to be monitored in accordance with the requirements set out in this document.
	Administration: Coastal Groups will decide how action plan prioritisation, monitoring and recording is undertaken and who will administer the system. This could be undertaken by an SMP sub-group or by Environment Agency Area Partnership and Strategic Overview (PSO) teams, supported by Coastal Engineers and other staff as appropriate. Those administering the system will need to ensure that the information categories in the Action Monitor spreadsheet are included in the monitoring parameters.
	PSO teams are responsible for ensuring their Area GIS layers for SMPs and National Coastal Erosion Risk Mapping are kept updated (see 'GIS Information' section).
	Support: The National Strategic Overview Team will provide support and guidance to Area teams when and where necessary to facilitate effective SMP monitoring.
	Coastal Group Chairs should champion the effective operation of this system.
GIS information	Environment Agency Area teams need to contribute to the National GIS layer of all SMP Policies and associated attribute data. Areas will be responsible for the quality of the GIS layer for their locations and updates will be coordinated nationally. The national GIS layer shall be made available to customers in accordance with the relevant data sharing procedures. The GIS layer is posted on the Easimap and can be found in I:\National\Agency_Infrastructure\ shoreline_management_plan_2.
	The reporting spreadsheet in Appendix 1 includes the required GIS attribute data.
	***Note**: the GIS data will be evolved over time: teams will receive further guidance from the Head Office Strategic Overview team.
! Important	Ensure that each SMP policy unit has a unique identifier for each epoch. With the development of a national database for reporting, these will follow a nationally consistent format. Until this system is developed, please use the policy unit referencing you have developed locally.
	Changes to the GIS layer attributes reflecting action plan progress will be undertaken annually.

Changing and Updating the SMP

The approach to SMP change and updates

Changes to SMPs may be necessary because of:

- significant new **research** or evidence on parameters that informed the decisions taken whilst developing the SMP;

- significant changes in **Government policy** – such as on spatial planning and adaptation – since the SMP was approved;

- significant new evidence arising from further investigation into local options, such as from a **Strategy Plan / scheme feasibility study**;

- a severe **event** has made an element of the existing SMP policy or action plan untenable;

- textual **correction or clarification** of meaning required since SMP approval;

- **organisational change** amongst those involved in SMP development that may affect SMP implementation;

- a need to update or amend programmes of work following **work progressed**.

When recording changes in the Change Monitor in Appendix 1b, please use one of the descriptors in bold above, or choose 'other', so reasons for changes can be reported nationally in a consistent way. As part of the monitoring and reporting processes set out in this document, Coastal Groups should review SMP policy options and action plans annually, to ensure they remain compatible with Strategy Plans and to identify any issues that may affect implementation. This review may prompt changes that need to be made to the SMP. Alternatively, any individual or organisation may propose a change stemming from one of the reasons outlined above, and this can be put forward for consideration within the Coastal Group if it has the support of the Environment Agency, a local authority within the SMP area, Natural England and/or English Heritage.

The change process is set out in Appendix 3. It is not an opportunity to re-visit decisions that were consulted upon in developing the SMP, if unprompted by the new circumstances listed above. It is a mechanism for keeping SMPs 'living' documents, for ensuring they continue to be based upon the best available evidence, and to improve future outcomes.

The change process in Appendix 3 is a generic framework which can be used across all SMPs regardless of whether original governance and approval mechanisms are still in place within Coastal Groups. It has been agreed following discussion with Defra, Coastal Group Chairs, the East Anglia Coastal Group, and a number of coastal managers, practitioners and local authority elected members involved in SMP development and implementation.

So that the Environment Agency can report SMP implementation to Ministers and to Europe in a consistent way, mandatory information to monitor change is set out in Appendix 1b (Change Monitor) of this document. Any monitoring arrangements for updating SMPs in light of agreed and approved changes must capture the information set out in this spreadsheet. Each change should be given a unique reference number by the Environment Agency Area teams. With the development of a national database for reporting, these will follow a nationally consistent format. Until this system is developed, please use the policy unit referencing you have developed locally.

