

**Appendix 1.1**

**Checklist for Risk Identification**

<b>Examples</b>		
<b>P</b>	<b>Political</b>	<ul style="list-style-type: none"> <li>- Member support</li> <li>- Local/General election changes</li> <li>- Community Leadership</li> <li>- Democratic Governance/Management</li> <li>- National Policy change</li> </ul>
<b>E</b>	<b>Environmental</b>	<ul style="list-style-type: none"> <li>- Recycling / Green issues</li> <li>- Energy efficiency, Pollution, Carbon emissions</li> <li>- Climate Change; flooding and adaptation</li> <li>- Land use</li> <li>- Waste Strategy</li> </ul>
<b>R</b>	<b>Regulatory / Legislative</b>	<ul style="list-style-type: none"> <li>- Non-compliance with legislation</li> <li>- Data Protection/Freedom of Information Act/ Human rights</li> <li>- TUPE regulations</li> <li>- Health &amp; Safety</li> <li>- Legal challenges</li> <li>- Corporate Governance</li> </ul>
<b>F</b>	<b>Financial</b>	<ul style="list-style-type: none"> <li>- Financial performance and management</li> <li>- Efficiencies</li> <li>- Financial procedural rules</li> <li>- Ability to meet financial commitments, including internal budgetary pressures</li> <li>- Insurance cover/claims</li> <li>- Procurement</li> <li>- Contract standing orders</li> </ul>
<b>O</b>	<b>Objectives</b>	<ul style="list-style-type: none"> <li>- Council priorities for change and improvement</li> </ul>
<b>R</b>	<b>Reputational</b>	<ul style="list-style-type: none"> <li>- Negative publicity</li> <li>- Legal challenges</li> <li>- Project failure</li> <li>- External regulatory reports</li> </ul>
<b>M</b>	<b>Management</b>	<ul style="list-style-type: none"> <li>- Strategic – Corporate and resource management</li> <li>- Operational – Management skills to include Performance, Risk, Finance HR etc</li> <li>- Collaborative working/partnerships</li> <li>- Emergency Planning</li> </ul>
<b>A</b>	<b>Assets</b>	<ul style="list-style-type: none"> <li>- Land, property, equipment, technology, information, employees</li> </ul>
<b>N</b>	<b>Not covered elsewhere</b>	<ul style="list-style-type: none"> <li>- Risks that do not fit into any other defined category</li> </ul>

<b>C</b>	<b>Customer and Communities</b>	<ul style="list-style-type: none"> <li>- Impact on customer</li> <li>- Consultation/engagement/communication</li> <li>- Customer Feedback</li> <li>- Current and changing needs and expectations of customers and citizens</li> <li>- Demographics; Migration and immigration</li> <li>- Community cohesion</li> <li>- Community Strategy</li> <li>- Business Continuity Management (including disaster recovery arrangements)</li> </ul>
<b>E</b>	<b>Equalities</b>	<ul style="list-style-type: none"> <li>- Welsh Language</li> <li>- Social Justice</li> <li>- Disability Discrimination Act</li> <li>- Race Relations</li> <li>- Age and Gender</li> <li>- Equality Impact assessments</li> </ul>
<b>S</b>	<b>Sustainability</b>	<ul style="list-style-type: none"> <li>- Maintaining and improving Flintshire as a place to live, work and visit now and in the future.</li> </ul>

## Appendix 1.2: Using the 6 x 4 risk matrix

### Criteria for assessing likelihood

<b>Unlikely (5%)</b>	<b>Very Low (15%)</b>	<b>Low (30%)</b>	<b>Significant (50%)</b>	<b>Very High (65%)</b>	<b>Extremely High (80%)</b>
<b>Likelihood &amp; Percentage of risk happening</b>					

### Criteria for assessing Impact

Description	Examples
<b>Catastrophic</b>	<ul style="list-style-type: none"> <li>• No confidence in Senior Management / Leadership</li> <li>• Formal WG intervention/exercise of their powers</li> <li>• Multiple fatalities</li> <li>• Complete/critical service failure</li> <li>• Exceedingly negative <i>national</i> publicity</li> <li>• Serious impact on workforce across more than one Portfolio</li> <li>• Legal action almost certain, unable to defend</li> <li>• Serious financial impact to budget, not manageable within existing funds and may impact on reserves</li> <li>• Non-compliance with law resulting in imprisonment</li> </ul>
<b>Critical</b>	<ul style="list-style-type: none"> <li>• Limited confidence in Senior Management/Leadership</li> <li>• Significant service failure</li> <li>• Negative <i>national</i> publicity</li> <li>• Impact on workforce across more than one Portfolio</li> <li>• Legal action almost certain and difficult to defend</li> <li>• Serious financial impact to budget, manageable across the authority</li> <li>• Negative external regulatory reports impacting on Corporate Governance</li> <li>• Single fatality</li> </ul>
<b>Marginal</b>	<ul style="list-style-type: none"> <li>• Significant service under performance</li> <li>• Negative <i>local</i> publicity</li> <li>• Expected impact on workforce, but manageable within Portfolio contingency arrangements</li> <li>• Legal action expected</li> <li>• Expected financial impact to budget, manageable within Portfolio</li> <li>• Non-compliance with law resulting in fines</li> <li>• Negative external regulatory reports</li> <li>• Extensive, permanent/long term injury or long term sickness</li> </ul>

**Negligible**

- Some risk to normal service delivery but manageable within contingency arrangements
- Legal action possible but unlikely and defensible
- Possible financial impact to budget, manageable within service
- Non-compliance with regulations / standards or local procedures resulting in disciplinary action
- First Aid or medical treatment required
- Previous risk mitigated by completed action plan