

## 2023 Risk Assessment Grid

Risk scoring 16 plus are “out of tolerance” and need to be brought to the attention of Executive (Strategic risks) or Service Directors (BAU – operational risks)

|  |   |  |  |  |   |
|--|---|--|--|--|---|
| <b>5 Very Likely</b><br>>90% chance (> 52 times per year)        | <b>5 Minimal risk.</b><br>Acceptable;<br>risk to be tolerated | <b>10 Low Acceptable;</b><br>risk to be tolerated            | <b>15* High</b><br>Record Review Monthly                   | <b>20* Very High.</b><br>Record Review Monthly             | <b>25* Very High.</b><br>Record Review Monthly              |
| <b>4 Likely</b><br>50 to 90% chance (12 - 52 times per year)     | <b>4 Minimal risk.</b><br>Acceptable;<br>risk to be tolerated | <b>8 Low Acceptable;</b><br>risk to be tolerated             | <b>12* Medium</b><br>Record Review Quarterly               | <b>16* High</b><br>Record Review Monthly                   | <b>20* Very High.</b><br>Record Review Monthly              |
| <b>3 Possible</b><br>25 to 50% chance (1 – 12 times per year)    | <b>3 Minimal risk</b><br>Acceptable;<br>risk to be tolerated  | <b>6 Minimal risk</b><br>Acceptable;<br>risk to be tolerated | <b>9* Medium</b><br>Record Review Quarterly                | <b>12* Medium</b><br>Record Review Quarterly               | <b>15* High</b><br>Record Review Monthly                    |
| <b>2 Slight</b><br>10 to 25% chance (1 in 10 years & 1 per year) | <b>2 Minimal risk</b><br>Acceptable;<br>risk to be tolerated  | <b>4 Minimal risk</b><br>Acceptable;<br>risk to be tolerated | <b>6 Low Acceptable.</b><br>Record & manage within service | <b>8 Low Acceptable.</b><br>Record & manage within service | <b>10 Low Acceptable.</b><br>Record & manage within service |
| <b>1 Very unlikely</b><br><10% chance (less than 1 in 10 years)  | <b>No risk exposure</b>                                       | <b>2 Minimal risk</b><br>Acceptable;<br>Risk to be tolerated | <b>3 Low Acceptable.</b><br>Record & manage within service | <b>4 Low Acceptable.</b><br>Record & manage within service | <b>5 Low Acceptable.</b><br>Record & manage within service  |
|  | <b>Insignificant</b><br>1                                     | <b>Minor</b><br>2  | <b>Significant</b><br>3                                    | <b>Major</b><br>4  | <b>Critical</b><br>5  |
| <b>IMPACT (B)</b>  |   |  |  |  |   |

**Risk Assessment Grid – 2023 – Likelihood.**

| <b>Likelihood of Occurrence (A)</b> | <b>Indicator</b>  | <b>Description</b>              |
|-------------------------------------|---|---------------------------------|
| 1 - Very unlikely                   | <ul style="list-style-type: none"> <li>• May occur only in exceptional circumstances</li> </ul>   | < 10% chance of occurrence      |
| 2 - Slight                          | <ul style="list-style-type: none"> <li>• Is unlikely but could occur at some time</li> </ul>  | >10 to 25% chance of occurrence |
| 3 - Possible                        | <ul style="list-style-type: none"> <li>• May or may not occur at some time, or in some circumstances</li> <li>• Has happened elsewhere</li> </ul>   | >25 to 50% chance of occurrence |
| 4 - Likely                          | <ul style="list-style-type: none"> <li>• Likely to occur within the next 1-2 years or within the lifetime of the programme or project.</li> <li>• Circumstances occasionally happen.</li> <li>• Has happened before.</li> </ul> | >50 to 90% chance of occurrence |
| 5 - Very Likely                     | <ul style="list-style-type: none"> <li>• Regular occurrence.</li> <li>• Circumstances frequently encountered.</li> <li>• Daily/weekly/monthly.</li> </ul>   | >90% chance of occurrence       |

| Factor          | Scale    | Impact on the effect on Service                                 | Impact on Environmental /Social  | Impact on Embarrassment/ Reputation  | Impact on Personal Safety & Health (H&S) | Impact on Personal Privacy Infringement   | Impact on Failure to provide statutory duties/legal obligations           | Impact on Financial   | Impact on Project Objectives/ Schedule Deadlines   |
|-----------------|----------|---|--|--|--|---|---|---|--|
| <b>CRITICAL</b> | <b>5</b> | <b>Loss of life (out of Tolerance &amp; Appetite)</b>           |  |  |  |   |   |   |  |
|                 |          | Complete failure to deliver a strategic priority or opportunity | Extensive detrimental long-term impacts on the environment and community <ul style="list-style-type: none"> <li>▪ catastrophic and / or extensive discharge of persistent hazardous pollution</li> </ul> | Adverse/persistent national media coverage (inc. electronic media & social media) <ul style="list-style-type: none"> <li>▪ Key Officer/s and/or Member/s forced to resign</li> <li>▪ Adverse central government response, involving (threat of) removal of delegated powers</li> </ul> | Loss of life                             | Over 1,000 individual's personal / sensitive data compromised / revealed. (Report to ICO) | Litigation/ claims/fines from:<br>Departmental £500k +<br>Corporate £1m + | <p><b>Over £50k. Service Director sign-off required</b></p> <ul style="list-style-type: none"> <li>• More than 20% of budget –in conjunction with other factors –</li> <li>• Programme/ project costs over run-in excess of 20% of budget.</li> <li>• Less than 60% of programme benefits realised</li> </ul> | Complete failure of programme, project, or both.<br><br>Programme outcomes or project products not delivered, or quality seriously compromised |

