Guide to Collaborative Catchment Management

August 2013
Acknowledgements

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## Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td><strong>Catchment</strong></td>
<td>Geographic area defined naturally by surface water hydrology; different administrative boundaries have been identified for specific purposes (e.g. water abstraction, flood risk management); Defra’s Policy Framework to encourage the wider adoption of an integrated Catchment Based Approach adopts the definition of Management Catchments used by the Environment Agency for managing availability of water for abstraction.</td>
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<tr>
<td><strong>Catchment Based Approach (CaBA)</strong></td>
<td>New approach developed by Defra to improve the water environment through catchment-level engagement and planning. The aim for this approach is to balance environmental, economic and social demands and align funding and actions within river catchments to bring about long-term improvements.</td>
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<tr>
<td><strong>Catchment Co-ordinator (EA)</strong></td>
<td>In each catchment, the Environment Agency will appoint a ‘Catchment co-ordinator’ who will provide the link between the specialists within Environment Agency and the catchment partnerships, ensuring good communications and information flow, providing support to collaborative catchment working as a whole and ensuring consistent and high level Environment Agency engagement across all relevant Environment Agency functions.</td>
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<tr>
<td><strong>Catchment partnership</strong></td>
<td>Multi-stakeholder group working at the catchment level to agree and deliver strategic priorities for the catchment and to contribute to the relevant River Basin Management Plan.</td>
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<td><strong>Catchment pilots</strong></td>
<td>25 catchment-level partnerships developed through a pilot phase from May 2011 to December 2012 to improve understanding of how the Catchment Based Approach could work in practice.</td>
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<tr>
<td><strong>Catchment Sensitive Farming (CSF)</strong></td>
<td>A joint project between the Environment Agency and Natural England, working in priority catchments within England, which delivers practical solutions and targeted support to enable farmers and land managers to take voluntary action to reduce diffuse water pollution from agriculture to protect water bodies and the environment.</td>
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<tr>
<td><strong>Collaborative working</strong></td>
<td>The main characteristic of collaborative working is that decision making, risks and ownership are shared. Decisions are made jointly regarding policy development, implementation, evaluation and adjustment.</td>
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<tr>
<td><strong>Community</strong></td>
<td>The body of people living within the catchment boundaries.</td>
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<tr>
<td><strong>Community engagement</strong></td>
<td>The process of consulting the community or making local people and stakeholders aware and involved in a particular event, activity or project.</td>
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<tr>
<td>Members of the public</td>
<td>Includes people who live or work in or use the catchment (e.g. for recreation). Whilst everyone is a member of the public, a distinction is made between the perspectives of members of the public and those of people who have a professional or organisational role in planning or managing the catchment.</td>
</tr>
<tr>
<td>River basin planning</td>
<td>River basin planning is the technical process for developing River Basin Management Plans. Guidance for this can be found at: <a href="http://www.environment-agency.gov.uk/research/planning/33240.aspx">http://www.environment-agency.gov.uk/research/planning/33240.aspx</a>. The Environment Agency is responsible for producing RBMPs and will act as the link between river basin planning and the Catchment Based Approach.</td>
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<tr>
<td>Stakeholder</td>
<td>A person or a group with interests that could be affected by a pending decision or action, or equally a person or group that is able to affect that decision or action.</td>
</tr>
<tr>
<td>Stakeholder Analysis</td>
<td>Identifying and understanding the influence and importance, needs and capacities of key people, groups of people, or organisations that may significantly impact the success of your work.</td>
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1. Introduction

What is the Catchment Based Approach?

A catchment is an area with several, often interconnected water bodies (rivers, lakes, groundwater and coastal waters). As many of the problems facing water environments, such as diffuse pollution, variation in flows and biodiversity are complex, a range of different organisations and interests may need to be involved in finding solutions.

The Catchment Based Approach was launched by Defra on 3rd June 2013 to improve the water environment through catchment-level engagement, planning and delivery. The aim is to balance environmental, economic and social demands and align funding and actions within river catchments to bring about long-term improvements.

These improvements will also mean making better progress towards achieving the water quality targets set by the European Water Framework Directive.

The Catchment Based Approach encourages organisations to manage land and water in an integrated way, by identifying the pressures on the water environment, recognising the potential for conflict between the interests of users (from industry to farmers, from anglers to canoeists, from local people who want to be able to access to the waterside to ecologists keen to preserve fragile habitats) and working together to agree common objectives and implement solutions. This will take time so it is important that those involved establish structures and processes that support collaborative working, ensure all voices are heard and help to build trust. Over time, stronger collaboration between organisations to improve the management of the catchment should mean that people are more willing to share power, risks and ownership of the process.
It is not just the statutory agencies but a broad spectrum of stakeholders who have an interest in and can contribute to catchment management. By working in partnership with others, you can generate greater benefits than those that would be produced by the partners’ individual actions.

Collaborative working and catchment management should both be flexible, iterative processes. The main components – reflected in the Milestones in Chapter 3 – could be summarised as: identifying problems, agreeing what you want to achieve, planning what needs to be done, taking action and achieving outcomes. These aren’t hard-and-fast stages: depending on the situation in the catchment, some may be more important than others, but they do provide a useful basis for making a start.

**An evolving approach**

The Catchment Based Approach was first outlined in the 2011 Natural Environment White Paper¹. Announcing a pilot phase, Richard Benyon, Minister for Natural Environment and Fisheries, explained that the approach was intended to:

> "Provide a clear understanding of the issues in the catchment, involve local communities in decision-making by sharing evidence, listening to their ideas, working out priorities for action and seeking to deliver integrated actions that address local issues in a cost effective way and protect local resources."

A total of 25 catchment pilots were run between mid-2011 and March 2013 by a range of organisations including Rivers Trusts, Wildlife Trusts, water companies, local authorities, Groundwork and national park authorities. A further 37 initiatives received seed-corn funding. The pilots demonstrated that local organisations can establish successful partnerships to tackle issues in the water environment and that this approach has resulted in:

- Better information about catchment issues
- Enhanced social capital through an increase in trust in the process
- Better integration of partners’ work at the catchment level
- Opportunities for the leverage of additional funding.

Defra is now taking forward this work by, facilitating the adoption of this approach in other catchments.

**Purpose of this Guide**

Taking the decision to get involved in setting up a catchment based initiative is the start of a journey. This is not a traditional or conventional way of working. Instead of relying on one expert organization to define what needs to be done, with other interested individuals or groups contributing some ideas or feedback, taking a Catchment Based Approach means bringing together all those with interests in the catchment to identify priorities for action and how they could integrate their actions and resources to achieve them.

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There is no blueprint or template for this process. Each catchment will face its own challenges and the organisations who become involved will need to reflect the range of interests in the catchment as well as local history and culture. There is no one way of making these elements work together to bring about improvements in the catchment, it is about the people involved developing their own solutions.

The objective of the guide is to provide:

- A set of questions to help lead organisations and partners to identify and agree common objectives, develop ways of working together that build mutual trust and capacity for action, map the issues in their catchment and define priorities for action;
- A description of how catchment partnerships can feed their priorities into River Basin Management Plans (for the Water Framework Directive) and the requirements they will have to meet to do so. Contributing to River Basin Management Plans does not have to be the only or even the principal focus of catchment-scale collaborative working; however, it is a central motivation for many partners and provides a rationale for much of the action undertaken.
- Tools for working collaboratively at the catchment level (in Appendix 1) along with case studies to provide ideas about approaches that have proved successful in the past and of some common pitfalls (Appendix 2).

The Guide draws on the findings of the evaluation of the pilot phase of the Catchment Based Approach. It covers the first stages of setting up and developing the approach, as far as planning for action to deliver improvements. The delivery stage and the challenge of achieving lasting improvements are beyond its current scope. The intention is that as groups work together, they will reflect on what they have done and share what they have learned. This feedback will ensure the Guide will evolve as the people involved will contribute to enriching the Catchment Based Approach.

**Audience for the Guide**

The main audience for this Guide are people engaged in developing Catchment Based Approaches, whether they are experienced organisers and leaders or just starting out on the process. They may be members of local organisations or project officers who need to know how to set up and develop a Catchment Based Approach.

We believe you will find the Guide of use if you have any of these roles:

- Staff or member of an organisation that is hosting or coordinating a catchment initiative.
- EA Catchment Coordinator.
- Staff or member of a partner organisation.
- Facilitator supporting the work of one or more catchment initiatives.
How to use the Guide

The rest of the Guide is divided into five sections:

Section 2: Framework for the Catchment Based Approach

This section summarises Defra’s policy framework to encourage the wider adoption of an integrated Catchment Based Approach\(^2\) and explains how catchment partnerships can feed into river basin planning.

Section 3: Milestones for the Catchment Based Approach

The milestones provide a schedule of general outcomes which catchment partnerships should seek to achieve.

Section 4: Key questions when developing a Catchment Based Approach

In this section you will find a set of questions that are intended to help catchment partnerships think through how they can develop collaborative catchment-level working in their own context. For each question there is a discussion of why it is important, what you should consider in answering it and how you might address the issues raised.

The questions are presented here in an order, but in fact you will probably jump back and forth between them and adjust your answers to some of them in light of answers to others. Don’t expect to answer them once, or once and for all. Keep checking to see whether your situation has changed and you need to change your approach. This will ensure you go on learning and keep the collaborative work live.

You will need to work in a team to answer these questions with potential partners (in your own organisation first, then again with others, and again later as the group ebbs and flows). This is part of developing your group’s experience of working together.

Sections 5 and 6: Methods & Tools and Case Studies

Section 5 provides a set of tools for collaborative working that groups have found useful; Section 6 includes case studies of how groups have addressed issues raised by the questions.

- The methods & tools (Appendix 1) are presented as recipe cards to help you quickly get an idea of whether they are relevant to your situation (Do you have the ingredients listed? Could you apply the method with the skills you have available? Do you have funding to pay for any expert input needed?).
- The case studies (Appendix 2) provide examples of how issues have been tackled elsewhere.