What do we need to do?	Environment Agency Areas must work with Coastal Group partners to ensure the process for making changes to SMPs described in Appendix 3 is followed, and capture the summary information shown in the Change Monitor spreadsheet (Appendix 1b).
! Important	Please do not alter the format of the Change Monitor spreadsheet – it is your record of reporting requirements. This spreadsheet need not be used by the Coastal Group/SMP sub-group as the primary change monitoring mechanism, but the parameters in this spreadsheet should be provided for the purposes of annual reporting of changes to Environment Agency Head Office (see section on 'Reporting').
When should it be done?	This SMP change process and monitoring system should be used from April 2012, with the first annual submission reporting changes due by the end of the second week of April 2013. A full timetable for the SMP implementation, monitoring and reporting cycle is provided in Appendix 2.
Who should do it?	**Overall responsibility:** As part of the Strategic Overview, the Environment Agency Area FCRM Manager or Coastal Manager is ultimately responsible for ensuring an appropriate system is in place to enable SMP change to be managed and monitored in accordance with the requirements set out in Appendices 1b and 3. **Administration:** Coastal Groups will agree how change management is administered within their individual governance structures (such as using an SMP sub-group), in accordance with the framework outlined in Appendix 3. Regardless of governance structures, for change management purposes they should include

- relevant local authorities within the SMP boundary (this may in some cases mean all local authorities within the SMP);

- the relevant Environment Agency PSO teams (supported as necessary by Coastal Engineers and other staff);

- English Heritage and Natural England, and

- the remnant SMP Lead Authority if relevant and different from the above.

The 'Change Managers' listed above will need to ensure that the information categories in the Change Monitor spreadsheet (Appendix 1b) are captured. They may wish to nominate a lead authority for the change process, who would maintain lists of stakeholder contacts, co-ordinate communications between Change Managers and to stakeholders, commission work, keep the applicant informed of progress, maintain an audit trail and handle change approvals & publication.

Each of the organisations involved should nominate an agreed point of contact and make the necessary preparations for approvals within their organisation in good time.

PSO teams are responsible for ensuring their Area GIS layers for SMPs and National Coastal Erosion Risk Mapping are kept updated (see 'GIS Information' section below).

Who should do it? (cont'd)

Approval: The change process set out in this document is deliberately non-prescriptive about routes of officer and elected member approval within or between local authorities, as these are likely to vary.

All 'moderate' and 'major' changes potentially impacting upon a nationally or internationally designated nature conservation site must be approved by Natural England, and potential impacts upon historical features such as Scheduled Ancient Monuments must be approved by English Heritage.

All 'major' and 'moderate' changes should be approved by the relevant Regional Flood and Coastal Committee (RFCC), or a delegated sub-group of it. The Environment Agency will only approve these changes after they have been approved by the RFCC. This is because RFCCs agree the programme of funding for FCRM works and are responsible for 'reviewing and endorsing' SMPs. They therefore have an important role in scrutinising the credibility of an SMP, and any changes to it. 'Major' and 'Moderate' changes generally involve new work proposals or changes to the scope of existing work proposals that are likely to have funding implications and wider impacts.

All 'major' changes should be approved by the Environment Agency Regional Director. The Regional Director may wish to approve 'moderate' changes on a discretionary basis. Otherwise, the Environment Agency Area Manager is responsible for ensuring 'moderate' and 'minor' changes are approved at an appropriate level within the organisation: this does not mean the Area Managers needs to approve all of these changes themselves.

Consultation: A range of stakeholders at the coast may need to be informed of proposals to change an SMP, and they may wish to be consulted during the process. These may include:

- County authorities in their capacity as Lead Local Flood Authority. They have a duty to co-operate with other authorities within and adjacent to their boundaries, and are responsible for supporting SMP implementation.
- Other government departments/agencies and non-government organisations whose work or interests may be impacted. Infrastructure providers, utility companies, land managers and environmental organisations are likely to be interested in SMP change.
- The public, including individuals, community or interest groups, and Parish Councils.
- Local authorities bordering the relevant SMP boundary, who may be affected by change.

Change Managers should agree how and when they are consulted.

Support: The National Strategic Overview Team will provide support and guidance to Area teams when and where necessary to facilitate effective SMP change management and monitoring.

