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## Glossary

BACLIAT	Business Areas Climate Impacts Assessment Tool
GOSW	Government Office for the South West
LAA	Local Area Agreement
LCLIP	Local Climate Impacts Profile
LRAP	Local and Regional Partnership Board
LSP	Local Strategic Partnership
NI188	National Indicator 188 Adapting to Climate Change
SWRIEP	South West Regional Improvement and Efficiency Programme
UKCP09	United Kingdom Climate Projections 09

## Purpose

The purpose of this project is to prepare a Wiltshire Climate Change Adaptation Plan (CCAP) which will enable the council to meet its target in the Local Area Agreement (LAA) against Performance Indicator NI188. The plan will encompass all aspects of council activity and be as integrated as possible with partner organisations. The plan is required to ensure Wiltshire is fully adapted and resilient to unavoidable climate change.



## 1. Project background

The existence of climate change is now irrefutable and has been described as the biggest global health threat of the 21<sup>st</sup> century. The Intergovernmental Panel on Climate Change has stated that changes in global temperature are very likely to be the result of human impacts.

The UK government's Climate Change Act 2008, is the first long-term framework worldwide for reducing greenhouse gas emissions that is legally binding and sets the target for green house gas emissions to be reduced by at least 80 % by 2050. The Act has also created a system of binding carbon budgets setting out a pathway for reaching the long term targets. Furthermore, a carbon trading system, the Carbon Reduction Commitment, has been established to incentivise carbon reduction amongst large organisations and companies.

The UK has defined "dangerous climate change" as a two degree rise in global mean surface temperature above pre-industrial levels. This is based on the knowledge that temperature increases of over 2°C will result in very costly adaptation measures, huge impacts on water availability, food security and ecosystems and unacceptably high risks of irreversible events (such as the melting of the Greenland ice sheet). The Climate Change Act is designed to limit temperature rise to no more than 2°C..

However, the UK cannot tackle climate change alone; greenhouse gas emissions in the UK account for only 2% of the global total. Furthermore, it has recently been reported that the UK government target to limit climate change to a relatively safe level of 2°C is unlikely to be achieved and that a mean summer temperature rise of between 3°C and 4°C is likely in the UK by the 2080s. This will result in the UK experiencing hotter and drier summers, leading to drought, warmer and wetter winters, leading to flooding, rising sea levels and more severe weather, for example storms. It is, therefore, very important for the council and Wiltshire to be prepared for unavoidable consequences of climate change.

Preparing a Climate Change Adaptation Plan will ensure the council meets its commitments for Performance Indicator NI188 "Planning to Adapt to Climate Change". This is a progress indicator which gauges progress of the Local Strategic Partnership (LSP) to assess risks and opportunities and to develop an action plan.

Indicator 188 has been identified as one of the 'top 35' target designated indicators for Wiltshire through its inclusion in the Local Area Agreement (LAA). Wiltshire is required to meet Level 3 of NI188 by March 2011 and failure to do so will impact on performance and inspection, reputation and achievement of financial reward.

Particular advantages for the council in completing a comprehensive Climate Change Adaptation Plan:

- Allow the council to prioritise decisions that have long-term effects, for example investment in new transport, water, energy and communications infrastructure that will have a long life span.
- Take action early where the benefits clearly outweigh the costs. For example, designing new buildings or refurbishing old ones in the shorter term to make them more resilient to climate change is likely to be more cost-effective than making changes later.

- Ensure a fair deal for communities and in particular the vulnerable, by helping people now, as well as in the future, by ensuring the service delivery is prepared for unavoidable climate change.

## 2. Project objectives

Project objectives are to:

1. prepare a Wiltshire climate Change Adaptation Plan which ensures successful and comprehensive completion of Level 3 of Performance Indicator NI188 by March 2011
2. ensure Wiltshire is prepared for the consequences of unavoidable climate change.

The Performance Indicator NI188 is broken down into five areas, Levels 0 to 4. There are a number of specific requirements for each level and the authority will need to demonstrate that these levels have been fully met.

The NI188 levels can be broadly defined as:

Level 0	Getting started
Level 1	Public commitment and impact assessment
Level 2	Comprehensive risk assessment
Level 3	Comprehensive action plan
Level 4	Implementation, monitoring and continuous review

Wiltshire Council is currently at Level 1.

The most comprehensive guidance available for completing NI188 has been prepared by the Local and Regional Partnership Board (LRAP). A more detailed summary of the requirements for each level of NI188 is set out within Appendix 5.1.

## 3. Project approach

- High corporate and political profile
- Partnership with relevant stakeholders
- Project management methodology
- Internal governance via Climate Change Board (CCB)
- Phased approach
- Detail of Phase 3 to be worked up in greater detail after completion of Phase 2 and in place by October 2010.

Further details are set out in **Appendix 5.2**.

## 4. Project scope

The scope of this project is to meet the requirements of NI188 Level 3 successfully and comprehensively by March 2011 as set out in the LRAP guidance notes. This PID is designed to meet the requirements of Level 2 and build on work already completed to meet Levels 0 and 1, as set out in the Level 1 Report (April 2010). The approach helps to ensure Level 2 is based both on sound evidence and is informed by council departments and by LSP partners.

The development of a carbon management plan for the council and a carbon reduction plan for the county will be carried out alongside this project.

## 5. Project deliverables

The key deliverable of Phase 2 is to meet Level 2 and prepare a project plan by October 2010, setting out the route map for achievement of Phase 3 by 2011.

The deliverables of phases 2 and 3 are the requirements of each Level of NI188, as set out in the LRAP guidance and summarised by Appendix 5.1.

Key milestones are shown below

Task	Start	End
Climate Change Board review and authorisation of methodology to complete Phase 2.		March 2010
LCLIP	April 2010	July 2010
Impact and Risk Assessment	August 2010	September 2010
Level 2 Complete		October 2010
Action Plan and Implementation Plan	October 2010	March 2011
Level 3 Complete		March 2011

## 6. Interfaces

There are a range of national and regional government legislative and policy drivers which relate to climate change and adaptation in particular. Of most relevance and importance is the Climate Change Act 2008.

Climate change adaptation will impact particularly on the council's capital programme where infrastructure projects could be adjusted now to take into account changes to the climate in Wiltshire over the coming decades. There is a clear link between climate change adaptation work and emergency planning/business continuity. Where services can be made more resilient to unavoidable climate change, the council will minimise the need for emergency interventions in the future.