Section 7: Evaluation and Review

This section explains the reasons for evaluating Catchment Based Approaches and suggests some key components for evaluations.

2. Framework for the Catchment Based Approach

Defra has developed a policy framework (‘The Framework’) which sets out the fundamentals of the Catchment Based Approach. The Framework recognises the catchment as an appropriate scale for considering a wide range of issues and identifying common goals that unite stakeholders. Effective collaboration between stakeholders will make it possible to identify and explore a range of environmental problems and opportunities, communicate these issues to a wider audience and find innovative solutions that bring economic and social benefits.

Collaborative action at the catchment level will also play an important part in meeting Government’s national environmental objectives, specifically (but not exclusively) those relating to improvement in the water environment.

Objectives of the Catchment Based Approach

The objectives of the Catchment Based Approach are to:

- Encourage collaborative working and transparent decision making
- Provide formal recognition for collaborative catchment partnerships.
- Encourage long term self-sustaining funding arrangements.
- Deliver a better quality water environment.

The Framework envisages that the Catchment Based Approach will link activities at three scales:

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3 There are many different ways of defining ‘catchment’ boundaries: see the Glossary for definition used here.
• **Local community or sub-catchment scale**: here the focus is on planning and acting at a relatively small geographic scale. This will typically comprise a number of associated on-going projects and activities with specific, locally focussed objectives.

• **Catchment scale**: here the focus for stakeholders’ collaboration will be on developing evidence and establishing a clear agenda and action plan for targeting the improvement of the water environment in the whole catchment that can be delivered through existing or additional community and regulatory actions.

• **River Basin District scale**: this is the scale at which the issues and priorities for water and interrelated land management will be determined. There are ten river basin districts in England.

This Guide relates to activities at the sub-catchment and catchment scales.

**Key ways of working**

The Framework does not require catchment groups to adopt any particular structure or procedures (e.g. statutes, terms of reference, etc.). However, the Environment Agency will recognise formal catchment partnerships. Further details about what catchment partnerships will need to do to achieve recognition will be made available on the Environment Agency’s website ([http://www.environment-agency.gov.uk/research/planning/131506.aspx](http://www.environment-agency.gov.uk/research/planning/131506.aspx)).

Catchment partnerships will play an important role in joining up planning and action to improve the catchment environment, contributing to a range of different processes:

• **Local Planning Regulations**: while catchment partnerships are not formally included in the Duty to Cooperate, they can provide up to date information about the natural environment to inform planning.

• **Landscape level planning and action**: coordination with initiatives such as Catchment Sensitive Farming, Local Nature Partnerships and Nature Improvement Areas.

• **Local planning and action**: coordination with initiatives such as Local Enterprise Areas.

Even if your catchment group isn’t formally recognised, you can make your voice heard and get your views taken into account if you develop and nurture relationships with local planning frameworks, either as informal links through individual members or by negotiating more systematic input. The following key activities are expected to be an important part of catchment collaboration:

- Developing a **shared strategic vision** focusing on outcomes that integrate national and local drivers for improving the water environment

- **Sharing information with other local partnerships**, in order to develop evidence to determine environmental priorities

- **Mapping and analysing** the range of **activities and partnerships** concerned with the sustainable management of the natural environment in the catchment

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**Legal requirements for river basin planning**

River Basin Planning Guidance

Guidance from the Secretary of State and National Assembly for Wales explains the way that river basin planning will be done in all river basin districts in England and Wales and the Northumbria river basin district (a very small area of which is in Scotland).

This is statutory guidance to the Environment Agency on the practical implementation of the WFD, issued under the Water Environment (Water Framework Directive) (England and Wales) Regulations 2003.

Public participation is one of the requirements for the preparation of river basin management plans.

River Basin Planning Guidance (RBP Guidance) is still used by the Environment Agency. Defra is revising this guidance.
• Identifying and taking account of relevant activities in adjacent catchments in the River Basin District and to other geographies - for example administrative, landscape scale delivery for nature, etc.
• Working collaboratively with a broad range of stakeholders to ensure representation of issues of concern in the catchment and building on what is already working well
• Engaging with members of the public around both strategic (e.g. plan making) and local activities (e.g. sampling) as appropriate to objectives
• Co-ordinating action to deliver integrated outcomes for priority issues
• Providing timely input to second cycle river basin planning
• Filling gaps in knowledge and delivering community aspirations for catchment

### River Basin Planning

River basin planning is the technical process for developing River Basin Management Plans. Guidance for this can be found at [http://www.environment-agency.gov.uk/research/planning/33238.aspx](http://www.environment-agency.gov.uk/research/planning/33238.aspx). The Environment Agency (which is responsible for producing River Basin Management Plans) will act as the link between river basin planning and the Catchment Based Approach. In the policy framework, Defra indicates that it expects the Environment Agency to have “due regard to appropriately described inputs” and reflect these in the River Basin Management Plans.

The Environment Agency will publish details of what catchment partnerships and other groups in and across catchments will need to provide in order to ensure formal recognition of their activities in River Basin Management Plans. Key dates for the second cycle of river basin planning are shown below.

<table>
<thead>
<tr>
<th>2013</th>
<th>2014</th>
<th>2015</th>
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<tbody>
<tr>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
<td>Jul-Sep</td>
</tr>
<tr>
<td><strong>Cycle 2 Challenges and Choices Consultation</strong></td>
<td><strong>Cycle 2 Draft RBMP</strong></td>
<td><strong>Cycle 2 RBMP</strong></td>
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</tbody>
</table>
3. Milestones for the Catchment Based Approach

During the pilot phase, catchment hosts approached the challenge of collaborative working differently, reflecting local situations and preferences. All 25 pilots were given the same milestones to achieve but they made progress against these milestones at different rates. Despite this, the pilots generally considered the schedule of milestones useful as it gave shape to the work, helped hosts understand what was wanted and drove progress.

The milestones below provide a schedule of outputs which your group should seek to achieve. Given that groups may be starting at different times, the milestones are not linked to timescales. You can use the schedule flexibly to suit your local circumstances and priorities. You may need to set dates for achieving particular milestones or add further milestones if your work is to feed into a planning process with its own requirements, like local spatial planning systems or river basin planning. The milestones can also be linked to the requirements of specific planning systems: an example is provided at the end of this section of how to link the milestones to river basin planning requirements.

Milestones can be useful but if you set deadlines, you may find that your milestone may only be partially achieved within the time allowed. If this happens, your group will need to be flexible and allow more time or return to that task later on. You will find that this is often an iterative, long-term process rather than a set of tasks that can be ticked off once and for all. The diagram below illustrates this iteration between catchment milestones.

‘a useful lever to get things done’
Baseline stakeholder and activity mapping
Identify current activity and issues going on in the catchment, along with potential partners and networks.

Agreement on the way the group will be organised
Agree arrangements, however simple, for organising the catchment group and making decisions. Members of the group need to be clear about the process for identifying issues and establishing priorities and to be confident that their input will be taken into account.

Catchment appraisals and agreed catchment priorities
Briefly describe the main problems in each catchment and agree the priority actions to be delivered. In order to prioritise issues and actions, the catchment partnership will need to have agreed a set of shared objectives or a vision for the catchment.

Catchment Plan
The group’s collective view of the changes that should, could or will happen in the catchment and how these changes could be made to happen. Depending on how well the problems in the catchment are understood and the level of agreement among partners about how they should be tackled, the plan may describe what should happen, what could happen under different situations or what will happen, reflecting commitments to action by partners or others.

Tip: if the task of mapping and planning for the whole catchment seems daunting, try focusing your efforts. Once you are making progress, you can scale up. Always keep a holistic view of your catchment: you may choose to keep track of what is going on in other parts of the catchment, look at linkages between your priority issue and other catchment

Tip: if the task of mapping and planning for the whole catchment seems daunting, try focusing your efforts. Once you are making progress, you can scale up. Always keep a holistic view of your catchment: you may choose to keep track of what is going on in other parts of the catchment, look at linkages between your priority issue and other catchment
issues or programme a future activity with a wider stakeholder group. If you don’t keep this wider view, your group might become something other than a partnership for catchment management (it could become a group for managing habitats, for example).

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**Examples from the pilots: How groups focussed efforts in order to achieve their milestones within the one-year timescale**

1. By retaining the strategic catchment-wide focus but targeting engagement on a small group of organisations with delivery responsibilities (through a Steering Group and Task and Finish Groups). Engagement with wider stakeholder groups happened later.

2. By focusing action on areas within the catchment where useful actions could be achieved. One pilot focussed on delivering two urban studies in enterprise zones.

3. By focusing on developing an action plan for a key topic (e.g. phosphates).

4. By dividing the catchment and inviting other stakeholders to lead sub-catchments, with objectives and actions pulled together in a shared plan.

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**Example: Linking milestones to river basin planning**

The milestones can be linked in to the development of the River Basin Management Plan, as shown in the diagram below. As River Basin Planning is a statutory process linked to European requirements, timescales in this case will be prescriptive and progress against these should be monitored and managed in line with good programme management.

The figure shows the milestones that a catchment partnership might need to achieve by specific dates in the river basin planning process, in order to focus some of its efforts on the issues that are being decided at different points in time.
4. Key Questions for Using a Catchment Based Approach

The evaluation of the catchment pilots demonstrated that catchment partnerships do not follow a single path but take different routes in response to changing situations and the background, experience and priorities of their members. Working successfully with partners involves listening to each others’ ideas and needs and spending time working out how to get the best results for everyone.

This Guide uses questions to encourage people beginning to work together at a catchment level to take a fresh look at what is going on in the catchment and think through different options for action. The questions are intended to help groups to identify and work out how to develop key activities or components of the Catchment Based Approach.

