Strategy and Policy Development (SPD) - Theme Work Plan, 2005-2010
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1. Introduction

This Work Plan sets out the planned and completed activities that have been, or will be, carried out to develop and undertake R&D within Strategy and Policy Development (SPD) Theme of the Joint Defra / Environment Agency Flood and Coastal Erosion R&D Programme. For the purposes of the SPD workplan such activities will not be limited to studies funded solely by the R&D programme. Key supporting documents are located in the annexes, referenced documents that are available on the website have their links included.

The Strategy and Policy Development Theme was one of the four new themes formed following the recommendations of the independent review of the thematic research programme. The Theme Work Plan identifies a 5 year work programme which sets out priority work packages and a schedule for delivery. It shows how we will respond to the business drivers and objectives defined in the Theme RO Statement. The work plan is a working document for use by those involved in managing, advising, reviewing and evaluating the Programme. It is available, along with details of SPD projects, on the Defra website. Theme work plans will be updated and issued annually. In the SPD theme it is particularly difficult to predict future requirements for a five year period because policy drivers move so quickly, and so the document is designed to retain a degree of flexibility to so that the theme can to respond to urgent, emerging needs as may arise over the five year period.

2. Achieving the ROAME aims and objectives

The ROAME statement contains a full outline of the specific objectives of the workstreams that apply to the SPD theme. It identifies the beneficiaries of each workstream, a baseline (dated 2005) and an evaluation criteria against each objective. It should be noted that the objectives were drafted in 2006 and over time they may not all result in specific research requirements.

The SPD programme of work is primarily shaped by the cross-government Making Space for Water (MSW) programme that is the prime vehicle for development of policy on flood and coastal erosion risk management. The outcome map overleaf illustrates how the R&D contributes to the Flood risk management outcome, and the changes in policy that could occur as a result of the R&D. The outcome stated is based on MSW and is likely to remain a prime driver during the 5-yr period of this workplan. During 2006 Defra introduced a broader underpinning framework based on the WWF concept ‘one planet living’. The principle is that policy development should promote change that would enable everyone to live sustainably within the renewable resources within this single planet rather than the equivalent of three planets that current living rates of consumption in countries like UK would require. For Defra key aspects of this have been identified as avoiding dangerous climate change and maintaining and enhancing the natural asset base. The relation of key Flood Management activities to this framework is illustrated in Annex A.

The main initial focus of the new SPD theme will be to provide the supporting research to areas of policy being developed within the MSW Implementation Plan. The theme will also have a broader horizon-scanning role to consider longer-term 20-50 year requirements beyond the MSW implementation plan. In most cases once sufficient evidence is obtained to support any policy change through the SPD

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programme then further research to support or improve delivery would pass to one of the other theme areas (or, in some cases, to another policy area).

The theme programme will, therefore:

- Support Evidence & Innovation to all key policy areas covered by the 'Making Space for Water' implementation programme, in particular,
  - New approaches to risk and appraisal
  - Developing a holistic approach, including a portfolio of measures
  - Improving sustainability, including social issues
  - Climate change impacts on policy;
- Review Evidence and Innovation needs of related policy areas,
- Commission evidence work to meet identified requirements from both R&D and consultancy budgets, as appropriate, and
- Use longer term horizon scanning to support research needed for likely directions of policy development 2010-2020 (i.e. beyond MSW).

Outcome system map for Flood management R&D

![Outcome System Map](image)

2.1 Theme Coverage

The theme will cover Horizon scanning and policy development through:

- Strategic objectives
- Integrated approaches\(^2\) to all forms of flooding (links to MAR and IMC themes)

\(^2\) Integrated approaches are those that aim to bring together the various parties with responsibility for aspects of water or land management that impact on flood risk and its alleviation. For example in many urban areas local authorities, water companies, highway authorities, the environment agency and property owners may all have a responsibility for management of some part of the system that
• Land management (links to MAR theme)
• Broadening environmental and social outcomes
• Better understanding of adaptation tools
• Reviewing and development of risk assessment and guidance
• Responding to, or taking account of future change, including climate change (link to MAR theme)
• Building stakeholder and community engagement (link to IMC theme)
• Land Use Planning (Defra/Environment Agency inputs to DCLG policy area)
• Encouraging and incentivising increased resilience to flooding
• Horizon scanning and long term policy needs

2.2 Five-year outline plan for achieving the ROAME aims and objectives

Figure 1 outlines the R&D drivers and levers required to change policy and the specific objectives are stated in the ROAME, the diagram below indicates the anticipated years in which it is possible that R&D requirements might arise. The current project to draft a strategy for social science in the research programme will help embed social science within the wider context of FCERM, it is consistent with the objectives to finding holistic solutions to flooding issues.