There are likely to be a number of interdependencies both across council departments and partner organisations that will be identified during the course of the project.

## 7. Exclusions\Constraints

Failure to meet Level 3 for Performance Indicator NI188 will incur financial loss to the council due to loss of performance reward grants in the short-term as well as reputational damage. The failure to successfully adapt to climate change will result in further significant long term costs to the council and Wiltshire residents through the adverse effects of extreme weather and climate change.

The following issues are also relevant to this project:

- Time is a constraint as externally imposed deadlines are in place. Level 3 for NI188 needs to be met by March 2011

- Officer time may be a constraint depending upon the particular work streams individuals are involved in
- Completion of some work may need to be resourced further.

## **8. Assumptions**

The following assumptions have been made:

- The availability of both internal and external expertise will be un-interrupted
- There is sufficient officer capacity to complete the project on time
- Sufficient flexibility exists to ensure that any changes to legislation or guidance regarding climate change adaptation can be accommodated within the project scope
- Political and senior management support for the project.

## **9. Project organisation structure**

We will use a project management governance approach.

Project Board: Climate Change Board

Project sponsor: Ariane Crampton

Project manager: Vincent Albano

Project team members will be drawn from the economy and enterprise team as needed, as well as from other internal departments.

A reference group will be formed as part of the existing resilient council group. Details are included within Appendix 5.2.

## **10. Communication strategy**

Engagement with the LSP is critical to achieving the ultimate goal of Level 3. The approach in Level 2 will be two-fold. In the first instance, information on NI188 will be distributed to the Wiltshire Co-ordinating Group (WCG). The WCG co-ordinates the work of the Thematic Delivery Partnerships (TDP) and reports directly to the Wiltshire Assembly (WA). The Wiltshire Assembly has responsibility of the sustainable community plan for Wiltshire which is currently being reviewed. Additional information will also be provided to each of the TDPs. This will happen at key milestones throughout the project.

The second stage of LSP engagement will be directed at the Wiltshire Public Service Board (PSB) which is the forum for the public sector corporate and financial planning in the county. The PSB will receive detailed information regarding the council's approach to NI188. A formal request will be made to each member of the PSB to undertake a climate change risk assessment.

A project reference group will also be formed as above.

## **11. Quality issues**

It is important that mechanisms are identified to ensure the Climate Change Adaptation Plan is subject to suitable peer review and quality control. This will be achieved through the South West NI188 Network, facilitated by the Environment Agency. Working with partner local authorities, in particular Dorset County Council, will ensure

suitable peer review is undertaken. Best practice and learning will also be drawn on from authorities across the country.

Performance Indicator NI188 also requires that long term monitoring is undertaken and this will be outlined in more detail within the final project plan to be published in October 2010 setting out the approach for completing Phase 3.

Our response to NI188 will be assessed by GOSW, and they will be asked to review our work as the project progresses.

## 12. Project controls

Reporting:

- Regular written RAG report to the project board via a standing agenda item to be delivered by Ariane Crampton
- Project board to hold a review at May 2010 to assess the proposed detailed Phase 2 and authorise that phase
- Monthly written RAG project update to Ariane Crampton from Vincent Albano the project manager with a narrative on project progress against milestones and objectives.

Budget:

Since the resources for this project are in officer time and no cash budgets are as yet allocated to the project – no project control is formally in place. However officer time will be estimated for the project and any significant (+10%) extra time spent on the project must be reported to the sponsor.

## 13. Attachments

	Mark (x) if attached
Initial Business Case	
Initial Project Plan	
Initial Risk Log	X
Initial Communications Plan	
Benefits Realisation Plan	
Sizing Tool Assessment	

## Document history

**Revision history**      Date of next revision:

Version number	Revision date	Previous revision date	Summary of changes	Changes marked
1.1	2/12/09			
2.1	30/4/10	2/12/09	Methodology for Level (Phase) 2	

**Approvals**      This document requires the following approvals.  
Signed approval forms are filed in the project files.

Name	Signature	Title	Date of Issue	Version
Ariane Crampton		Head of Climate Change	20/11/09	1.1
Ariane Crampton		Head of Climate Change		2.1

**Distribution**      This document has been distributed to:

Name	Title	Date of Issue	Version
Climate Change Board		20/11/09	1.1
Project Steering Group			2.1

**Appendix 5.1: Summary of the requirements of NI188**

<b>Level</b>	<b>Description/ requirement</b>
<b>0</b>	<b>Getting started</b>
0.1	Initial project planning
0.2	Engagement of community, service users and key LSP partners
0.3	Scoping project resources
0.4	Identifying a baseline
0.5	Supplementary aim - developing a vision
<b>1</b>	<b>Public commitment and impact assessment - assembling an evidence base</b>
1.1	Include other expertise, leadership and public commitment
1.2	Understanding current vulnerability
1.3	Identifying some significant potential impacts from future weather and climate
1.4	Sharing the load and ongoing project planning
1.5	Supplementary aim - monitoring future impacts
1.6	Supplementary aim - weather and climate database
<b>2</b>	<b>Comprehensive risk assessment</b>
2.1	Comprehensive assessment of potential impacts
2.2	The risk-based assessment revealing priority issues
2.3	Identify priority actions
2.4	Implement priority actions
2.5	Integrate LSP partners
2.6	Supplementary aim - monitor new business
2.7	Supplementary aim - monitor effectiveness of early adaptation measures
<b>3</b>	<b>Comprehensive action plan (and prioritised action plan in priority areas)</b>
3.1	Developing a comprehensive adaptation action plan
3.2	Embedding climate risks into decision making
3.3	Implementing adaptation responses
3.4	Supporting LSP and partner organisations
<b>4</b>	<b>Implementation, monitoring and continuous review</b>
4.1	Monitoring implementation of plan
4.2	Monitoring performance of adaptation actions
4.3	Review and updating of plans

## **Appendix 5.2: Wiltshire climate change adaptation: Project approach**

The completion of a Wiltshire Climate Change Adaptation Plan is a complex project with far reaching impacts across Wiltshire Council and the county of Wiltshire. Ensuring the project is given high corporate priority is essential for its success given the cross service working that will be necessary to achieve the desired objectives. Working with partner organisations will also be a key to success.