Each question section includes the following:

- At what point(s) in the process are you likely to need to think about this question?
- What is it about?
- Why is it important for your group to answer it?
- Suggestions of methods and tools that should help you to work out your answer; there is a separate Methods and Tools section, with a ‘recipe card’ explaining how to use each of these.
- For some questions, there will be case studies describing how other groups have addressed the question. These may give you ideas about things that you could do; they are also intended to show the range of approaches that groups have used. You can look at different options and think through how they might be suited to the characteristics of your catchment (large or small, partners with a long history of working together or none at all, general agreement on the issues to be addressed or strong differences, etc.).
The questions

Question 1: Is a Catchment Based Approach right for you?
Question 2: What is important about your catchment?
Question 3: Who should be involved?
Question 4: How do partners want to share roles and responsibilities?
Question 5: How can you make collaboration most effective?
Question 6: What is the relationship between your catchment work and the RBMP?
Question 7: What is the relationship between your catchment work and other partnership work in the catchment?
Question 8: What information will you need?
Question 9: Do you need a Catchment Plan?
Question 10: How can you engage with members of the public?
Question 11: What do you need to understand about the costs and benefits of your work?
Question 12: How can you assess how well you are doing?
**Question 1:**
*Is a Catchment Based Approach right for you?*

**Where are you in the process?**

You are considering making a proposal to the Environment Agency to start a catchment partnership for your area. Your organisation may be planning to set up a partnership with other organisations or you may already be part of an existing network or partnership.

**What is the issue and why is it important?**

The Catchment Based Approach is about developing a holistic and evidence based understanding of the problems in your catchment and how they could be solved. Collaboration and partnership are essential for the development of this holistic view, based on evidence from multiple sources and interests.

A Catchment Based Approach involves stakeholders working collaboratively over a period of years to improve the water environment in a catchment or sub-catchment. Working collaboratively with partners requires a commitment of time and effort, especially if you are starting from scratch so all those involved will need to consider whether it is worth their while. Will the potential benefits of collaborative catchment working be greater than its costs? Is there what some people term a ‘collaborative advantage’ in working together in this way?

There are two parts to this question:

1. Do the partners or potential partners share enough common objectives and motivations to make them want to work together over a period of time?
2. Is working as a collaborative partnership focused on the sub-catchment or catchment level the best way to achieve their objectives?

A lot of groups start by discussing projects and actions and then struggle to make these effective in meeting their overall aims. While members of the group may have their own individual or organisational objectives for becoming involved, the group needs to define their shared objectives. This should happen early on. As new participants become involved, relationships between group members change and the issues you are addressing evolve, it will be important to return to this question and check that there is still agreement on the common objectives.

**How can you answer this question?**

1. Define your objectives and decide whether you have enough in common
   
   You will need to take stock of the objectives and motivations of those involved or who could potentially become involved. Have the organisations in the existing network or partnership defined common objectives for their work in the catchment? If so, what are these? Is everyone clear how they were agreed?
If you haven’t agreed common objectives, you should set aside time to do this. This could be done in a workshop or meeting, by just looking at objectives or as one item on the agenda. Here are some important points to bear in mind:

• Make sure that everyone who is involved in the group is free to attend the meeting or can contribute in another way, perhaps through a trusted colleague. If important views are not represented, the objectives will not be shared and you are likely to find you have to repeat the exercise.
• You may need to remind people about the meeting or event and why it is important.
• All objectives are valid even if they are not shared by the whole group. Giving people a chance to set out their individual objectives can increase understanding and improve relations.
• Allow time to get agreement on the shared objectives. It’s better to have a small number of objectives that everyone is committed to than a long list of things that many people don’t understand or care about.
• The way the objective is worded can change its meaning. Someone will need to write down the objectives that are agreed by group members. Ideally these should be written where everyone can see them (e.g. on a flipchart or whiteboard).
• After the objectives have been resolved, agree how people can get a copy. The objectives should be recorded and kept somewhere they can be accessed easily, perhaps as an appendix to the minutes of a regular meeting, if they were agreed at a separate event.

A simple method for sharing and agreeing objectives can be found in the Methods and Tools section.

2. Assess the collaborative advantage of working as a catchment partnership

Planning and managing for catchments brings benefits and challenges, particularly because water is a ‘common pool resource’⁴: there are multiple stakeholders making different claims on the water environment (e.g. for business, farming, biodiversity protection and enhancement, recreation, etc.), the ability of individual stakeholders or interests to achieve their objectives depends on the actions of others and there is often disagreement about the issues affecting water and how these could be addressed. So there are many reasons for working collaboratively to identify and address issues in the catchment. But there may be reasons for not going down this path, for example to avoid over-complicating simple issues. In considering whether creating a new collaborative partnership is the right approach for your catchment, you may want to ask the following questions:

• Do the issues you want to address affect stakeholders in one main area of activity (e.g. public, private or voluntary sector organisations working in an area such as farming, local government, biodiversity protection and enhancement)?
• Is the solution to the issues identified likely to require action by just one stakeholder or stakeholders in one area of activity?

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• Is there any existing partnership or network whose objectives or work focus overlaps with the objectives identified earlier?
• Is there any one organisation or stakeholder (including members of the proposed catchment partnership) that has established itself as a clear leader in relation to the issues identified?

If the answer to any of these questions is ‘yes’, a collaborative partnership may not be the right approach because the issue could be resolved more easily another way and setting up a partnership would bring little additional benefit in relation to the costs involved. In this case, an alternative approach might be more effective: for example, the organisation currently leading on the issue could continue to play this role, inviting collaboration from others as and when needed or encouraging an established network to include the issue in its work.

Relevant to Milestone 2: Governance structure

Table 1: Methods and tools for thinking about whether to use a Catchment Based Approach

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<th>Methods and Tools</th>
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<tr>
<td>Common Areas Tool (InterAct Networks/Environment Agency)</td>
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<td>Ketso Toolkit (The Wandle Trust)</td>
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**Question 2:**
**What is important about your catchment?**

**Where are you in the process?**

At different times in the life of a partnership, members will need to check that they share similar views about the catchment and the issues that are important.

This will be one of the first tasks that will help you define the scope of your collaboration (how narrow or broad a range of issues are members interested in or comfortable with covering?) and the nature of the work (for example: are there uncertainties or knowledge gaps that need to be filled or is the priority to deliver action on the ground?).

From time to time you will want to revisit your priorities for the catchment. Your group may decide to make this a regular process, for example by organising an annual review, or you may find that developments in the catchment create the need for this kind of review (for example, if development has generated new issues or if there has been a significant change in membership of the catchment partnership).

**What is the issue and why is it important?**

1. **Understanding relationships within the catchment**

   Your group will need to make sense of the catchment system you are seeking to improve or manage. This involves understanding the economic uses of the catchment, its social structure of urban and/or rural communities and the institutional landscape (the public, private and voluntary organisations that influence what happens).

   If this is the first time that partners have worked together, you will need to spend time understanding how you each see the catchment and what is important in it:
   - Where are the main places that people live and work?
   - What are the main economic activities?
   - What other plans and strategies are relevant to water in this catchment? What is their purpose and what are they expected to produce? What scale are they (river stretch, sub-catchment, whole catchment, wider area)? Who developed them and who owns them? Are there any gaps or overlaps?
   - Who is already working to improve the water/local river environment? What are they doing? What is the history of catchment management? What has been done previously? Did it work or not work and why?
   - Is there anything else you need to know about the context of the work?

   It is important to map out these elements because the relationships between them define the system and types of issues that are found in it. Having a picture of activities and relationships in the catchment will give your group
a fuller view of the thing they are trying to manage. As the group develops its work, you will need to update the information and see whether your understanding of what is important has changed.

2. Developing a shared vision

In mapping the activities, stakeholders and relationships found in the catchment, the organisations involved may develop a better understanding of the concerns and interests of others in the group and the extent to which they overlap. This is a good basis for developing a shared vision and mission statement.

A vision is a short aspirational description of what the group would like to achieve or accomplish in the mid-term or long-term future. Some visions are just a few words. Some organisations have a separate mission statement describing why they exist and what they do to achieve their vision. Having a vision and/or mission statement helps the catchment partnership communicate clearly what its work is about and provides a basis for choosing courses of action that are transparent to members, other stakeholders and people living and working in the catchment.

The reasons for defining your catchment vision and mission is to put your day-to-day work into a strategic context, to make sure that it contributes to the longer term goals of the partnership. Making an honest appraisal of what the catchment is like now is a key part of the process as well as describing what you want it to become in the future. This gives a sense of how different and better the future could be, compared to the present.

How can you answer this question?

Start by finding out what you already know about the catchment. What information do partners have and what analysis has already been done? Can everyone access this information? How relevant is it to your objectives? What additional or new information do you need? How will you obtain it?

There are many different ways of organising and presenting information about the catchment. Some are suggested in the Methods and Tools section below. But why not start by asking partners if they know of approaches that work well? It will probably be more efficient to use a method that a member of the group is familiar with.

You will need to find a balance between covering all potentially relevant issues and relationships and focusing on the most important. As your group’s knowledge and experience develop, it will be easier to make these judgments.

Keep a record of the information you have collected and the criteria the group used to decide on what is important for your work. This will:

- Provide evidence to support your decisions.
- Help you to evaluate your progress and achievements.

An example of a catchment partnership vision

**Lower Wear**

By 2020 Durham’s rivers will run clear, teeming with wildlife and enjoyed by all.
Table 2: Methods and tools for understanding what is important about the catchment

<table>
<thead>
<tr>
<th>Methods and Tools</th>
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</thead>
<tbody>
<tr>
<td>Activity Mapping (Irwell)</td>
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<tr>
<td>Backcasting (Irwell)</td>
</tr>
<tr>
<td>Catchment Line Diagrams (Ribble)</td>
</tr>
<tr>
<td>Climate Change Adaptation (Environment Agency)</td>
</tr>
<tr>
<td>Evidence Mapping (Adur and Ouse)</td>
</tr>
<tr>
<td>Ketso Toolkit (The Wandle Trust)</td>
</tr>
<tr>
<td>Visioning (Multiple Sources)</td>
</tr>
</tbody>
</table>
Question 3: Who should be involved?

Where are you in the process?

