



Self Assessment guidance and matrix for National Indicator NI 188 - Planning to adapt to climate change

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Introduction

The data for National Indicator 188 (NI188) Planning to Adapt to Climate Change is provided through self assessment by the local authority and local strategic partnerships (LSP). This document sets out the process for submitting this data.

Submission of Data for NI188

The data required by Defra for NI188 is in 2 parts:

1. The NI188 level achieved
2. A self assessment matrix containing a snapshot of the evidence which supports this assessment.

Details of the procedure to follow in submitting this information is set out below.

How does this tool fit with the NI188 guidance

The [NI188 Guidance Notes](#) were issued in December 08 and included information on suggested approaches to meeting the NI188 levels. These guidance notes are advisory and do not form part of the assessment criteria for NI188. However the suggested approaches contained within the guidance are designed to help authorities in meeting the NI188 levels.

NI188 Data submission Information

Overview

Who should report ?	All local authorities – district, single tier and county councils.
Collection interval	Annual; April – March.
Time period	Achievements up to 31 March. [First submission to cover achievements up to 31 March 2009.]
Return format	NI188 Level i.e. Number 0-4 to Communities and Local Government (CLG) Data Hub https://www.hub.info4local.gov.uk/dihweb/ Supporting matrix to NI188.mailbox@zeus.gsi.gov.uk
Submission window	Open date: 1 April 2009 Deadline date: 29 May 2009

Instructions for submission of NI188 data

There are 2 key actions which authorities and LSPs need to take when submitting their NI188 data;

1. Submit the level data to the CLG data hub
2. Submit a self assessment matrix to Defra via an e-mailbox at:
NI188.mailbox@zeus.gsi.gov.uk

For different types of authority i.e. single or two tier authorities there are some additional options and variations to this procedure.

These are set out in the boxes below.

Single Tier Authorities

Step 1 - Upload your NI188 level data for your authority to the CLG data hub

Step 2 - Submit one self assessment matrix per authority to NI188.mailbox@zeus.gsi.gov.uk

Two Tier Authorities

Step 1 - Upload your NI188 level data for your authority to the CLG data hub

Step 2 - Submit one matrix per authority to NI188.mailbox@zeus.gsi.gov.uk. Defra are happy to receive one matrix covering both county and district evidence if it would minimise duplication of reporting. Where this option is chosen please indicate on the matrix which organisations the matrix includes. Alternatively we will accept separate matrix from county and districts.

Step 3 – 2 tier authorities who have NI188 as a priority indicator only; submit your overall LSP self assessment NI188 Level to NI188.mailbox@zeus.gsi.gov.uk as part of the completed matrix.

Instructions for Completing the Matrix

What to record ?

The authority should record a snapshot of their evidence in the 'Evidence' column in the self assessment matrix. This should be **no more than around 2 pages per level**. The evidence can be made up of bullets, milestones or hyperlinks to existing documents on websites. Please note we do not need copies of evidence beyond the self assessment matrix itself. The matrix should cover both the actions of the local authority and wider LSP where appropriate.

Filling out the matrix

Included in the 'Evidence' column in the self assessment matrix are a number of examples of evidence which you can tick as completed if they closely match your examples. These examples are provided to help authorities and LSPs identify the types of activity which might have been undertaken to meet the level criteria. However they are **not an exhaustive or compulsory list of requirements**.

If the examples listed do not adequately describe the evidence or activity undertaken to meet a level, the authority/LSP can record any alternative activity as bullets or narrative under the 'Other/Additional Evidence' heading.

Quality assurance

As with any performance assessment, Local authorities and LSPs should ensure that their data is of good quality and meets their internal quality assurance standards.

NI 188 Self-Assessment Matrix

Once completed, Please return to: NI188.mailbox@zeus.gsi.gov.uk

If you have a query regarding completion of this matrix, please contact your Government Office(GO) in the first instance. If your query cannot be resolved by the GO please email the NI188 e-mailbox (above) clearly marking the title of your e-mail QUERY. This will help us to filter queries from completed forms.