The project objectives will be co-ordinated by the climate change team within the council's economy and enterprise service area as directed by the Climate Change Board and supported by other staff and external resources as and when required.

As explained in Section 2, the project will follow the requirements of the LRAP guidance as summarised by **Appendix 5.1** and described below. The project approach is designed to be simple, transparent and comprehensive and is split into three phases. These phases will allow completion of the following NI188 Levels:

Phase 1:	Levels 0 and 1
Phase 2:	Level 2
Phase 3:	Level 3

Phase 1 has been successfully completed, as set out in the Level 1 report (April 2010) and will be reported to GOSW/ DEFRA in May 2010.

A Local Climate Impacts Profile (LCLIP) is being undertaken, which commenced in April 2010 and will inform the risk assessment to be completed as part of Phase 2. This has been funded by the South West Regional Improvement and Efficiency Programme (SWRIEP) and a graduate post has been recruited to complete this work during the April to July 2010 period. The LCLIP is designed to provide an understanding of an authority's current vulnerability to weather and its preparedness for responding to these events. This work is a requirement to achieve Level 2 of the NI188 process.

A workshop will be run in June 2010 for council and LSP representatives and will be designed to raise awareness and 'buy-in' to the NI188 process and climate change adaptation in general. The workshop will be run by the Climate Outreach Information Network (COIN) and follows other successful workshops runs in the south west including for Gloucestershire County Council.

**Comprehensive risk assessment:** Methodology for undertaking the risk assessment is based on learning from the South West NI188 Network and in particular methodology developed by Dorset County Council. The risk assessment will be undertaken using the council's existing risk assessment methodology. This uses a 4 x 4 risk matrix which ranks impact against likelihood. Details of the councils existing methodology are contained in the 'Service Risk Registers Guidance Note' contained in **Appendix 5.3**. The methodology will be summarised in a report and will be presented to, and sanctioned by the resilient council group.

A template will be produced which will form the basis for the risk assessment. The templates will be used to assess risk to the council from weather events both in the short term and in the future using the existing methodology. The assessment of risk in the short term will cover a 5 year period based on the findings of the LCLIP. The longer term risk assessment will make use of the climate projections from the UK Climate Impacts Programme (UKCP09) as set out in the Level 1 Report (April 2010).

The risk assessment will rely on interviews with representatives from different services which will have been nominated by the relevant service directors. The success of these interviews is critical to the achievement of the comprehensive risk assessment. A delay in undertaking these interviews or a lack of coverage across departments will have significant impacts on the ability to deliver the LAA target. It is, therefore, proposed that senior management 'buy-in' is secured in order to ensure that the achievement of the NI188 targets are seen as a corporate priority and that relevant officers are nominated for the interviews.

The interviews will include a brief presentation about climate change adaptation followed by a detailed discussion about current and future risks. These discussions will be aided by the information gathered from the Local Climate Impacts Profile (LCLIP) and the UKCP09 projections. With this information it will be possible to better assess the potential impacts of climate variables on an individual service.

**Identification of priority risks:** The risk assessment will be used to identify the priority risks for council services. The mechanism for defining what a priority risk is will need to be established and agreed with the resilient council group. These risks will be communicated to the senior management team and will, where necessary, be incorporated into the departmental and corporate risk register.

**Identify the most effective adaptation responses:** During the interviews, conversation will be steered towards relevant adaptation measures where priority risks have been identified.

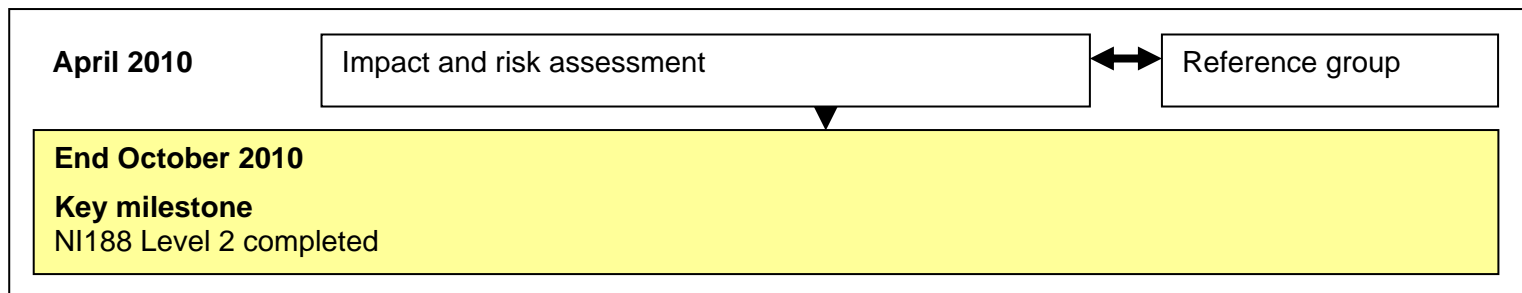
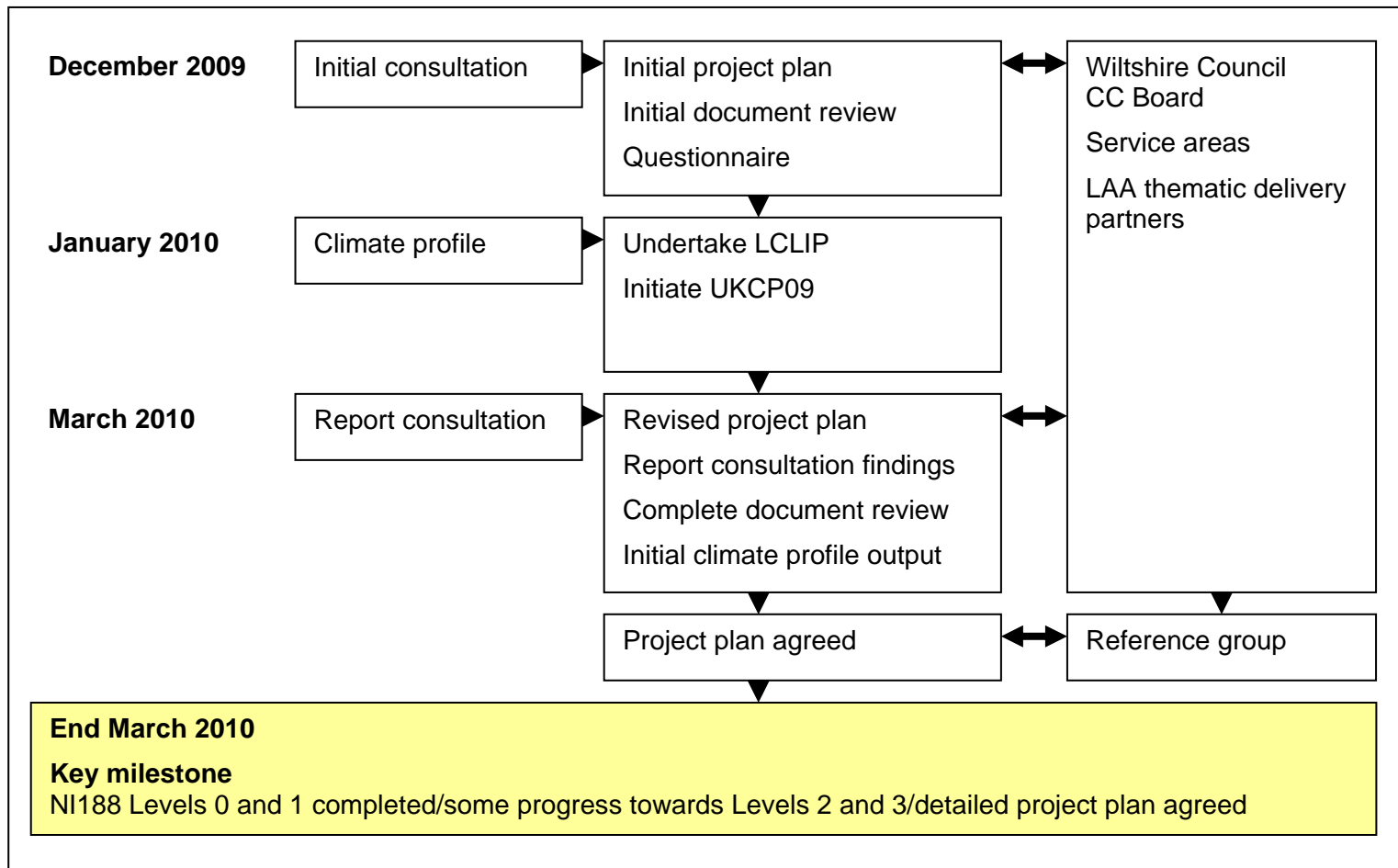
A report detailing the findings of the risk assessment will be produced to be published in October 2010.