One of the first questions you will need to consider when forming a catchment partnership is who to involve and what level of involvement you should seek from different stakeholders. When you are defining what your priorities will be and agreeing actions, you will need to include the interests of the whole community (see Question 2), so it would be useful to for all those interests to be represented in the partnership. But this is often not possible or practical, so you may need to start with a narrower group and work to bring in wider interests over time. You may also need to achieve a ‘critical mass’, that is, enough active members to enable the partnership to do the things it sees as most important (during the early period of its work, this will probably include securing additional financial and human resources).

Catchment partnerships will need to review periodically who is involved in the work and in what ways and to decide whether the partnership needs to take action to bring in new stakeholders (or bring back ones who may have drifted away) or to encourage stakeholders to take on new roles.

What is the issue and why is it important?

People will become involved in your catchment work in different ways, from hands-on planning and leading work areas to occasionally inputting to activities like meetings or workshops, catchment walkovers or river clean-ups. You will need to get an idea of who might want to be involved and why (so that you can encourage and motivate them) and who you particularly need to involve (so that you can be sure that their perspectives and needs are taken into account). The second group will include people who are in a position to take (or block) action to improve the catchment, like Local Authorities or landowners for example, as well as people who might be affected by changes to the catchment, like communities in places where the water quality is poor.

All of these people are stakeholders, because they have an interest in the catchment, even if they are not currently involved in activities in the catchment or even aware that they have an interest.

How can you answer this question?

Stakeholder analysis

Stakeholder analysis is a good way to start thinking about who you should involve and how to go about it. This is a structured way of thinking about who is relevant to your work and why, in order to decide how you should try to involve particular groups and interests and how to prioritise your efforts. The following questions provide an initial structure for your analysis.

1. Identifying relevant stakeholders:
Who are the organisations and groups, or kinds of people, who:

- Are likely to be interested in getting actively involved, either to help shape strategy and create a plan, or to get involved with delivering projects or initiatives?
- Will benefit from improvements in the catchment environment?
- Are already working to improve it?
- Are contributing to the problems?
- Have legal responsibilities relevant to the catchment’s water environment?
- Work, live or play on or near the water?

2. Thinking about how to involve stakeholders:

For each of these organisations or groups, or kinds of people:

- Is their interest part of their ‘day job’ or something that they do outside of work?
- Is this organisation/group likely to be interested in a whole catchment approach, or just in some geographical areas / some issues?
- What do you already know about their views and activities?
- What else would it be useful to find out about them?

If you organise this information visually, you can start to get an idea of which groups will need to be most involved or to be involved in particular ways. There are many tools for this. The Methods and Tools section includes several tools so that you can see which seems best for you. Simpler tools will be more suitable for groups that are just starting or have less information about organisations in their area. One of the main purposes at this stage will be to check which organisations or groups should be most closely involved, because they have similar objectives or are doing relevant work in the catchment. Working with these groups should help make the most of existing knowledge, skills and capacities as well as giving the initiative wider impact.

Engaging specific audiences

Once you have identified groups that need to be involved but that don’t currently participate, you can look for ways of making it worth their while. Think about their needs and interests. For example, a number of partners in the Welland Pilot worked together to develop a coordinated workplan to deliver support, training and some capital grants to farmers for reducing their contribution to diffuse pollution. This resulted in the delivery of a number of workshops, supported by farm visits if required and Partnership grants in some cases. The different organisations used their existing networks to raise the profile of these activities and to increase uptake.

Top Tips:

Don’t assume that you know what groups of stakeholders are thinking: find out if there are any studies or surveys that might provide insights. Find out about their current roles and interests e.g. are they involved in similar topics or activities? Have they expressed an interest in catchment-related issues?

‘It’s important to identify any existing groups of people who are already set up who could help kick start the process. This saves reinventing the wheel and can get things in motion more quickly.’

Numbers make a difference

During the pilot phase, catchment partnerships on average had 11 – 20 active members. As most of these participate on a voluntary, part-time basis, having more active members will generally mean that more work can be done; it also makes the partnership more resilient: if a member leaves, their role can be filled while new members are recruited. Bigger catchments will generally need to have a larger number of active members.
Try putting your stakeholders into groups, for example: by sector (public, private, voluntary, community, professional/academic), by organisational objectives (environment/biodiversity, social wellbeing, economic development) or by catchment-relevant activity (farming, recreation, industry, community organisations, etc.). This is a useful way of finding out if certain types of organisation or interest are not represented or, conversely, if there are groups or interests whose level of involvement is much higher than their size or influence would suggest.

Use Question for Milestone 1: Baseline Stakeholder and Activity Mapping

Table 3: Methods and tools for identifying who you need to involve and why

<table>
<thead>
<tr>
<th>Methods and Tools</th>
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</thead>
<tbody>
<tr>
<td>Stakeholder Matrix (Welland)</td>
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<tr>
<td>Axis Method (Environment Agency / InterAct Networks)</td>
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</tbody>
</table>
Question 4: How do partners want to share roles and responsibilities?

Where are you in the process?

Once you have started working in partnership with others, you may become aware that partners have different expectations about how much they will be collaborating and on what. Organisations that have been in partnerships before may recognise the issue early on. Some typical points at which partners may become concerned about how power and responsibilities are shared are when they feel that they don’t have any decision making power or, alternatively, they feel that others are not taking on enough responsibility for getting things done.

An effective partnership should anticipate these tensions and potential conflicts and find ways of discussing power and responsibility before they become issues that threaten the partnership because members leave or lose their commitment. Periodically reviewing the distribution of decision-making power and responsibility across the partnership is an ideal way of managing this risk, but may be difficult to implement.

What is the issue and why is it important?

The Catchment Based Approach involves a partnership between organisations which share an interest in the improving the catchment. Misunderstandings about roles and relationships within the partnership can be a source of tension within a partnership and lead organisations to withdraw from the group.

The table below shows the different levels of collaboration found in partnerships.

<table>
<thead>
<tr>
<th>Type</th>
<th>Purpose</th>
<th>Extent of power sharing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contributory</td>
<td>Support sharing: leverage of new resources or funds</td>
<td>One partner retains control, others may propose or agree to objectives</td>
</tr>
<tr>
<td>Operational</td>
<td>Work sharing: permit resources and work load to be shared, plus exchange of information</td>
<td>One partner retains control but others can influence decisions via practical involvement</td>
</tr>
<tr>
<td>Consultative</td>
<td>Advisory: to gain relevant input for developing policies, service design and delivery</td>
<td>One partner retains control, ownership and risk but is open to input from others who help to legitimate policy</td>
</tr>
<tr>
<td>Collaborative</td>
<td>Decision making: joint decisions regarding policy development, implementation, evaluation and adjustment</td>
<td>Power, risk and ownership are all shared</td>
</tr>
</tbody>
</table>
The Catchment Based Approach aims to develop collaborative partnerships with their own identities in which members share responsibility for decision-making and action.

Sharing learning and increasing the capacities of all members is central to achieving this level of partnership, which relies on all partners taking responsibility for decisions and actions.

There are occasions when the greatest degree of collaboration (sharing power, risk and ownership) may not be appropriate or possible:

- Collaboration involves several organisations working in different geographical areas but coordinating their efforts (example: Tame catchment).
- Not all partners are able to put in the time to contribute to all decisions: they prefer to have an advisory role (example: Teme catchment).

How can you answer this question?

Look at the objectives of your partnership (see Question 1). Do any of the objectives refer specifically to collaboration or partnership working? If so, you can use the table above to see how your organisation’s objectives for collaboration map onto the purposes of different types of partnership.

Remember to also think about how partners would like to work together in the future, which you may have looked at in Question 2.

Collaboration is not an easy option. The catchment pilots found that it takes time and that they had to go through a process to build collaboration: it can’t be mandated. Many catchment groups would say that they were still working towards collaboration.

Factors that may influence the development of collaborative working:

- Size of catchment
- Number of partners
- History of conflicts or collaboration in the area
- Existence of conflicts related to the catchment
- Sense of urgency/perceived severity of the problem

Use question for Milestone 2: Governance structure

Stages of group development: forming, storming, norming and performing

The process of setting up a group typically goes through certain phases. It helps to be able to recognise these stages and make the most of them, instead of worrying that something is wrong with your group. The Open University has a good introduction to the process of group formation: Many teams appear to develop in the same way and to follow a predictable pattern of formation and growth. As a member of a team, if you know what the pattern is and can recognise the features of the developmental process in your own team, then you are in a strong position to be able to do something about it – if indeed you need to. First, you can understand what is going on – the growing pains of your team; second, you can take appropriate action to help your team to move on to the next stage of growth; and third, you can try to avoid doing anything inappropriate to upset the development of your team!

Question 5:
How can you make collaboration most effective?
Where are you in the process?

Catchment partnerships will need to develop structures that allow close involvement by partners and engagement with a wider stakeholder group and members of the public to agree the priority problems in the catchment and develop a catchment plan. Giving your partnership a clear structure from the start will help to ensure its transparency and accountability to other stakeholders and local communities.

However, it is clear from the catchment pilots that some core elements of partnership arrangements and structures evolve over time. In some cases partnerships started working without a representative group to steer and drive action forward but introduced this type of group in the course of the year. In many cases, catchment partnerships made no arrangements for dialogue or consultation with members of the public and communities but introduced these later on when the rationale for getting input from communities and the public became stronger.

It is important for catchment partners to think about the most appropriate structure for their partnership when they begin to work together and to periodically revisit their approach.

What is the issue and why is it important?

The way that relationships between individuals and organisations are structured and decisions are taken affects the decisions themselves and how change happens. This is referred to as ‘governance’. Our society is characterised by multilevel governance, where influence is exercised through processes and institutions operating at a variety of geographical scales including a range of actors with different levels of authority⁵.

The experience of the catchment pilots suggests that some organisations are happy to collaborate with others on an informal basis, without setting up any governance arrangements, while in other cases organisations wanted to have relatively formal terms and conditions for their input. The pilots went about organising their work in different ways, but three broad approaches can be distinguished:

- Starting by forming a steering group, e.g. Welland Valley Partnership.
- Starting with an existing group e.g. Wey Landscape Partnership Steering group; Northumbria River Basin District Liaison Panel.
- Starting with data collection and additional stakeholder analysis e.g. Tidal Thames.