Overview Information

Name of Authority/Local Strategic Partnership: (please include the names of all organisations covered in this matrix)

Maidstone Borough Council

Is NI188 in your Local Area Agreement: (i.e. Yes, No or Local indicator)

Yes

NI188 priority indicator holders in 2 tier authorities only: Record your LAA level:

Level: 0

Level 0: Baseline

The Authority has begun the process of assessing the potential threats and opportunities across its estate and services (for example, flood and coastal resilience plans, emergency planning, community risk registers/strategies etc) and has identified and agreed the next steps to build on that assessment in a systematic and coordinated way.

Criteria	Evidence	
Criteria to be achieved for this level.	Add an X next to the examples of evidence provided and/or add in a description of your own evidence (Box will expand as required)	
a. The Authority has begun the process of assessing the potential threats and opportunities across its estate and services	<ul style="list-style-type: none">• High level stock-take of if / how climate change impacts are considered within council policies, programmes and risk registers has started• Relevant documents have been located/listed/reviewed• Executive or senior management team aware of cross-council structure for work on adaptation <i>Other/Additional Evidence</i>	<p>The high level stock-take has identified that:</p> <ul style="list-style-type: none">• The Kent Resilience Forum currently publishes a risk register of all key risks for Kent.• Climate change is in the council's Strategic Risk Register 2008/9 (significant likelihood of critical risk) owned by senior management team. An action plan was developed in response to this in 2007 and is to be updated this year.• Twelve core businesses have business continuity plans that include a full risk assessment that includes climate change adaptation.• Climate change recognised in draft Core Strategy 2007.

		<ul style="list-style-type: none"> • Flood management plans have been in place since 1998 and are regularly reviewed and updated. • Climate change and environmental excellence including climate change adaptation prioritised in Sustainable Community Strategy adopted in April 2009.
b. has identified and agreed the next steps to build on that assessment in a systematic and coordinated way	<ul style="list-style-type: none"> • Initial project plan in place for the next stage • Resources determined <i>Other or Additional Evidence:</i>	Initial project plan (based on KCC template) has now been worked up. Resources to undertake work have been identified in the project plan.

Level 1: Public commitment and prioritised risk-based assessment

The Authority has made a public commitment to identify and manage climate related risk. It has undertaken a local risk-based assessment of significant vulnerabilities and opportunities to weather and climate, both now and in the future. It can demonstrate a sound understanding of those not yet addressed in existing strategies and actions (e.g. in land use planning documents, service delivery plans, flood and coastal resilience plans, emergency planning, community risk registers/strategies etc). It has communicated these potential vulnerabilities and opportunities to department/service heads and other local partners and has set out the next steps in addressing them.

Criteria	Evidence	
<p>a. Made public commitment to identify and manage climate related risk.</p>	<ul style="list-style-type: none"> • Signed Nottingham Declaration or equivalent local Declaration <i>or</i> • Executive has formally made a commitment to identify and manage climate related risk which has been published <p><i>Other or Additional Evidence:</i></p>	
<p>b. Undertaken local risk-based assessment of significant vulnerabilities and opportunities to weather and climate, both now and in the future.</p>	<ul style="list-style-type: none"> • Local risk based assessment completed • Significant vulnerabilities and opportunities identified • Executive or senior management team are aware of the findings of the risk-based assessment <p><i>Other or Additional Evidence</i></p>	

c. Has a sound understanding of significant vulnerabilities and opportunities not yet addressed in existing strategies and actions.	<ul style="list-style-type: none"> • Report or documentation to Executive or senior management team on significant vulnerabilities or opportunities not yet addressed <i>or</i> <i>Other or Additional Evidence</i> 	
d. Has communicated significant vulnerabilities and opportunities to department / service heads and other local partners that have an influence over these.	<ul style="list-style-type: none"> • Information about significant vulnerabilities and opportunities communicated to department / service heads, and other local partners that have an influence over these, by distributing written information and/or meetings or workshops <i>or</i> <i>Other or Additional Evidence</i> 	
e. Set out the next steps in addressing significant vulnerabilities and opportunities.	<ul style="list-style-type: none"> • Programme plan in place for next steps <i>or</i> <i>Other or Additional Evidence</i> 	
Level 2: Comprehensive risk-based assessment and prioritised action in some areas The Authority has undertaken a comprehensive risk based assessment of vulnerabilities to weather and climate, both now and in the future,		