Coastal Group Chairs should champion the effective operation of this system.

GIS information	Environment Agency Area teams need to contribute to the National GIS layer of all SMP Policies and associated attribute data. Areas will be responsible for the quality of the GIS layer for their locations and updates will be coordinated nationally. The national GIS layer shall be made available to customers in accordance with the relevant data sharing procedures. The GIS layer is posted on the Easimap and can be found in I:\National\Agency_Infrastructure\shoreline_management_plan_2.

The reporting spreadsheet in Appendix 1 includes the required GIS attribute data.

***Note**: the GIS data will be evolved over time: teams will receive further guidance from the Head Office Stratgeic Overview team.

! Important	Ensure that each SMP policy unit has a unique identifier for each epoch. With the development of a national database for reporting, these will follow a nationally consistent format. Until this system is developed, please use the policy unit referencing you have developed locally.

Changes to the GIS layer will be undertaken annually, although major changes may be accommodated on a case by case basis. When Areas change the SMP policy unit shape file or attribute data (e.g. the policy) they must:

1. Ensure the necessary governance arrangements and approvals have been followed for the scale of the change (see 'Updating the SMP' below);
2. Provide a revised shape file that or attribute data that conforms to EA quality standards (i.e. no overlaps or gaps);
3. Provide the revision to the Environment Agency Geomatics team.

Please note that the changes have been made in the spreadsheet in Appendix 1a.

NCERM information	Area teams need to contribute to the maintenance and updating of the National Coastal Erosion Risk Mapping information. All SMP policy changes need to be recorded and communicated by the PSO team to the Environment Agency Head Office Strategic Overview team. This will ensure any SMP policy revisions are updated and reflected in the latest NCERM datasets.

Funding changes to SMPs	Management of major changes may be eligible for funding through FCRM Grant in Aid. Some moderate changes may also be eligible on a case by case basis, as decided by the Large Projects Review Group.

Reporting SMP progress

The approach to reporting

Once SMP action plans have been collated, prioritised and entered into the spreadsheets supplied in Appendix 1, the administrative burden of SMP monitoring and reporting should be minimal. Progress and change parameters will be monitored and recorded consistently under local arrangements decided in Coastal Groups and supported by Environment Agency PSO teams, who will ensure the information shown in the spreadsheets is provided for the purposes of annual reporting to Head Office

These annual reports will in turn inform the highlights to be included within each Coastal Group's annual report. Once collated by Environment Agency Head Office Strategic Overview team, the SMP annual reports will also be collated into a national version which will be published on the Environment Agency website. This in turn will inform the reports to Ministers and Europe under the legal duties outlined in the introduction to this document. Drafts of these reports will be reviewed by RFCCs prior to finalisation.

What do we need to do?

Environment Agency Areas and Coastal Group Chairs must ensure the Head Office Strategic Overview team receives reports against individual SMPs so that national reports can be pulled together on time. They must ensure that the information parameters shown in the spreadsheets in Appendices 1a, 1b and 1c are provided for the purposes of annual reporting to Head Office.

When should it be done?

A full timetable for the SMP implementation, monitoring and reporting cycle is provided in Appendix 2.

Who should do it?

Overall responsibility: As art of the Strategic Overview, the Environment Agency Area FCRM Manager or Coastal Manager is ultimately responsible for ensuring annual SMP progress/change reports are returned to the Head Office Strategic Overview team according to the timetable set out in Appendix 2. This responsibility extends to ensuring that the content of reports corresponds to any updates to Environment Agency SMP GIS files and the National Coastal Erosion Risk Mapping.

Administration: Coastal Groups should send completed reports to the Environment Agency Head Office Strategic Overview team. Environment Agency PSO teams / Coastal Engineers and other staff should support this process, and reporting may be delegated to them by the Chair. In these cases, PSO teams should work together to establish an SMP reporting 'lead' for each SMP, who can liaise with the Head Office team and produce the report.

Support: As with monitoring progress and change, the National Strategic Overview Team will provide support and guidance to Area teams when and where necessary to facilitate effective SMP reporting.