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**How can you answer this question?**

1. Look at options for providing the overall steer for the partnership’s work. These include:
   - a core group of two or three organisations that take overall responsibility for leading the partnership, coordinating the work of its members and taking decisions, as far as possible in consultation with other partners;
   - a central group that takes day to day decisions and coordinates the wider partnership members, possibly supported by time-limited sub-groups set up to deal with specific issues or tasks;
   - a networked partnership with no central decision-making, but which relies on periodic meetings to take decisions.

   The choice of governance structure will have implications for the degree to which power and decision-making is shared between stakeholders and the accountability of those taking decisions. A traditional structure of a Chair and a Committee may be too rigid to bring in additional interests to make the partnership more representative; the distribution of roles and responsibilities across a wider number of people may encourage more learning and deliberation.

2. Certain factors may affect choice of governance structures and arrangements. These include: size of catchment and complexity of issues to be addressed; opportunities for working with other partnerships; existing levels of collaboration or conflict over management of the catchment water environment; levels of experience and expertise within the partnership.

3. Think about the roles and competencies the partnership will need to ensure that governance structures work effectively. Four key competencies were identified during the pilot phase:

   - **Collaborative leadership** – partnerships need a leadership which gives status, influence and visibility to the group and provides collaboration skills to bring people together. In pilots where these skills were absent or not well-developed, time was taken up with establishing the status and legitimacy of the group. In some pilots this role overlapped considerably with the second area of competency e.g. Ecclesbourne, Tamar.
   - **Co-ordination** – providing administration and organisation. This was often the only new paid post for the pilots. This was the area of competency that time and again was hailed as crucial to the success of the pilot process.
   - **Technical competencies** - providing skills relating to technical aspects such as water quality, understanding of the EU Water Framework Directive (WFD), data analysis. Partners bring different types of technical expertise: successful partnerships create opportunities for sharing knowledge so the pool of competencies increases. It is also important to recognise where you don’t have competencies and ask for help from the Environment Agency, facilitators (see below) or others with the skills you need.
   - **Expert Facilitation** – skills relating to collaborative working, such as facilitation, communications skills and expertise in the design and delivery of engagement processes. Several pilots had in-house competencies in facilitation but in many this was provided by independent externally-funded facilitators.
Identifying these different roles and putting in place the structures to support them is more important than who holds those roles.

4. Consider the range of tasks which catchment partnerships need to carry out at different times (from running catchment walkovers and organising volunteers to combining information from different sources to provide evidence about the issues affecting the catchment). Flexible arrangements may be needed so that expert groups can be set up quickly to deal with specific questions. Task and Finish Groups were used successfully in a number of catchment pilots.

5. Consider whether partners need to get a formal mandate to participate (for example, this may apply to Local Authorities, senior managers in private companies or public agencies, etc.).

Make arrangements and create channels for getting input to decision-making from other stakeholders outside the partnership as well as members of the public and for how this input will be taken into account. Stakeholders should be made aware of how they can contribute and how their views will be used.

Use question for Milestone 2: Governance structure

Table 4: Methods & tools for deciding what form of partnership working is right for your group

<table>
<thead>
<tr>
<th>Methods and Tools</th>
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</thead>
<tbody>
<tr>
<td>Collaborative decision making (Don and Rother)</td>
</tr>
<tr>
<td>Issues prioritisation (Frome and Piddle)</td>
</tr>
<tr>
<td>Terms of Reference for Task and Finish Groups (Adapted from material by Environment Agency and InterAct Networks)</td>
</tr>
</tbody>
</table>
Question 6: What is the relationship between your catchment work and the RBMP?

Where are you in the process?

Most groups or partnerships that have adopted a Catchment Based Approach and are developing collaborative partnerships to take this work forward will be aware that the Environment Agency is responsible for implementing a river basin planning process which results in the agreement of a River Basin Management Plan (RBMP) for each of the ten River Basin Districts in England every 6 years. River basin planning is an essential mechanism for improving the water environment by identifying the most important issues, assessing options for action and agreeing a programme of measures to address the issues. One of the roles of catchment partnerships will be to provide emerging local evidence to inform river basin planning.

Your partnership will need to decide how you want to feed into River Basin Management Plans. The planning phase of the second cycle of river basin planning runs till 2015, when the second River Basin Management Plans (2016 – 2021) will be agreed by Defra and published. There are opportunities to feed into this planning phase up until the end of the consultation on the draft RBMPs (January 2015), by providing evidence of pressures on the water environment and cost effective solutions to tackle them, including economic information. Catchment groups can give valuable information on the actions they will be taking to deliver improvements. The Challenges and Choices consultation (June to December 2013) and the draft River Basin Management Plan consultation (July 2014 to January 2015) provide important formal opportunities for groups to engage, in addition to ongoing discussions as part of the catchment based approach.

Adaptive management is a core principle of River Basin Management and even if a catchment group is not ready to help inform the second cycle planning phase, the Environment Agency will be looking for the group’s help in implementing and modifying the plan after it is published. There will therefore be opportunities to contribute to River Basin Planning beyond December 2015.

What is the issue and why is it important?

Defra’s Catchment Based Approach policy framework establishes that any group working in the catchment will be able to contribute to river basin planning through their catchment partnership or through the Environment Agency’s catchment contact, where there is no partnership. If you want to be recognised as catchment partnership for your catchment, you will need to get recognition from the Environment Agency.

Your decision about whether or not to seek formal recognition as a catchment partnership will have knock-on effects on how you plan and carry out your work. As a catchment partnership you may need to coordinate input to RBMPs from local community groups and groups working on specific issues within your catchment. You will probably be asked to provide certain kinds of information for the RBMP and possibly to use Environment Agency formats.

If you decide not to go down this route, you will need to understand how decisions will be taken on what happens to any input you provide for the RBMP and consider how you might be able to influence those decisions.
How can you answer this question?
You will need to make sure that all partners understand the decision to be taken and have a chance to participate in discussing it.

At time of writing, the Environment Agency had not published the procedures for being formally recognised as a catchment partnership or the definition of the roles of these partnerships. In order to find out the current situation:

- Check the Environment Agency’s website [http://www.environment-agency.gov.uk/research/planning/131506.aspx] and/or
- Get in touch with the Environment Agency’s contact person or coordinator for your catchment [see: Your Environment Agency catchment contacts: http://www.environment-agency.gov.uk/research/planning/131506.aspx]

Circulate all the information you have gathered to members before the meeting when you plan to discuss your decision. You may want to invite the Environment Agency Catchment Coordinator or contact person to this meeting to clarify any points that are unclear. Make sure that the representative who comes understands that their role is to provide information at the request of the members of the group and not to lead the discussion.

The Environment Agency will provide further information on how to engage with second cycle RBMP as the process unfolds during 2013 and 2014. Your local Environment Agency Catchment coordinator will be able to explain how you can get involved.
Question 7: What is the relationship between your catchment work and other partnerships or plans in the catchment?

Where are you in the process?

There are a number of partnerships for managing the natural environment (e.g. Nature Improvement Areas, Local Nature Partnerships, partnerships for funding flood schemes, etc.) and the local economy (Local Enterprise Partnerships) which your catchment partnership could usefully make links with. Formal and informal links may exist from the start of your work, if members of the catchment partnership are also participating in other partnerships. You will need to consider how important these relationships are in terms of achieving your vision and objectives and agree what members of the catchment partnership will do to create or build on them. Committing your partnership to contribute to or collaborate with others has implications for the distribution of resources between your activities and this needs to be considered.

What is the issue and why is it important?

Coordinating or collaborating with local partnerships can increase your chances of achieving your objective of improving the water environment for a number of reasons:

- Getting objectives and measures relating to the water environment included in other partnerships’ planning, thereby increasing the likelihood of action being taken;
- Mobilising the members or supporters of other partnerships to participate in or carry out activities that are a priority for your catchment partnership, raising the profile and increasing the impact of your actions;
- Collaborating on funding bids, thereby demonstrating the local relevance of and support for actions promoted by your partnership and increasing the likelihood of success.

On the other side of the equation, there is a risk that the existence of multiple partnerships in one area could result in lots of small initiatives dealing with particular issues and an inability to identify and address wider issues.

Why is it often helpful to adopt an integrated approach to catchment management?

Catchments are complex, and include human, ecological and physical elements which are interconnected. For example, many of the water quality and quality problems we face are linked to land use and land management activities. Conversely, problems such as flooding and drought are connected to the ways in which water is managed. Catchments also include different communities and places, and are affected by a range of public policies and institutional arrangements for land, water and other environmental resources.

It is important to take a holistic or ‘integrated’ view of the whole catchment as a human-ecological system. By doing this, we can avoid focusing too much attention on isolated problems or ‘symptoms’ whilst failing to appreciate the underlying causes as well as their consequences for people and the environment. Another advantage of adopting an integrated view is that stakeholders and other participants in the management process start to appreciate their
interdependencies, and realize that there can be significant benefits from working collaboratively rather than in isolation. This can be thought of as the ‘glue’ which binds the collaborators together as they carry out catchment appraisals, write plans and deliver joint actions.

However, it is important to appreciate that an integrated approach does not mean you have to look at everything and every interconnection within the catchment. The key is to identify the critical inter-connections that need to be better managed to improve the catchment. In some cases, this might mean prioritising the relationship between water abstraction and ecological habitat, elsewhere the priority might be the impacts of agriculture on public water supply sources. Clearly, your stakeholders might have very different views regarding what the main connections are, and what the priorities should be. It is really important to invest time in open and in-depth dialogue in order to build a clear collective view and strong consensus before attempting to formulate a catchment plan.

How can you answer this question?