<table>
<thead>
<tr>
<th>Specific objective</th>
<th>MSW project</th>
<th>05/06</th>
<th>06/07</th>
<th>07/08</th>
<th>08/09</th>
<th>09/10</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic objectives</td>
<td>HA1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Integrated approaches to all forms of flooding</td>
<td>HA2, 4 &amp; 5</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Land management</td>
<td>HA6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Broadening environmental and social outcomes</td>
<td>SD1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Better understanding of adaptation tools</td>
<td>SD2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reviewing and development of risk assessment and guidance</td>
<td>SD3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Responding to, or taking account of future change, climate changes science</td>
<td>SD5</td>
<td></td>
<td></td>
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<td></td>
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<tr>
<td>Building stakeholder and community engagement</td>
<td>SD6</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Land Use Planning (Defra/Environment Agency inputs)</td>
<td>SD8</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Encouraging and incentivising</td>
<td>RR1/RR2</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

could lead to flooding. Integrated solutions aim to provide a framework for effective collaboration and clarity for all stakeholders.

3 Adaptation tools: tools, techniques and methodologies that provide solutions to enable individuals and communities to be able to adapt and respond effectively to future change, such as predicted future coastal erosion.

4 Risk assessment: all aspects of the evaluation of risks (i.e. both probability and consequence) of flooding and/or coastal erosion, including estimation of the way risks are likely to change over time.
increased resilience to flooding

Horizon scanning and long term policy needs  n/a

Figure 2: Lighter shading indicates less certainty of need/timing

Note: The HA2 project shown is the programme of integrated urban drainage pilots funded from a special allocation of the Defra FM programme budget. Other research and evidence requirements related to this area is not yet defined though some are likely to be modelling based and hence will be carried out under the MAR theme.

2.3 Benefits

Broadly speaking research undertaken by the theme will result in:

- Soundly based policy changes
- Convergence of stakeholder views based on sound evidence
- Revised guidance based on tried and tested approaches
- Extended ‘toolkits’ that are proven to be practical and affordable
- Clear understanding and basis for climate change adaptation and appropriate levels of precaution in recommended guidance

More detailed information about capturing benefits is outlined in the Programme management, section 3.

3. Programme Management

The overall structure and organisation of the Joint programme is set out in the Programme Definition Document (PDD). Each theme has a Theme Manager, who has day-to-day responsibility for the theme programme, a Theme Champion who provides overall direction to the theme and a Theme Advisory Group (TAG) who provide input and review for the programme. The TAG members are listed at Annex B.

3.1 Project Area Steering Groups

These groups provide and review project proposals for TAG. They are flexible groups which can be dissolved and reformed as the emphasis of the programme changes. Wherever possible existing project groups, especially the MSW project teams, will act as steering groups this is consistent with the assumption that all projects will relate to a particular business area and therefore there will be a natural responsibility for these groups to adopt the Steering group role. By adopting this basic principle there should be relatively little effort required to identify the Project Officer and Steering group and through these the business end-user will be embedded in the project from start to finish.

For MSW-related projects within the SPD theme the MSW project team, or subset of, will take on the PASG role, for example any projects that relate to economic appraisal methods will be steered by the Project Appraisal Advisory Group, this group is a subset of members from the MSW SD3 workstream.


June 2007
3.2 Links to other themes

The Programme management infrastructure provides ample opportunity for Theme representatives to engage and develop their Theme programmes. Theme Managers will, with the appropriate Dissemination Advisor, monitor the programmes of other themes and identify overlaps, duplication and possibilities of joint promotion and co-operation.

Where SPD research leads to a change of policy there will often be a requirement for further research to support development and implementation, such work is expected to be carried out within the appropriate MAR, SAM or IMC theme.

The SPD Theme is strongly linked to other Themes/Programmes as indicated in paragraph 2.1:

- Modelling & Risk theme (MAR)
- Incident Management and Community engagement theme (IMC),
- Strategic Asset Management theme (SAM),
- Making Space for Water Implementation Programme, as outlined in the Introduction.

The Programme Management team held a workshop in January 2007 to identify cross-cutting issues in the individual R&D Programme Themes and their respective five-year work-plans. This will be repeated at appropriate intervals as the programmes develop.