A reference group will be formed during the May to July period to facilitate project management for Levels 2 and 3. This group will be part of the existing resilient council group which includes performance and risk managers, emergency planners, council insurance staff and departmental risk leads. Cross council and partner engagement is particularly important for these levels.

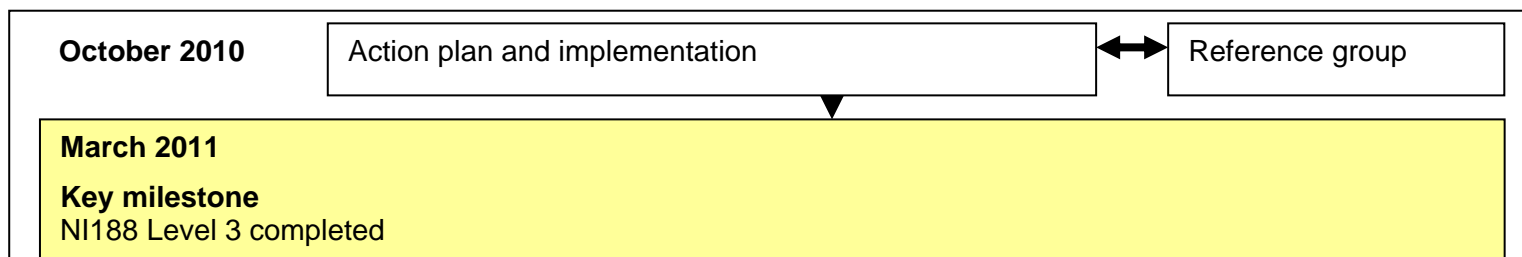
The work set out in this PID for Phase 2 will ensure that Level 2 of NI188 is comprehensively met and will provide a strong baseline for completing Level 3.

## Outline of project plan

### Phase 1



### Phase 3



LCLIP = Local Climate Impacts Profile  
UKCP09 = UK Climate Projections 09

### Appendix 5.3: Service risk registers guidance note

Carrying out an assessment of the risks against business objectives is primary to business and service planning, core decision-making processes influencing policy, financial planning and spending, agenda management, change management, project management and performance management.

The 'Risk Register' is designed to assist managers in focussing on the key risks and ensuring that actions are in place to effectively manage these risks.

The key stages in producing your Risk Register are:

#### 1. Context

Firstly the parameters within which the rest of the process will be followed should be established.

- What do we want to achieve?
- What are the success factors / outcomes?

#### 2. Risk identification

Identifying risks facing Wiltshire is crucial if informed decisions are to be made about policies and service delivery.

#### 3. Risk analysis

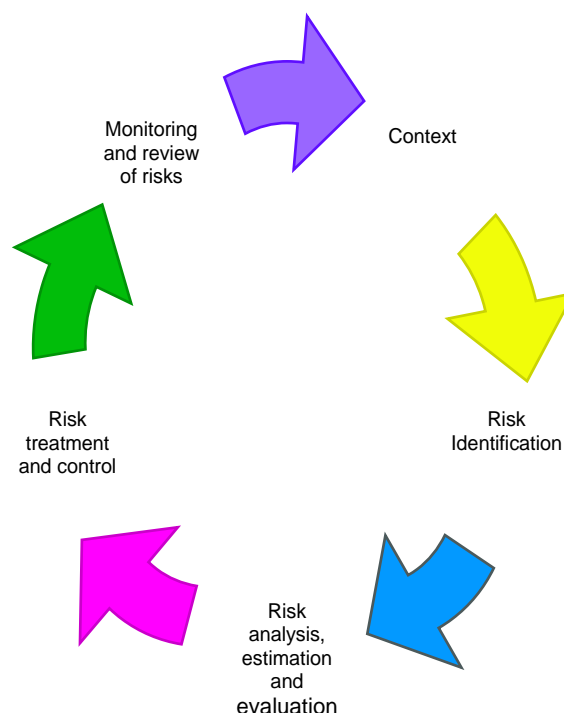
Once risks have been identified they are systematically and accurately assessed in terms of how likely they are to occur and what the impact would be if they did.