Catchment partnerships focus on objectives for the water environment. A key driver is delivery of WFD targets; many pilot catchments prioritised actions to address a combination of diffuse and point source pollution from urban and rural sources and pressures affecting biodiversity and fisheries. Starting from a water environment focus can help to identify opportunities to work with other partnerships and planning processes, for example:

- Flood risk management: collaboration on actions to deliver multiple benefits, such as sediment management or the maintenance of gulleys and culverts, both of which could significantly reduce costs to local authorities and other stakeholders; providing a vehicle for applying for Grant-in-Aid, given the recent introduction of a requirement to demonstrate partnership working;
- Local Nature Partnerships: several pilot catchments developed working relationships with LNPS which led to information exchange to improve GIS data, sharing information about objectives and timescales to ensure that catchment planning was coherent with the work of the LNP and in one case getting the LNP to agree to act as the ‘strategic sub-partnership’ for one area of the catchment (Nene Pilot);
- Periodic review of the water industry: the Water Services Regulation Authority (Ofwat) sets water companies’ price limits every 5 years. This process also involves decisions on the services customers receive and companies’ future investments. Water companies often find that they can meet their obligations more effectively by working with stakeholders and many participated actively in the catchment pilots.

The pilot catchments found that having Local Authority representation in the catchment partnership helped facilitate integration with other local partnerships and planning processes. Given the multiple responsibilities of Local Authority staff and the pressures on their time, they are more likely to get involved in the catchment partnership can demonstrate the multiple benefits of water improvements, for example in terms of enhancing biodiversity, providing conditions for economic development or reducing flood risk. Partnerships have
been more successful in making their case when they know who to talk to in the local authority and have built up good personal relations with relevant staff.

Funding opportunities: coordinating with other partnerships over funding applications (in order to avoid competition for limited resources and to present joint applications where resources are available for large-scale projects) can enhance the capacity of catchment partnerships to access funding.

Table 5: Case study for contributing to other partnerships and plans

<table>
<thead>
<tr>
<th>Case Study</th>
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<tbody>
<tr>
<td>Cotswolds Pilot – Integrated Local Delivery</td>
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</tbody>
</table>
**Question 8:**
What information will you need?

**Where are you in the process?**

Information is needed throughout the catchment process and good information is critical to effective working. Earlier questions discussed the information needed for particular purposes (e.g. identifying what is important about the catchment).

**What is the issue and why is it important?**

Organisations leading the catchment pilots found it was very difficult to achieve a good level of baseline information about the catchment: only one pilot was fully satisfied with what they had done by the end of the period, with just over half saying they were mostly satisfied. It is important to recognise that, like most other elements of the Catchment Based Approach, understanding the issues in the catchment is an evolving task.

Getting access to basic data is a critical task. The Environment Agency, Natural England and the Forestry Commission have all committed to provide information to support catchment partnerships. Other partners will also have valuable information from their own sources which will enrich the evidence available. Partnerships often decide that they want to carry out joint activities which generate new evidence and allow members to share their expertise and build common understandings of the catchment.

Accessing data and evidence was one of the main factors that the pilot catchments said had slowed their progress so it is important to consider possible problems when thinking about scheduling. The problems encountered by the catchment pilots included:

- Delays in data being made available
- Difficulties in managing information from a range of sources
- Information generated by the catchment partnerships not being accepted as valid by the EA.

**How can you answer this question?**

Before starting to collect data or deciding how to present information and evidence, partners should consider the questions below. A good way of doing this might be to invite several members whose organisations use information systems to describe their approaches, so that the group can reflect on the advantages and disadvantages of real life options for their own work. Alternatively, you could compare the approaches described in the methods section, which have been used by catchment pilots.

- What do you need information for? (e.g. for mapping issues, deciding on priorities, monitoring change, knowing who else to engage, etc.).
- What evidence/data do you already hold? (e.g. on invasive species spread, water quality data etc.) This will help the collaborative group understand where there are gaps in knowledge and prioritise projects.
- How will you use the information?
- What are the challenges for obtaining information?
- What are the challenges for managing information collectively?
- How will you make sense of it together (e.g. work together to work out what it means, resolve any uncertainty or disagreement about what the information is telling you)?
- How will you deal with any issues arising re difficulties in sharing data across organisations, holding data in different formats, ‘interpreting’ technical data so it is understandable to less specialist stakeholders?
- How will you ensure any data you produce will be credible with others?

Table 6: Methods & tools for information gathering and sharing

<table>
<thead>
<tr>
<th>Methods and Tools</th>
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<tbody>
<tr>
<td>Catchment Mapping Portal (Association of Rivers Trusts)</td>
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<tr>
<td>SciMap (Teme)</td>
</tr>
<tr>
<td>Timelines (Lower Wear)</td>
</tr>
</tbody>
</table>
Question 9:
Do you need a Catchment Plan?

Where are you in the process?

The issue of whether or not to develop a plan, what sort of plan this might be and how it could be developed may come up as soon as partners start working together or it may only be raised later on. It is more likely that this is a question partners will consider early on, as having a plan helps partners to be explicit about the resources they can contribute and the outcomes they expect to be achieved. This is important for their own organisations’ business planning and resource allocation, for communicating with other stakeholders about the partnership’s work and how they might support it and to communicate about the work to wider publics.

What is the issue and why is it important?

Developing a Catchment Plan is often seen as the main purpose of a catchment initiative. But the group doesn’t necessarily need to spend time writing down a formal plan; you could just plan your activities and get on with them. There are a range of types of plans which serve different purposes.

Plans can be used to:

- outline what should happen
- indicate what could happen under different circumstances and choices
- specify what will happen (possibly including when, how and by whom)

Deciding whether you need to develop a plan and, if so, what sort of plan you need or would find most helpful, is an important step in focusing the work of the partnership. Your decision about the purpose of the plan will in turn affect the way you go about developing it. Planning also involves defining questions about scope, content and characteristics of the catchment. For example, do partners have a shared understanding of the catchment and its boundary?

How can you answer this question?

Defining objectives or a joint vision before beginning planning will tend to increase the sense of ownership of the plan and the planning process for all partners involved. Using a template or a draft plan provided by a partner or another organisation can create the feeling that responsibility for the plan lies with someone else and make some partners take a more passive role. On the other hand, examples of other plans can be used to help partners define which content and design features they would like to see in their own plans and which they definitely don’t want.
One way of getting agreement between partners about the purpose of the catchment plan, is to use the matrix below to understand the extent to which (1) members of the group have agreed goals and (2) there are known solutions to the catchment’s problems (referred to as ‘technology’ or ‘means’).

<table>
<thead>
<tr>
<th>GOALS (ENDS)</th>
<th>TECHNOLOGY (MEANS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agreed</td>
<td>Unknown</td>
</tr>
<tr>
<td>B</td>
<td></td>
</tr>
<tr>
<td>A</td>
<td>Known</td>
</tr>
<tr>
<td>C</td>
<td></td>
</tr>
<tr>
<td>D</td>
<td></td>
</tr>
</tbody>
</table>

Get each partner to put a dot on the matrix to show where they think the group is in relation to these two aspects. If people put their dots in very different places, discuss the reasons and try to come up with a common view. You may decide that your group is clearly in one of these boxes or that it is somewhere between them. Depending where you place yourselves, the focus of your work is likely to be very different. The matrix below characterises the overall planning priority and focus associated with each of the boxes.

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6 This approach and the two diagrams shown come from Christensen, K.S. (1985), ‘Coping with uncertainty in planning’, *Journal of the American Planning Association*, 51(1), pp.63-73. [Permission is being requested]
Agreeing the purpose of the plan will help the group take other decisions for example, will the plan be:

- Long- or short-term?
- Web-based, paper based or both?
- Aimed at interested stakeholders or a wider audience?

Given the range of potential purposes and processes of catchment planning, it is inevitable and appropriate that plans will look very different. Partners may start with an idea of what a plan should look like and it is not always easy to accept that something different will work better.

Remember that catchment planning is an ongoing, iterative process. You can make a great start through data gathering, engagement and dialogue, but there will always be room for further work or adaptation to changing conditions.

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*We decided that our [Plan] would be pitched at community level. I was then challenged about writing it to sound too basic by the collaborative group!***
**Question 10: How can you engage with members of the public?**

**Where are you in the process?**

Engagement with wider stakeholders and members of the public is likely to be more effective when catchment partnerships, and particularly their steering or core leadership groups, are working successfully as teams. In many partnerships, steering groups will be made up of individuals who have not worked together previously; they may also have limited experience of collaborative working or engagement. This means that partnerships will often not be in a position to engage with wider publics for several months or until they are confident that they are working as a team.

In other situations, engaging with members of the public early on may provide valuable information not just about the catchment conditions and issues but also about the concerns and priorities of local people. Engaging early can also be seen as an investment as people are likely to be more aware of what is happening and why and be able to assess and prioritise different options for action.

**What is the issue and why is it important?**

Getting a sense of public views on issues in the catchment early on could provide your partnership with a starting point and the confidence that your work reflects views held by people across the catchment. This may be particularly important where partners have divergent views; partners may be willing to accept that support for a particular view from members of the public gives this greater legitimacy as a driver for future action.

If the partnership is seeking to contribute to or influence local plans and decision-making, it will be important for you to demonstrate that your positions and actions reflect the views and priorities of many members of the public. This justifies putting resources and efforts into engaging more widely with people beyond the interested stakeholders on order to get their views and input to the work you are doing.

The way that you engage with people will affect their response and contribution. It is worth planning engagement carefully and considering getting support to design and run engagement activities, to ensure that these are successful. If you or other partners have been involved in unsuccessful engagement in the past, you may be wary of having another bad experience. However, catchment partnerships need to be responsive and accountable to people in the area, so not engaging is not an option. The best approach is to plan engagement to make sure that risks of things going wrong are minimised.

**How can you answer this question?**

1. Consider the purpose of engaging with members of the public:
   - What, if anything, do you want to inform, educate, enthuse people about?
• What, if anything, do you want to ask them (for information, perspectives, preferences, to get involved in activities you’ve already designed and decided)?
• What, if anything, do you want to involve them in designing and deciding?
• Which members of the public do you need or want to engage with and why? (you may have different aims for engaging with different stakeholders).

Not all the catchment pilots undertook public engagement. Those that did had one or more of the following objectives:

• Information provision
• Information gathering
• Consultation
• Extended involvement.