3.3 Links established with External Scientific and Technical Organisations

The SPD theme has many links to organisations through the MSW project workstreams, Joint Programme team contacts (via collaborative research programmes) and its projects.

3.3.1. Links to the Research councils (EPSRC and NERC) are established at a Programme level, Theme Champions and Managers pay close attention to relevant projects contained within such programmes at a detailed level.

Current Funded Research Council work

- **EPSRC**, Flood Risk Management Research Consortium (FRMRC): Stakeholder Engagement: Research Priority Area 7. There are links to ERSC resources through this Consortium, however Defra has other mechanisms for engaging with ESRC that the SPD theme will explore during the period of this work plan.

- **NERC** establishments, such as Centre of Ecology and are funded via individual projects in the SPD theme.

Non-Defra/EA funded Research Council work

- **NERC**: FREE

3.3.2. The SPD theme is particularly interested in the following elements of the EU funded FLOODsite project that will run for the duration of this workplan; Vulnerability (tasks 9, 10 and 11, theme 1.3), pre flood measures (tasks 13, 14 and 17, theme 2.1) and integrated framework for long term planning (task 18, theme 3) and their application within the case study work.
3.3.3 Links have been established with other EU national research funders via the CRUE ERA-Net project, the SPD theme is currently administering three of the pilot common call projects.

3.4 Theme development

The annual theme programme will be discussed by the TAG and managed by the Theme Manager in accordance with the Programme Definition Document. The budget and headroom will be determined annually between the Programme managers and the Programme Board, this document will record project plans and actual expenditure only.

Horizon-scanning: This theme will investigate and exploit opportunities to monitor and predict potential new areas of policy interest, discuss gaps in the supporting research and evidence base and to look further ahead. The result of discussions at the June 2006 workshop fed into the development of the 2007/08 plans. It is thought that such a fora might also be utilised to contribute to future development of the Defra Strategy.

3.5 Annual statement of outputs and benefits

An annual statement of achievements will be compiled each year and assimilated into the Programme Managers annual statement to the Joint Programme Board. The Theme Manager will maintain a log of all significant project activity, including information such as project title, procurement type, contract value, start/finish times, outputs, dissemination events, benefits and other relevant Defra studies will be used to compile the annual statement.

3.6 Evaluation of Theme progress

From March 2007 there will be an annual review progress against RO objectives and evaluation criteria, where appropriate. The review will identify gaps, areas where Theme is ahead of or behind schedule, and major risks.

All projects will be monitored and evaluated as outlined in section 4 and 5 of the PDD, and captured in the Annual report. Project Area Steering Groups will be formed and reviewed to match any new portfolios should they arise. The work plan will be reviewed annually and adjusted as necessary in response to new policy drivers.

3.7 Resources

The theme is run on the basis laid down in the PDD, Linda Aucott⁶ is the Theme Champion and Sue Antonelli the Theme Manager. The SPD theme resources are integrated into the Defra policy area, both the above roles are undertaken as part of wider FM Evidence and Innovation Programme activities. The work of the theme is supported by other specialists who are Project Officers, Dissemination Officers or Procurement administrators.

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⁶ David Richardson was Theme Champion from 2005 to June 2007.
Resources for management of the programme will be recorded and reported annually, the figures will include all but the Project Officer roles listed above. Defra includes Project Officer activity as a MSW workstream resource.
Annex A – Flood management and one planet living

Flood Management and One Planet Living

Note: In general the Level of FM influence increases towards the centre of the diagram

Key aspects of ‘One planet living’ for Defra:
- Avoiding dangerous climate change
- Maintaining and enhancing the natural asset base

This diagram aims to link some of the key aspects of flood risk management policy to these wider Departmental objectives.
Annex B – Theme Advisory Group Membership

Chair - David Richardson (or alternate from Defra Policy team)

Theme Manager - Sue Antonelli (Defra)

Defra representatives – Martin Roberts (MSW)
                      Paul Murby

Environment Agency representatives – Richard Horrocks (Regional Mgr)
                                    Peter Bye (EA Board member)

Other representatives - Peter Bide (Dept. Communities and Local Government)
                        Tim Collins (Natural England)
                        Jane Milne (Association of British Insurers)
                        LA representative?

External appointees - Rob Cunningham
                    David Ramsbottom
                    Ian Townend

Corresponding members - Nigel Miller (Defra, EPE)
                        Alison Baptiste (EA)

Changes:
No LA representative has yet accepted the request to be involved despite requests to LGA and selected members.