Coastal Group Chairs should champion the effective operation of this system, and are likely to draw upon the contents of SMP reports within their area for their annual reports to the Environment Agency and RFCCs. Coastal Groups should also make the SMP reports themselves available to RFCCs, and ensure they are engaged with, or at least aware of, the SMP monitoring and reporting cycles.

Related documents

Links

D12_34 SD 01 Shoreline Management Plan Reporting and Monitoring template

584_11 Strategic planning for flood risk management: Catchment Flood Management Plans – Implementation, monitoring updating and reporting

26_02 Managing data and information policy

Appendix 1. Monitoring requirements for SMP progress and change.

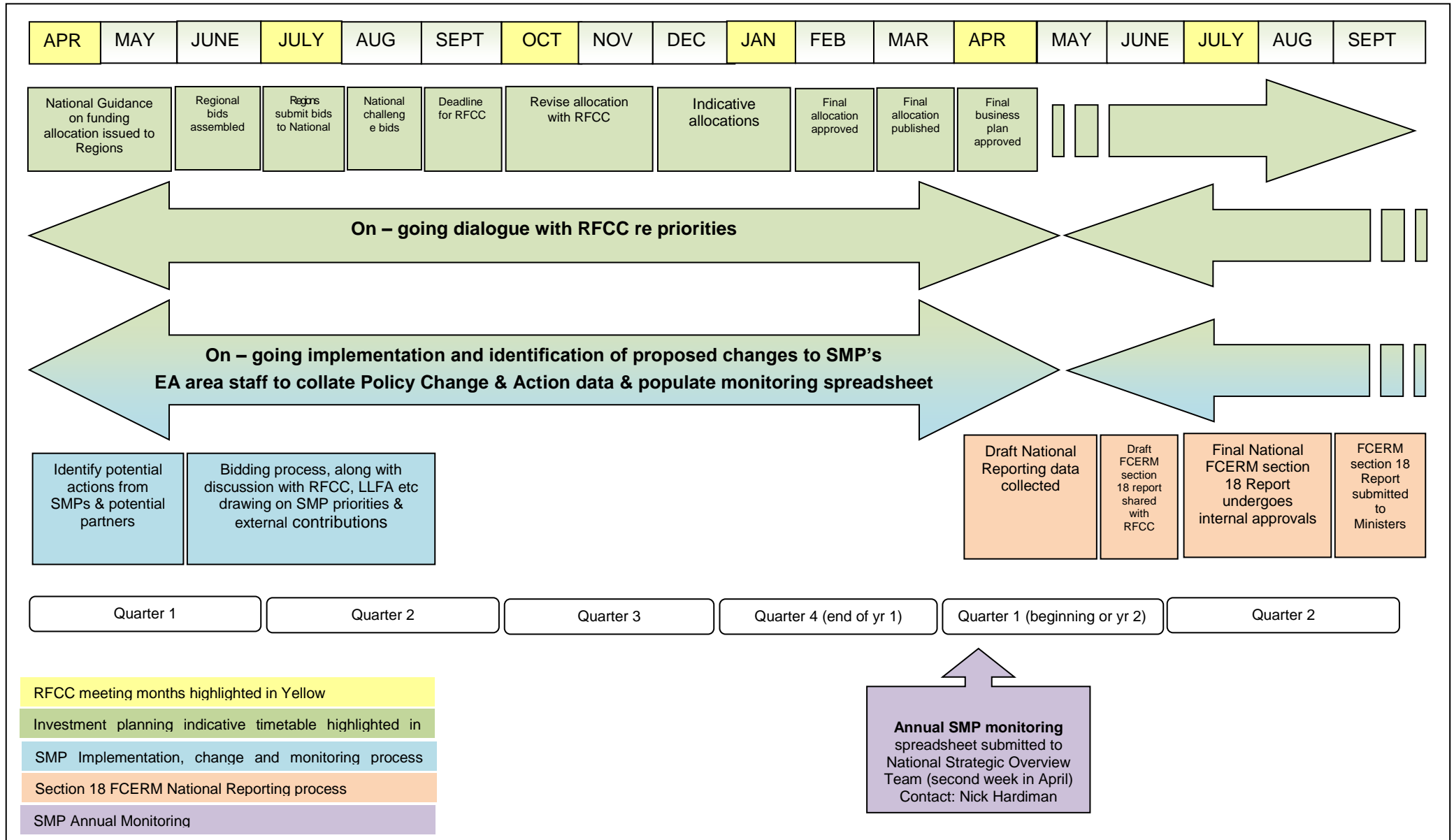**Appendix 1.a Action Monitoring minimal requirements**

Appendix 1.b Change Monitoring minimal requirements

Appendix 1c SMP Summary Statistics minimum requirements

Please see:

D12_34 SD 01 Shoreline Management Plan Reporting and Monitoring template

Appendix 2. Monitoring and reporting cycle.