Think about when you will need input from members of the public and how this could fit in with other tasks the partnership needs to carry out.

2. Look at the tools developed and/or used by catchment groups during the pilot phase, to get an idea as to whether the approaches taken could generate the kind of input from members of the public that would be useful for developing your work.

The table shows the way that different public engagement activities influenced the Catchment Based Approach in different pilots.

**Examples of activities and influences in relation to the objectives of public engagement**

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Types of engagement activities</th>
<th>Example influences</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Direct face to face engagement</strong></td>
<td><strong>Indirect engagement with representatives of the public</strong></td>
<td><strong>Direct on-line activities</strong></td>
</tr>
<tr>
<td>Information provision</td>
<td>• Numerous: launch events were held in many of the pilot areas and these often included spaces for members of the public to attend.</td>
<td>• Numerous: worked with representative community groups such as the Angling Trust and Canoe Trust to raise the profile of the pilots either via events or through disseminating materials.</td>
</tr>
<tr>
<td></td>
<td>• Lower wear: worked with schools to train teachers to identify river invertebrates.</td>
<td>• • Numerous: worked with schools to train teachers to identify river invertebrates.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Volunteers coming forward to support project delivery.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Improved awareness of issues and potential for behaviour change.</td>
</tr>
<tr>
<td>Information gathering</td>
<td>• Tidal Thames: held pop-up workshops alongside existing</td>
<td>• Bradford Beck: worked with local Asian</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Changes to the priority</td>
</tr>
<tr>
<td>Objectives</td>
<td>Types of engagement activities</td>
<td>Example influences</td>
</tr>
<tr>
<td>------------</td>
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</tr>
<tr>
<td><strong>Objectives</strong></td>
<td><strong>Direct face to face engagement</strong></td>
<td>projects and activities to be undertaken by the pilot.</td>
</tr>
<tr>
<td></td>
<td>volunteering events. These workshops included scope to provide input to the emerging catchment plan and to identify specific projects and issues on the Thames.</td>
<td>• Increased confidence in approach and projects.</td>
</tr>
<tr>
<td></td>
<td>• Cotswolds: have sought to identify local people with specific, relevant areas of expertise to support the delivery of the pilot.</td>
<td>• Indicated that there is public support for aspects of the pilots.</td>
</tr>
<tr>
<td><strong>Consultation</strong></td>
<td><strong>Indirect engagement with representatives of the public</strong></td>
<td>• Discussions and changes to specific aspects of projects.</td>
</tr>
<tr>
<td></td>
<td>community leaders to explore potential barriers to engagement with the river.</td>
<td>• Understand of how people use the water environment.</td>
</tr>
<tr>
<td></td>
<td>• Numerous: consultation events were relevant across all three objectives.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Numerous: held public consultation events to explore the public’s view of the pilot area (a vision for the area).</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Numerous: consulted with representative community groups to explore issues around specific projects and challenges.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Adur and Ouse: used Crowdmap to gain information inputs from members of the public, they reported a low level of responses.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Numerous: hosted documents and draft plans on their websites to receive consultation responses.</td>
<td></td>
</tr>
<tr>
<td><strong>Extended involvement</strong></td>
<td><strong>Direct on-line activities</strong></td>
<td>• Discussions and changes to specific aspects of projects.</td>
</tr>
<tr>
<td></td>
<td>were used to identify issues and potential solutions.</td>
<td>• Understand of how people use the water environment.</td>
</tr>
<tr>
<td></td>
<td>• Cotswolds: working with parish council and Rural Community Council to explore significant issues in the catchment and how to respond.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Teme: used a ‘Ripple Project’ method where members of the public worked in small groups to explore their memories of the river and to expand this to consider a vision for the catchment and how this could be achieved.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Cotswolds: had community representative groups as part of their pilot group / Steering Group and / or working groups.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Numerous: had community representative groups as part of their pilot group / Steering Group and / or working groups.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Numerous: used social media to hold discussions with the public.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Increased participation with the project from the public and institutional and sectoral stakeholders.</td>
<td></td>
</tr>
</tbody>
</table>
Further information on methods and approaches for community participation by the catchment pilots can be found in the report to Defra and Sciencewise by Dialogue by Design (March 2013) *Support to catchment pilots – facilitation and resources for community participation*.

**Table 7: Methods and tools for engaging with members of the public**

<table>
<thead>
<tr>
<th>Methods and Tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Catchment Walkovers (New Forest)</td>
</tr>
<tr>
<td>Ketso Toolkit (Wandle)</td>
</tr>
<tr>
<td>Pop Up Workshops (Tidal Thames)</td>
</tr>
<tr>
<td>River Story (Bristol Avon)</td>
</tr>
</tbody>
</table>
Question 11: What do you need to understand about the costs and benefits of your work?

Where are you in the process?

In any situation where people or organisations are making a financial, time or other commitment, they will expect to see a return. In the case of catchment management, they will want assurance that the benefits of being involved in the process outweigh the costs, whether to them individually (or their organisation) or to society as a whole. An understanding and presentation of the costs and benefits is therefore likely to be needed.

The majority of people who become involved in catchment management will not be trained economists. Therefore, a process is needed to enable the costs and benefits to be assessed and recorded simply, but transparently, in ways which most people understand.

During the pilot phase, hosts and participants were asked about the amount of time and other resources they had dedicated to the pilot. They were also asked to identify and, where possible, describe the benefits of being involved. Overall, this demonstrated that the process of collaborative catchment planning is good value, although it is still too early to say whether the economic, social and environmental benefits delivered by measures on the ground outweigh the costs of implementing those measures.

What is the issue and why is it important?

Assessing the costs and benefits of your work needs to be based on early agreement and consistent approaches. Without these, the results will be difficult to interpret and are more likely to be open to challenge. Identifying and agreeing the framework, tools and measures to be used is therefore crucial. It is also important that the information is coordinated and assessed transparently, by trusted individuals or organisations. Framing the approach for analysis correctly at the beginning will significantly reduce the potential for problems later.

How can you answer this question?

- Why do you need information about costs and benefits?
  
  This information is required to help demonstrate the case for involvement with and investment in the approach. Individuals and organisations will need to justify their involvement and commitment (whether that be time, financial input or other ‘in-kind’ support) and are more likely to obtain this if it can be shown that the benefits (economic, social or environmental) outweigh the costs.

  If your group wants to propose catchment actions to be included in the RBMP, you will need to provide economic information on the costs and benefits of the proposed actions.

- What information will you need? Who needs to be involved in helping understand the costs and benefits?
You will need information on the range of potential costs and benefits that could be important. Some examples are shown in the table below.

<table>
<thead>
<tr>
<th>Costs</th>
<th>Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time dedicated by individuals</td>
<td>Better engagement, relationships or understanding of the issues</td>
</tr>
<tr>
<td>Financial support (grants, loans, etc)</td>
<td>Improved social outcomes (e.g. health)</td>
</tr>
<tr>
<td>Direct investment (e.g. by water companies or others)</td>
<td>Contribution to the local economy (jobs, skills, investment for regeneration, etc.)</td>
</tr>
<tr>
<td>In-kind support (e.g. hosting meetings)</td>
<td>Improved environmental outcomes</td>
</tr>
<tr>
<td>Incurred costs of involvement (e.g. travel, meals)</td>
<td>Improved planning or decision making</td>
</tr>
</tbody>
</table>

A number of people or organisations will need to be involved in obtaining this information. Some groups (e.g. the Environment Agency) will have well-established and thorough approaches to recording time and other inputs while others (e.g. voluntary organisations) may not and may need support to help record the costs and benefits to them. The process adopted should take account of these differences in background and approach.

- **What information will you need for funding bids?**
  Each funding bid is likely to have different requirements, depending on the specific objectives. However, for most such bids, you will be expected to provide a detailed resource breakdown (how much and what type of resources will be required, and for what purpose), along with an expectation of the likely outcomes (benefits) of the investment, and how these outcomes (benefits) will be realised, communicated and shared.

- **How can you calculate costs and benefits?**
  A variety of approaches exist to enable the costs and benefits to be identified, assessed and recorded. These vary in the amount of detail and expertise required, and the approach you adopt should be proportionate to the likely outcome. Essentially though, you will need to identify:
    - The baseline situation – what is the situation now (and ideally how might this change in the absence of any catchment approach)?
    - The expected impacts of the approach (costs and benefits).
    - How these impacts will be recorded.
    - The extent to which impacts can be assessed qualitatively (described), or whether some can be quantified and expressed as monetary values.
    - How future costs and benefits will be assessed (e.g. through discounting).
    - How costs and benefits will be aggregated.
• To whom the costs and benefits will accrue (will any individuals or groups be particularly affected, whether positively or negatively?).

• How costs and benefits will be evaluated and reviewed.

Depending on the degree of detail required, you may need specialist economic advice to support some of this work.

**Table 8: Methods and tools for understanding and assessing costs and benefits**

<table>
<thead>
<tr>
<th>Methods and Tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Multiple Benefits Mapping (Tamar)</td>
</tr>
</tbody>
</table>

**Useful References**

- Defra Valuing ecosystem services [https://www.gov.uk/ecosystems-services#valuing-ecosystem-services](https://www.gov.uk/ecosystems-services#valuing-ecosystem-services)
Question 12: What outside support does the group need for its work and how can you obtain it?

Where are you in the process?

Most partnerships need external funding to cover some of the initial costs of working together, particularly the cost of coordination between partner organisations and facilitation of group planning and decision-making processes. It may be difficult to apply for funding as a partnership until a common vision and priorities have been established and basic working arrangements agreed.

Once your partnership is more established, you may find you still need ongoing funding for coordination. This will depend on factors such as the size of the catchment and number of partners, the degree to which partners are working together on other topics (which may mean that coordination and collaboration are part of normal working practices) and the existence of funded workers in member organisations who work on projects that have links or synergies with other activities that may provide funding for coordination, meetings workshops etc.

