

Appendix 1.1

Checklist for Risk Identification

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

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

Appendix 1.2: Using the 6 x 4 risk matrix

Criteria for assessing likelihood

Unlikely (5%)	Very Low (15%)	Low (30%)	Significant (50%)	Very High (65%)	Extremely High (80%)
Likelihood & Percentage of risk happening					

Criteria for assessing Impact

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

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