#### 4. Risk control

Actions are taken to reduce the likelihood of risks occurring and / or the impact should they occur. Action plans are defined.

#### 5. Risk monitoring and review

The effectiveness of control actions are kept under review – as is the nature of the risk, which can change over time.



The process is continual and Risk Registers should be viewed as living documents for the lifecycle of activity or project.

**All data must be recorded in Excelsis** the Performance and Risk System.

A template to assist in the capture of risk data can be obtained on the Wiltshire County Council Risk Register Excel spreadsheet. You may wish to use the spreadsheet as an aid in drawing together the information needed to populate a Risk Register.

**Remember Excelsis is the system for recording all risks. Risk Register reports can be drawn down from the information held within Excelsis.**

**In order to complete your Risk Register follow the next steps:**

**Definition of risk:** Any occurrence that will impact on the attainment of a desired outcome.

Appendix A shows the overall process.

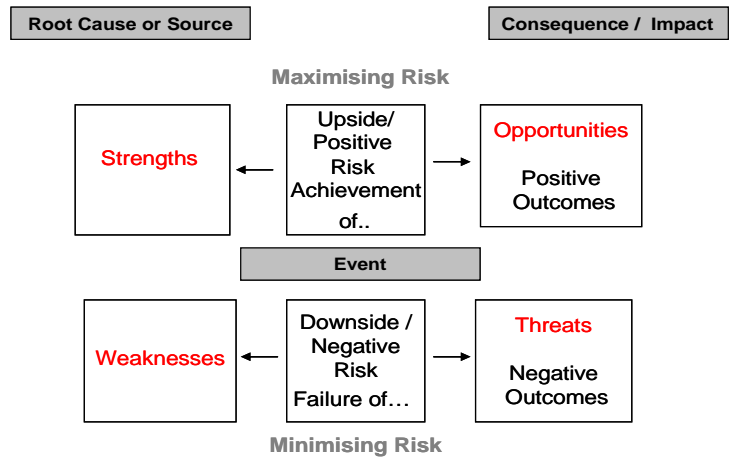
**Step 1 – Context**

Establish what are your service’s objectives are? Do they link to the Corporate Plan?

**Step 2 - Risk identification**

a) Identify the risks to achieving your objectives?

Gather a cross section of officers involved in the service / key objective setting. Hold a brainstorming session (this may be facilitated) to identify the risks both opportunities and threats facing your service. Use the SWOT approach to help identify the risks. Use the list of risk categories to prompt risk areas to consider and debate.



There must always be three parts to all risks:

**Expression of risk:**

**An event → a root cause or source → leads to consequence or harm resulting in an impact**

Look at previous history and records, risk assessments, questionnaires, checklists, surveys, organisational change charts, health and safety risk assessments, incident, accident records, claims history, financial penalties, benchmarking, community consultations etc... other council experiences, businesses both private and public and also look at legislation or other set requirements. Ask those that know. Managers should apply the method(s) that best suits their particular circumstances to help identify risks. This information is necessary to enable the likelihood and impact to be ascertained, and the management action needed to reduce them be determined and taken.

Note that **strategic risks** are those that would be potentially damaging to the council’s goals and key corporate objectives. **Operational risks** are those day to day issues which the council is confronted with as it strives to deliver and maintain its key corporate priorities and service plans. **Project risks** are those potentially damaging to the successful conclusion of a specific project managed by a project board /group and team members.

These risks managed by officers who are responsible for operating and maintaining the services.

There are many frameworks available for identifying and categorising risks, but they are neither prescriptive nor exhaustive. The table below provides a useful framework to be used.

**Sources of risk: risk considering but are not limited**

Communications	Legal / Statutory
Competitive	Organisational management / human resource
Corporate / leadership / organisation (reputation)	Partnerships / contractual (procurement)
Knowledge / data / information	Political
Economic	Processes
Environmental and Sustainability	Professional judgement and activities
Environmental factors / acts of God ( <i>force majeure</i> )	Resources / physical / assets
Finance	Service delivery
Fraud	Social
Health and safety	Stakeholder
Infrastructure	Technological

Definitions of the above sources of risk set out in appendix c

- b) Establish the 'Risk Owner' for the risks – The person responsible if the risk arises. Within Excelsis you will be able to see all the risks you are responsible for and the detail behind them.

<b>Risk to meeting objectives</b>	<b>Scope of risk</b>	<b>Risk owner(s)</b>
List your risk here Check the system for the next available risk ID number. Rz-xxx-yyy. Xxx=dept code Yyy=number Z= S for Strategic O for Operational	Make a brief note of the causes and consequences as follows: <b>Opportunity/Strengths</b> List detail <b>Weakness/Threat</b> List detail <b>Positive Impacts</b> List detail <b>Negative Impacts</b> List detail	Name the lead officer

**Step 3 - Risk analysis, estimation and evaluation**

The aim of analysis is to separate out acceptable risks from the more significant ones, and to provide data to assist in their further evaluation and treatment.

- You need to consider how likely the risk is to materialise and, if it did occur, what its effect would be on your service and or the community
- Give a brief summary of the controls that are already in place to mitigate against the risk - what is currently being actioned and resourced to manage the risk?
- For each risk identified evaluate the likelihood and impact.

**Use the scoring criteria for Likelihood and Impact Appendix b and c** to evaluate the likelihood and impact.

The scoring criterion is a guide to use to enable a consistent approach to the identification of risk. (Excelsis records the initial level of risk and retains it as the original risk rating for an audit and performance trail)

To get an inherent risk rating, each risk is scored from 1 to 4 in terms of likelihood (L) and impact (I) and multiplied together (this is done automatically in Excelsis) to produce a score of red, amber or green. This establishes the current level of risk.

Current controls	Current risk rating		
	L	I	R
	3	4	12

**The risk matrix or risk map**

Red = High Risk (Score 12 – 16)  
Significant risks which are unacceptable reduce the likelihood and / or impact through control measures.