Once the partnership has agreed on joint actions (through a catchment plan or other mechanisms) members will need to identify and obtain funding for implementation. The evaluation of the catchment pilots found that a relatively small proportion of the actions included in the pilots’ catchment plans had existing or proposed budgets and funding mechanisms. Where funding had been obtained, the most common mechanisms included: the Catchment Restoration Fund (now closed), water company Periodic Review funding and flood defence Grant in Aid. Developing budgets and securing funding is a major challenge for the delivery of improvements at the catchment scale.

What is the issue and why is it important?

Defra’s policy framework for the Catchment Based Approach says that catchment partnerships ‘will need to secure long term, self-sustaining, local funding arrangements’.

Defra has made available £1.6M in 2013/14 to support establishing functioning catchment partnerships in addition to the support role provided by the Environment Agency. After this, catchment partnerships will need to establish new funding sources.

During the piloting of CaBA, both pilot leads and other stakeholders told the evaluators that catchment partnerships would need funding from Defra. The purposes of the funding mentioned most frequently were for start-up and to pay someone to take on the coordination and administration role (on a part-time or full-time basis). While Defra provided seed-corn funding for the catchment pilots, overall pilot hosts made direct contributions of an equivalent value. The evaluation found evidence that the Catchment Based Approach attracts significant in-kind and other support, multiplying benefit from the pilot.
As well as time, a significant amount of other inputs (for example, meeting rooms, provision of data) were provided voluntarily or without charge. However, there was also some evidence that this ‘goodwill’ is finite and could run out if future funding is not secured or if the expected benefits do not materialise. These issues need to be considered by partnerships when planning the future work.

How can you answer this question?

Developing a funding strategy

While some partnerships are born from a successful bid for funding, in general partners will need to get to know each other by working together before they have a sense of what activities are essential but can’t be provided out of the partnership or its members’ own resources.

Your funding strategy should link to and be consistent with your overall vision and priorities. For example, the Tamar Pilot used the ecosystem approach as a foundation for its work and also for its funding strategy (see illustration at the top of the previous page). In the Adur and Ouse Pilot, agreed overall funding priorities but then applied to funding sources separately or as smaller groups, so that organisations could target sources where they had the best chances of success.

Targeting efforts will help you avoid spending time chasing after funding for activities which are not core to your purpose as a partnership or where the timing does not fit in with other partnership priorities. You may have someone who is very successful in winning funding, but if unfocussed there is a risk that this could lead to people becoming exhausted and being less effective.

There are two main types of funding need:

- Funding for the actions that are prioritised in the catchment plan.
- Funding for the group that makes the strategy – to ensure that the group or partnership is able to go on working together.

Start-up funding

You will have to decide whether the partnership will need start-up funding in the financial year to the end of March 2014. If you identify a need for external funding for this period, you should find out from the Environment Agency as soon as possible how to apply for funding [http://www.environment-agency.gov.uk/research/planning/131506.aspx].

Indicative milestones for allocating this funding are:

- 22 June 2013 - Environment Agency seeks Expression of Interest from eligible bodies to act as catchment group facilitators (coupled to River Basin Management Challenges and Choices Consultations).
- 22 June to late July 2013 - Local discussion between catchment groups, prospective facilitators and the Environment Agency to develop Expressions of Interest.
- Late July/early August 2013 - Deadline for Expressions of Interest to Environment Agency.
• August 2013 - Evaluation of Expressions of Interest.
• September 2013 - Award of grants to successful group facilitators.

Further details on the allocation of this funding are available on the Environment Agency’s website.

Defra is also providing a fund for this financial year 2013-14 to recruit and train catchment partnership facilitators. Wherever possible, and with the agreement of stakeholders, Defra would like this role to be undertaken by eligible third party organisations (charities).

Other sources of external funding

The Environment Agency has collated information on applying for funding from different sources. This information is available on the Environment Agency’s website: [http://www.environment-agency.gov.uk/research/planning/148386.aspx](http://www.environment-agency.gov.uk/research/planning/148386.aspx) Defra is likely to have some role in agreeing and allocating future funding to specific catchment based projects. How this works in detail will be the subject of guidance to be published in the future. This guidance or additional information on funding will also be made available on the Environment Agency’s website.

Table 9: Methods and tools for identifying needs and obtaining external support and funding

<table>
<thead>
<tr>
<th>Methods and Tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environment Agency Funding factsheets (see above)</td>
</tr>
</tbody>
</table>
## 5. Methods and Tools

The following list shows the methods and tools available and the questions they are most relevant to. Further Methods and Tools will be added as the Catchment Based Approach develops.

<table>
<thead>
<tr>
<th>Relevant question</th>
<th>Name of tool</th>
<th>Source of information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Question 1:</strong> Is a catchment based approach right for you?</td>
<td>Common Areas Tool</td>
<td>InterAct Networks/Environment Agency</td>
</tr>
<tr>
<td></td>
<td>Ketso</td>
<td>Ketso Toolkit/The Wandle Trust</td>
</tr>
<tr>
<td><strong>Question 2:</strong> What is important about your catchment?</td>
<td>Activity Mapping</td>
<td>Irwell Pilot</td>
</tr>
<tr>
<td></td>
<td>Evidence Mapping</td>
<td>Adur and Ouse Pilot</td>
</tr>
<tr>
<td></td>
<td>Climate Change Adaptation</td>
<td>Environment Agency</td>
</tr>
<tr>
<td></td>
<td>Catchment Line Diagrams</td>
<td>Ribble Pilot</td>
</tr>
<tr>
<td></td>
<td>Backcasting</td>
<td>Irwell Pilot</td>
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<tr>
<td></td>
<td>Ketso</td>
<td>Ketso Toolkit/The Wandle Trust</td>
</tr>
<tr>
<td></td>
<td>Visioning</td>
<td>Multiple Sources/CEP</td>
</tr>
<tr>
<td><strong>Question 3:</strong> Who should be involved?</td>
<td>Stakeholder Matrix</td>
<td>Welland Pilot</td>
</tr>
<tr>
<td></td>
<td>Axis Method</td>
<td>Environment Agency and InterAct Network</td>
</tr>
<tr>
<td><strong>Question 4:</strong> How do partners want to share roles and responsibilities?</td>
<td>Terms of Reference for Task and Finish Groups</td>
<td>Environment Agency and InterAct Network</td>
</tr>
<tr>
<td></td>
<td>Collaborative decision-making</td>
<td>Don and Rother Pilot</td>
</tr>
<tr>
<td></td>
<td>Participatory Options Appraisal</td>
<td>Frome and Piddle Pilot</td>
</tr>
<tr>
<td><strong>Question 6:</strong> What is the relationship between your catchment work and the RBMP?</td>
<td></td>
<td></td>
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<tr>
<td><strong>Question 7:</strong> What is the relationship between your catchment work and other partnerships or plans in the catchment?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Relevant question</td>
<td>Name of tool</td>
<td>Source of information</td>
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</tr>
<tr>
<td>Question 8: What information will you need?</td>
<td>Catchment Mapping Portal</td>
<td>The Rivers Trust</td>
</tr>
<tr>
<td></td>
<td>Timelines</td>
<td>Lower Wear Pilot</td>
</tr>
<tr>
<td></td>
<td>SciMap</td>
<td>Teme Pilot</td>
</tr>
<tr>
<td>Question 9: Why do you need a catchment plan?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Question 10: How can you engage with members of the public?</td>
<td>Catchment Walkovers</td>
<td>New Forest Pilot</td>
</tr>
<tr>
<td></td>
<td>Ketso Toolkit</td>
<td>The Wandle Trust</td>
</tr>
<tr>
<td></td>
<td>Pop-Up Workshops</td>
<td>Tidal Thames Pilot</td>
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<tr>
<td></td>
<td>River Story</td>
<td>Bristol Avon Pilot</td>
</tr>
<tr>
<td>Question 11: What do you need to understand about the costs and benefits of your work?</td>
<td>Multiple Benefits Mapping</td>
<td>Tamar Pilot</td>
</tr>
<tr>
<td>Question 12: What outside support do you need and how can you obtain it?</td>
<td>Environment Agency Funding factsheets</td>
<td>Environment Agency</td>
</tr>
</tbody>
</table>
## 6. Case Studies

<table>
<thead>
<tr>
<th>Relevant question</th>
<th>Example</th>
<th>Source of information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Question 7: What is the relationship between your catchment work and other partnerships or plans in the catchment?</td>
<td>Integrated Local Delivery</td>
<td>Cotswolds Pilot</td>
</tr>
<tr>
<td>Question 8: What information will you need?</td>
<td>Online information</td>
<td>Ribble Pilot</td>
</tr>
</tbody>
</table>
7. Evaluation and Review

The value of evaluation

Monitoring and evaluating the work of catchment partnerships is important to:

- Assess outcomes and achievements in each catchment.
- Provide evidence of what’s working as well as of challenges to be addressed, to enable catchment partnerships to recognise and extend good practice and to identify and target areas of their work that require improvement.
- Provide information and examples of good practice to motivate continued participation and to support partnerships’ funding bids.
- Provide evidence of the impact of catchment based work on improving the water environment across England.

Components of a common evaluation system

Defra are developing ways of measuring overall progress. The overall evaluation approach will measure the delivery of Water Framework Directive objectives. The results of this evaluation will be communicated to Defra by the Environment Agency. The evaluation design is likely to include:

- Small set of common indicators to make it possible to compare progress across the catchments and to generate aggregated data for the River Basin District and national scales.
- Catchment-level indicators to make it possible to assess progress towards achieving local objectives.
- Simple recording and reporting tools to facilitate regular recording of relevant data and sharing with catchment stakeholders, with other catchments and at a national level with Defra and the Environment Agency and with other national stakeholders. Feedback forms and short surveys of participants should be used to get the views of stakeholders both about individual activities and initiatives and about overall impacts on the catchment.
- Regular analysis and review of evaluation results by partnership members in order to identify key findings, discuss implications and agree actions to ensure that current good practice is maintained and extended and that weaker areas are improved.

In terms of good practice, self-evaluation and learning should be embedded into partnership activities so that members regularly reflect on their own practice and build a body of knowledge about effective measures to improve the water environment at the catchment level.