and has identified priority risks for its services. It has identified the most effective adaptive responses and has started incorporating these in council strategies, plans, partnerships and operations (such as planning, flood management, economic development, social care, services for children, transport etc). It has begun implementing appropriate adaptive responses in some priority areas. In its role as a community leader the council has started working with its LSP encouraging identification of major weather and climate vulnerabilities and opportunities that affect the delivery of the LSP's objectives.

Criteria	Evidence	
a. Undertaken a comprehensive risk based assessment of vulnerabilities to weather and climate, both now and in the future	<ul style="list-style-type: none"> • Comprehensive risk based assessment completed • Report to Executive or senior management team on the findings of a comprehensive risk-based assessment <i>or</i> <i>Other or Additional Evidence</i>	
b. Identified priority risks for council services.	<ul style="list-style-type: none"> • Executive or senior management team aware of priority risks for council services <i>Other or Additional Evidence</i>	

c. Identified the most effective adaptive responses.	<ul style="list-style-type: none"> Documents and agreements in place approved by departmental directors which identify adaptive responses for the priority risks for their department's functions <i>Other or Additional Evidence</i>	
d. Started to incorporate adaptive responses into council strategies, plans, partnerships and operations.	<ul style="list-style-type: none"> Adaptive responses for priority risks have been incorporated into one or more departmental strategies, plans, partnerships and operations <i>Other or Additional Evidence</i>	
e. Begun implementing appropriate adaptive responses in some priority areas.	<ul style="list-style-type: none"> Council or departmental performance management reports record implementation of some adaptive responses for priority risks <i>Other or Additional Evidence</i>	
f. Encouraged the LSP to identify major weather and climate vulnerabilities and opportunities that affect the delivery of the LSP's objectives.	<ul style="list-style-type: none"> Encouraged LSP to identify major weather and climate vulnerabilities by: distributing written information to partners; and/or contributions at meetings; and/or holding workshops; and/or forming adaptation sub-group <i>Other or Additional Evidence</i>	
Level 3: Comprehensive action plan and prioritised action in all priority areas		

The Authority has embedded climate impacts and risks across council decision making. It has developed a comprehensive adaptation action plan to deliver the necessary steps to achieve the existing objectives set out in council strategies, plans, investment decisions and partnership arrangements in light of projected climate change and is implementing appropriate adaptive responses in all priority areas. This includes leadership and support for LSPs in taking a risk based approach to managing major weather and climate vulnerabilities/opportunities across the wider local authority area.

Criteria	Evidence	
a. Embedded climate impacts and risks across council decision making.	<ul style="list-style-type: none"> • Procedure in place to ensure that all new policies and activities are assessed for climate impacts and risks <i>or</i> <i>Other or Additional Evidence</i> 	
b. Developed a comprehensive adaptation action plan.	<ul style="list-style-type: none"> • Comprehensive adaptation action plan covering all significant vulnerabilities and opportunities has been approved by the Executive and published • The action plan sets out: priority risk areas; actions; roles & responsibilities; timescales; financing; processes for monitoring and review. <i>Other or Additional Evidence</i> 	

c. Implementing appropriate adaptive responses in all priority areas.	<ul style="list-style-type: none"> • Council or departmental performance management reports record implementation of adaptive responses for all priority risks identified in the adaptation action plan <i>Other or Additional Evidence</i>	
d. Providing leadership and support for LSPs to take a risk based approach to managing major weather and climate vulnerabilities/opportunities across the wider local authority area.	<ul style="list-style-type: none"> • Contributions at LSP meetings and other events to address climate vulnerabilities and opportunities across the local authority area <i>Other or Additional Evidence</i>	
Level 4: Implementation, monitoring and continuous review Authority and LSP are implementing the comprehensive adaptation action plan across the local authority area, and there is a robust process for regular and continual monitoring and review to ensure progress with each measure and updating of objectives. The Authority and LSP are taking appropriate adaptive responses.		
Criteria	Evidence	