Amber = Medium Risk (Score 6 – 9)  
Manageable risks controls to be put in place managers should consider the cost of implementing controls against the benefit in the reduction of risk exposure.

Green = Low Risk (Score 1 – 4)  
Negligible risks- to be considered and monitored as costs may out way benefits.

Impact	Significant (4)	L	M	H	H
	Moderate (3)	L	M	M	H
	Minor (2)	L	L	M	M
	Insignificant (1)	L	L	L	L
		Rare(1)	Unlikely (2)	Possible (3)	Almost certain (4)
		Likelihood of occurrence			

**Step 4 – Risk treatment and control**

- a) After establishing existing controls and arrangements and having evaluated the risks consider what further control measures / actions need to be taken to manage the risk to an acceptable level. These additional controls are those that will be introduced to further control or mitigate the risk? Consideration should be given to approaches to maximise the risk managed by enhancing and securing controls by realisation, enhancement, and exploitation), Retention and approaches to the reduction of risk by preventative controls and mitigating controls examples below:

<b>Treat</b>	Mitigation - Apply control measures - Actions can be taken to reduce the likelihood and/or impact of the risk, such as projects, new systems or procedures, training, monitoring.	
	Preventative	Designed to limit the possibility of an undesirable outcome. These may include training, provision of information, ensuring some activities are carried out by competent / accredited persons. Also includes security policies / procedures
	Corrective	Designed to correct undesirable outcomes which have been realised. Contingency and business continuity falls into this category
	Directive	Designed to ensure a particular outcome is achieved. Health and safety, security procedures fall into this category. A requirement to wear protective clothing when undertaking

		hazardous duties is an example
	Detective	Designed to identify undesirable outcomes that have been realised. These will include stock or asset reconciliations to detect theft / fraud. These may include post event or implementation assessment and feedback measures
<b>Transfer</b>	Transfer risk to a third party to bear all or part of the risk. This can be done by conventional insurance, contractual transfer, or partnership, ventures / outsourcing services (The council cannot transfer the risk to its reputation, or service delivery to its partners or contractors. Where a key or statutory service is being supplied by a partner organisation it will, therefore, usually be necessary for exit strategies and / or contingency plans in the event of partner failure. Care must be taken to ensure that the extent of the transfer is clearly defined.	
<b>Tolerate</b>	Retention - Accept risk. No scope to mitigate risk without disproportionate costs or effective. Consider contingency planning to deal with impact if risk event occurs.	
<b>Terminate</b>	Elimination - Risks can be avoided by not proceeding with an activity but is limited. This does not apply with statutory services.	
<b>Take opportunity</b>	Consider other gains that may be made by applying the risk controls envisaged. These may have a positive impact beyond the activity being assessed.	

- b) After establishing additional controls re-evaluate the likelihood and impact of the risk.
- c) Create an action plan on the Risk in Excelsis to include detail on the controls including lead officer, resources, success criteria, and standards.

Additional controls	Target rating risk rating		
	L	I	R
	3	4	12

## Step 5 – Risk monitoring and review

In order for the Risk Register to be an effective management tool it needs to be **maintained up to date in Excelsis**.

### a) Risk Register commencement / revision

Risk Register(s) will be revised in line with corporate, service and team planning.

### a) Implementations of actions

As actions are implemented the Risk Register should be updated and the individual risk re-evaluated. (This will score automatically in Excelsis).

Current risk rating		
L	I	R
3	4	12

The monitoring and evaluation section of the action plan needs to be updated quarterly. The action plan progress section needs to be completed to show the current status and comments on the action.

This new risk rating will be based on the revised residual risk. You should continue to be working towards your target risk rating.

### b) New risks and revised risks

New risks will always be encountered and it is important that these are identified and documented promptly to enable them to be evaluated and appropriate action to be taken. Managers and staff should be made aware that new risks have been highlighted and should be brought to the attention of an appropriate responsible officer(s).

### c) Risk status / Issues

In this section an update on the risk should be recorded. Has there been a change to the score and if so what caused it. How have the service plans affected the risk score? Record dates of meetings when the assessment was made.

### d) Expired risk

Service may no longer be exposed to previous documented and managed risks. Where this arises the Risk Register Owner (Head of Service) can choose to record the change as "Risk Expired". Where a risk is expired, change the name to show this by adding the prefix "EX".

### e) Link between corporate, service and team risk registers

Service / Team significant risk maybe recorded on the Strategic Risk Register if deemed significant enough to merit inclusion. Heads of service should report 'significant' risks to their director to enable them to discuss the risk at director's leadership team meetings to decide whether it should be recorded on the Corporate Risk Register. Assumptions should not be made that cross cutting risks and support risks will be identified and actioned and therefore knowledge of risk should be communicated across the organisation as appropriate.

### f) Communication of risks

All risk owners and action owners should be aware of their responsibilities.

**Note: Risk ownership / objectives and performance**

- a) Each risk should have a risk owner who is responsible for that risk and for ensuring that the risk mitigation actions described above are in place.
- b) The risks should be linked directly to corporate plan objectives, goals, projects in order to ensure that plans are focussed on managing the risks identified. Once linked in the risk section they will show on Golden Thread reports
- c) Risk owners should have actions plans held on Excelsis to ensure risks are managed.
- d) Your completed risk register report should now contain full details of all the risks facing your service and the service objectives addressing them as held in Excelsis.
- e) Ensure all those responsible for owning and managing risks are communicated with.
- f) Ensure all communications are cross cutting across the organisation as well as internal within your teams.
- g) Significant risks have a score of 12 to 16 ensure these risks are escalated to management teams and communicated. Planned exception report to flag them.
- h) The risk register is a living document that must be retained, made available and must be regularly reviewed and amended. The process doesn't end here, The business environment is constantly changing, You will be exposed to new risks, some existing risk may be removed / eliminated and your risk management action plans / control measures need to be adjusted accordingly
- i) The performance of risk registers and use of the performance system will be monitored by the risk manager.

Remember risk registers are live documents and must be maintained and kept up to date.

The risk registers held within Excelsis will inform the corporate leadership team on the significant risks facing the council.