APR	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	JULY	AUG	SEPT

Investment planning row:

National Guidance on funding allocation issued to Regions	Regional bids assembled	Regions submit bids to National	National challenge bids	Deadline for RFCC	Revise allocation with RFCC	Indicative allocations	Final allocation approved	Final allocation published	Final business plan approved

On – going dialogue with RFCC re priorities

On – going implementation and identification of proposed changes to SMP's
EA area staff to collate Policy Change & Action data & populate monitoring spreadsheet

Identify potential actions from SMPs & potential partners	Bidding process, along with discussion with RFCC, LLFA etc drawing on SMP priorities & external contributions

Draft National Reporting data collected	Draft FCERM section 18 report shared with RFCC	Final National FCERM section 18 Report undergoes internal approvals	FCERM section 18 Report submitted to Ministers

Quarter 1	Quarter 2	Quarter 3	Quarter 4 (end of yr 1)	Quarter 1 (beginning or yr 2)	Quarter 2

Annual SMP monitoring spreadsheet submitted to National Strategic Overview Team (second week in April) Contact: Nick Hardiman

Legend:

- RFCC meeting months highlighted in Yellow
- Investment planning indicative timetable highlighted in
- SMP Implementation, change and monitoring process
- Section 18 FCERM National Reporting process
- SMP Annual Monitoring

Appendix 3. SMP change process.

Coastal Group receives change proposal. Change Managers discuss and agree change category (minor, moderate or major)

Minor changes:
Textual and mapping corrections with no effect on context or outcomes of the SMP;

Changes within organisations that may have a bearing on SMP implementation.

Moderate changes:
Textual or mapping corrections where the context of the SMP is affected;

Changes, additions or deletions in the action plan that may impact on SMP implementation but do not change an SMP policy option. These might include changes to the timescale or priority of an action, a new study or scheme proposal, or alteration to the scope of a study/scheme already proposed.

Changes potentially impacting a nationally designated site, e.g. SSSI, NNR, AONB, SAM.

Major changes:
Changes to a policy, or epoch in which a policy is to be implemented, or changes to the action plan that are likely to result in this;

Changes to the action plan that are likely to significantly impact on SMP implementation, such as significant new schemes and studies, or significant changes to existing ones;

Mapping corrections that affect the number of properties protected from flooding or erosion;

Changes impacting an internationally designated site, e.g. SAC, SPA, Ramsar.

Change Managers organise changes.

Change Manager group considers who will be interested in this change and informs relevant stakeholders. Consultation process invites stakeholders to comment on change – i.e. to support, reject or amend. Further work to investigate the change proposal is done if required**. RFCC and relevant local authority officers/members informed.

** This process may have been carried out as part of the Strategy or scheme that instigated the change to the SMP.

Unless otherwise agreed with Natural England, SEA and HRA are reviewed where international designation is potentially affected. Appropriate AA and IROPI procedures are followed as required by Natural England and WFD requirements are satisfied**.

Change Managers collate stakeholder feedback and the results of any supporting work, and agree change proposal. Environment Agency Area FCRM Manager / Coastal Manager will moderate disputes.

Change Managers submit agreed proposal to Coastal Group for agreement. Coastal Group agrees, rejects or agrees with amendments (these may require further work or consultation). Local authority officer/member approvals obtained as appropriate.

Coastal Group submits change proposal to RFCC for approval.

Environment Agency approves at the appropriate level. Change recorded on Change Monitor spreadsheet, GIS and NCERM. Change published on SMP website no longer than 1 month after agreement. Change implemented.