a. The Authority and LSP are implementing the comprehensive adaptation action plan across the local authority area.	<ul style="list-style-type: none"> • Annual (or more frequent) report to the Executive on implementation of the adaptation action plan <i>Other or Additional Evidence</i>	
b. There is a robust process for regular and continual monitoring and review of the action plan.	<ul style="list-style-type: none"> • Monitoring and review of action plan implementation is embedded in the council's and LSP performance monitoring and review systems or <i>Other or Additional Evidence</i>	
c. The Authority and LSP are taking appropriate adaptive responses.	<p>Include key adaptive responses completed this year and those planned for the near future (around 5 years)</p> <i>Describe Evidence</i>	

FAQ and Further Information

Where do I go if there is a problem ?

If you have a query or have will have trouble submitting the data to Defra or the hub by the 29 May, please inform your Government Office in the first instance. If your query cannot be resolved via this route in the first instance please e-mail the NI188 e-mailbox (NI188.mailbox@zeus.gsi.gov.uk) clearly marking the title QUERY in the e-mail header.

Why do we need the data by 29 May ?

We have allowed 2 months after the end of the first year of NI188 to complete the self assessment process. We have committed to publishing the approved data by 30 June 09 so the earlier we can get the assessments the easier it will be for us to do this.

I don't have NI188 in my LAA, do I need to complete a self assessment matrix ?

Yes. All authorities need to complete a self assessment matrix as well as upload their NI188 level to the CLG data hub.

What is the Hub ?

The Data Interchange Hub ('the Hub') is a secure online repository for National Indicator Data. It allows Central Government Departments, Local Authorities and Local Strategic Partnerships to deposit all National Indicator data in a single data store, and retrieved for the purposes of analysis and performance management using preferred internal systems and tools. For further assistance and enquiries specific to the Hub please contact the Hub Help Desk through the 'Contact Us' link on the left hand side of the Hub home page at www.hub.info4local.gov.uk

I've met the criteria for a higher Level but missed a criteria at the Level below, does that mean I'm at the lower level ?

Not necessarily. NI188 follows an overall process of embedding adaptation. It is therefore unlikely that an organisation will have reached the criteria of a higher level without having undertaken some activity which meets the lower level criteria in some way or another. If however, the authority has missed a core activity at the lower level then it's likely you will be at the lower level. In all cases this will be based on the self assessment of the authority and or LSP.

What counts as evidence ?

Evidence can be anything which demonstrates that the authority or LSP has met the requirements of the NI188 technical definition. For each criteria you should look for the most relevant, influential and robust pieces of evidence at your disposal.

Should I submit copies of my evidence to Defra ?

No. Defra only require a copy of the NI188 self assessment matrix. However if part of the evidence is published online please include a hyperlink to it on the appropriate website. This will help us when we come to review the matrix and identify future case studies.

Can I record evidence against higher level criteria than our current self assessed level ?

Yes. Any evidence of criteria at any level can be included.

Can I change the matrix ?

No.

How flexible is the matrix ?

NI188 sets out the broad process for becoming an adapting organisation area. Within this framework the NI188 levels signify milestones of achievement along that process. What it doesn't do is dictate what actions need to be taken to get there. This is entirely down to the authority or LSP to choose the most appropriate methodology which meets the NI188 level requirements.

What will happen in Year 2 and 3 ?

We are very aware that this is an emerging policy area and one which will develop over time. With that in mind, we want to continue working in year 2 and 3 with authorities as we have already through the regional workshops to develop the systems behind NI188 supporting local adaptation. We will be using the data from NI188 to start this process during June and into Summer 09.