**Advice and support**

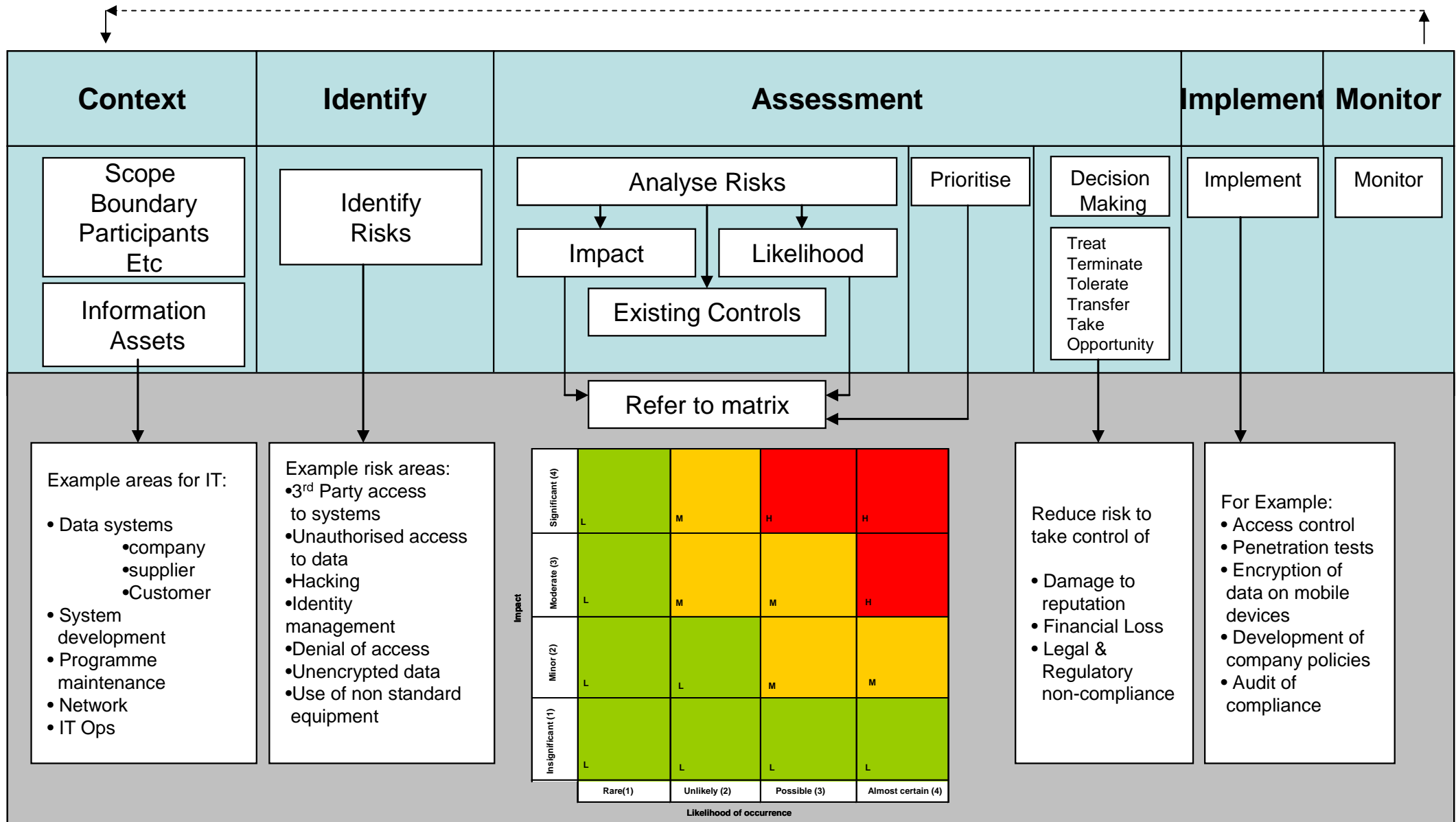
**Training is available in the use of the Performance Management system Excelsis for details contact Corporate ICT Training – [ITTAINING@wiltshire.gov.uk](mailto:ITTAINING@wiltshire.gov.uk). Tel No: 01225 713187**

If you require any training, advice and or assistance with a risk assessment or any aspect of risk management please contact:

Janette Collins  
Risk Manager  
Tel No: 01225 713766  
Email: [janettecollins@wiltshire.gov.uk](mailto:janettecollins@wiltshire.gov.uk).

If you require any training, advice and or assistance with the Performance System Excelsis please contact Chris Cooper, Performance Assistant by email [christophercooper@wiltshire.gov.uk](mailto:christophercooper@wiltshire.gov.uk).

**Appendix A - Example of risk assessment cycle**



**Appendix B - Wiltshire County Council likelihood scoring criteria**

SCORE	DESCRIPTION	INDICATORS
4 Almost Certain	More than 75% chance of occurrence	Regular occurrence Circumstances frequently encountered -daily/weekly/monthly
3 Possible	40% - 75% chance of occurrence	Likely to happen at some point within the next 1-2 years Circumstances occasionally encountered (few times a year)
2 Unlikely	10% - 40% chance of occurrence	Only likely to happen 3 or more years
1 Rare	Less than 10% chance of occurrence	Has happened rarely/never before

**Appendix C - Wiltshire County Council impact scoring criteria**

Score	Effect on Service	Embarrassment/ reputation	Personal Safety	Personal privacy infringement	Failure to provide statutory duties/meet legal obligations	Financial	Effect on Project Objectives/Schedule Deadlines	ICT
<b>4 Significant</b>	Major loss of service, including several important areas of service and /or protracted period.  Service Disruption 5+ Days	Adverse and persistent national media coverage  Adverse central government response, involving (threat of) removal of delegated powers  Officer(s) and/or Members forced to resign	Death of an individual or several people	All personal details compromised/ revealed	Litigation/claims/fines from Departmental £250k +  Corporate £500k +	Costing over 1M	Complete failure of project/ extreme delay – 3 months or more All benefits fail to be realised	Total replacement of existing system. Major redevelopment required Substantial impact on service
<b>3 Moderate</b>	Complete loss of an important service area for a short period  Moderate effect to services in one or more areas for a period of weeks  Service Disruption 3-5 Days	Adverse publicity in professional/municipal press, affecting perception/standing in professional/local government community  Adverse local publicity of a major and persistent nature	Severe injury to an individual or several people	Many individual personal details compromised/ revealed	Litigation/claims/fines from  Departmental £100k to £250k  Corporate £250k to £500k	Costing between £250,000 and 1M	Significant impact on project or most of expected benefits fail/ major delay – 2-3 months Majority of benefits fail to be realised	Major configuration of existing system Disruption to service
<b>2 Minor</b>	Minor effect to an important service area for a short period  Adverse effect to services in one or more areas for a period of weeks  Service Disruption 2-3 Days	Adverse local publicity /local public opinion aware  Statutory prosecution of a non-serious nature	Minor injury to an individual or several people	Some individual personal details compromised/ revealed	Litigation/claims/fines from Departmental £25k to £100k  Corporate £50k to £250k	Costing between 50,000 and £250,000	Adverse effect on project/ significant slippage – 3 weeks–2 months Some benefits fail to be realised	Basic IT requirements. Some minor configuration Minimal disruption to service
<b>1 Insignificant</b>	Brief disruption of important service area  Significant effect to non-crucial service area  Service Disruption 1Day	Contained within section/Unit or Directorate  Complaint from individual/small group, of arguable merit	Slight injury or discomfort to an individual or several people	Isolated individual personal detail compromised/ revealed	Litigation/claims/fines from Departmental Below 25k  Corporate Below 50k	Costing less than Less than £50,000	Minimal impact to project/  slight delay less than 3 weeks Minimal benefits fail to be realised	Basic It requirements met No disruption to Service
<b><i>(Not all categories may apply to each risk. Remember – you need to come to a management consensus among your group)</i></b>								

## Appendix D – Sources of risk and example definitions

Categories of Risk (but not restricted)	Description
Communications	Consultation arrangements and media promotion.
Competitive	Affecting the competitiveness (cost & quality) of the service & / or ability to deliver best value and effectiveness.
Corporate / Leadership / Organisation (Reputation)	Risks leading to the Councils reputation, authority, democratic renewal, trust identify - public perception.
Knowledge / Data / Information	Data protection, data reliability and data processing. Information and communication quality. Effective use and interpretation of information. Control of data and information. E-Government and service delivery.
Economic	General economic problems, regional economic pressures, high cost capital, treasury risk, missed service & business opportunities, failure of major project(s), failure to prioritise, allocate appropriate budgets and monitor inefficient / ineffective procesing of documents.
Environmental & Sustainability	Consequences of progressing strategic objectives in terms of contamination and pollution, noise, recycling or the energy efficiency of ongoing operations. Impact on Local Agenda 21 policies, crime and disorder Act.
Environmental factors / acts of God ( <i>force majeure</i> )	Natural disasters that specifically require Emergency Management, Business Continuity and Disaster management arrangements.
Finance	Accounting and reporting, internal financial delegation and control, e.g. schools finances, managing revenue and capital resources, neighbourhood renewal funding taxation, pensions.
Fraud / Integrity	Fraud and corruption, accountability and openness, legality of actions and transactions and limits of authority.
Health & Safety	The health, safety and wellbeing of employees, partners, public and visitors. Compliance with health & Safety legislation, polices and processes.
Infrastructure	Functioning of transport and impact of planning transportation policies communications and utilities infrastructure. The impact of storms, floods, pollution.
Legal / Statutory	Legal constraints / requirements and the level of ongoing legal advice required. Risks of compliance, breach of legislation or regulatory duties. Judicial review, Human Rights Act - breaches, inadequate response to new legislation, intervention by regulatory bodies and inspectors e.g. OFSTED, SSI, Audit Commission etc. Failure to implement legislative change and meet statutory duties / deadlines.
Organisational Management / Human Resource	Recruiting and retaining appropriate staff provision of capacity and expert assistance .Applying and developing skills in accordance with corporate objectives, employment polices, absences, diversity and equalities
Partnerships / Contractual (Procurement)	Failure of contractors to deliver services or products to agreed cost /specification. Procurement, contract and relationship management. Overall partnership arrangements.
Resources / Physical /Assets	Threats of fire, damage, security of land, buildings, vehicles and technology and any other assets. Maintenance of accommodation, transport, communications and suppliers of all kinds - power, office equipment. Safety of plant and equipment, control of IT
Political	Wrong strategic priorities, not meeting Government agenda, too slow to innovate / modernise.
Processes	Infection control, inspection, compliance, project management, performance management, benefits system, environment management system.
Professional judgement & activities	Risk inherent in professional work, i.e. assessing clients welfare, design of buildings, teaching vulnerable children, response to human rights act.
Service Delivery	Risks associate with failure to deliver a primary service to the community . Failure to deal with refuse, Social services: Child protection, housing: Welfare of tenants, town planning.
Social	Failure to meet the needs of the disadvantaged community, residential and social trends, effects / impacts of changes in demographic,employemnt challenges, regeneration, failures in partnership working, problems in delivering life long learning, crime and
Stakeholder	Satisfaction of; citizens, users, central and regional government of other stakeholders.
Technological	Capacity to deal with obsolescence and innovation, product relativity, development and adaptability or ability to use technology to address changing demands.

**Appendix 5.4: Risk log**

Risk	Likelihood	Impact	Mitigating action
<b>Resources</b>			
1. Available officer time is limited and subject to competing priorities.	L	M	1. Ariane Crampton to ensure effective resource planning across the Climate Change Team. 2. Ariane Crampton to assess with Vincent Albano the detail of project plan and allocate budget for 2010/2011 as necessary.
<b>Project management</b>			
1. Climate change is a new area of work and has a good corporate profile, but will struggle against other competing priorities. Settling down of services in Wiltshire's unitary authority may mean climate change does not get the visibility and support needed for success.			1. Ariane Crampton and Alistair Cunningham to ensure it is embedded within economy and enterprise and more widely corporately. 2. members of Climate Change Board (CCB) to champion this work in their service areas
<b>Other</b>			
1. Climate change is a new area and there is little advice and guidance on how to practically achieve NI188. Therefore the project will have to have a degree of flexibility built in to allow for developing knowledge and changing	H	L	1. Vincent Albano and team members will research best practice, join suitable networking groups, attend conferences etc to ascertain best practice as it develops. 2. Use GOSW as sounding board as project develops. 3. Use CBB to help guide and assess best ways forward in the Wiltshire context.