| Factor       | Scale    | Impact on the effect on Service                             | Impact on Environmental /Social  | Impact on Embarrassment/ Reputation   | Impact on Personal Safety & Health (H&S)        | Impact on Personal Privacy Infringement  | Impact on Failure to provide statutory duties/legal obligations             | Impact on Financial   | Impact on Project Objectives/ Schedule Deadlines  |
|--------------|----------|---|--|---|---|--|---|---|---|
| <b>MAJOR</b> | <b>4</b> | Major impact, positive or negative, on a strategic priority | Long term detrimental environmental or social impact e.g., chronic and/or significant discharge of pollution | Adverse major publicity in professional/ municipal press or electronic media, affecting standing in community | Major injury to an individual or several people | 100 – 1,000 individual's personal / sensitive data compromised / revealed. (Report to ICO) | Litigation/ claims/fines from:<br>Departmental £250k +<br>Corporate £500k + | <p><b>Over £50k. Service Director sign-off required</b></p> <ul style="list-style-type: none"> <li>• More than 15% of budget – in conjunction with other factors</li> <li>• Programme /Project cost overrun more than 15% of budget</li> <li>• Only 70% of programme benefits will be realised</li> </ul> | <p>Extreme project delay (3+ months)</p> <p>Programme or project timeline extended by 30% in addition to agreed tolerance</p> <p>Scope seriously impacted – i.e, reduced/increased by 50%</p> |

| Factor             | Scale    | Impact on the effect on Service                                   | Impact on Environmental /Social  | Impact on Embarrassment/ Reputation                                    | Impact on Personal Safety & Health (H&S)         | Impact on Personal Privacy Infringement  | Impact on Failure to provide statutory duties/legal obligations                             | Impact on Financial   | Impact on Project Objectives/ Schedule Deadlines  |
|--------------------|----------|---|--|--|--|--|---|---|---|
| <b>SIGNIFICANT</b> | <b>3</b> | Significant impact, positive or negative, on a strategic priority | Serious local discharge of pollutant or source of community within general neighbourhood that requires remedial action | Adverse local/regional publicity of a significant or persistent nature | Severe injury to an individual or several people | 10 – 100 individual's personal / sensitive data compromised/ revealed. (Report to ICO) | Litigation / claims / fines from:<br>Departmental £50k to £125k<br>Corporate £100k to £250k | <b>Over £50k. Service Director sign-off required</b><br><ul style="list-style-type: none"> <li>• 10% of budget – in conjunction with other factors</li> <li>• Programme/ project cost overrun more than 15% of budget</li> <li>• Only 80% of programme benefits will be realised</li> </ul> | Significant impact on project or most of expected benefits fail / major delay 2-3 months.<br><br>Programme or project timeline extended by 20% in addition to agreed tolerance<br><br>Re-adjustment of scope is major |

| Factor | Scale | Impact on the effect on Service                             | Impact on Environmental /Social   | Impact on Embarrassment/ Reputation  | Impact on Personal Safety & Health (H&S)        | Impact on Personal Privacy Infringement                                | Impact on Failure to provide statutory duties/legal obligations                                     | Impact on Financial  | Impact on Project Objectives/ Schedule Deadlines  |
|--------|-------|---|---|--|---|--|---|--|---|
| MINOR  | 2     | Minor impact, positive or negative, on a strategic priority | Short term, local detrimental effect on the environment or social impact e.g., significant discharge of pollutants within local neighbourhood | Adverse local publicity/ local public opinion aware<br>Statutory prosecution of a non-serious nature | Minor injury to an individual or several people | 2 – 10 individual's personal / sensitive data is compromised/ revealed | Litigation/ claims/fines from:<br>Corporate £50k to £100k<br><br>Departmental/ service £25k to £50k | <b>£10-£50K. Strategic Manager Sign-off required</b><br><ul style="list-style-type: none"> <li>• Programme/ Project cost overrun more than 10% of budget</li> <li>• Only 90% of programme benefits will be realised</li> </ul> | Adverse effect on project/ significant slippage 3 weeks – 2 months<br><br>Programme or project timeline extended by 10% in addition to agreed tolerance<br><br>Impact on scope can be managed |

| Factor               | Scale    | Impact on the effect on Service                                     | Impact on Environmental /Social  | Impact on Embarrassment/ Reputation   | Impact on Personal Safety & Health (H&S)      | Impact on Personal Privacy Infringement                                     | Impact on Failure to provide statutory duties/legal obligations                       | Impact on Financial  | Impact on Project Objectives/ Schedule Deadlines   |
|----------------------|----------|---|--|---|---|---|---|--|--|
| <b>INSIGNIFICANT</b> | <b>1</b> | Insignificant impact, positive or negative, on a strategic priority | Lasting detrimental effect on the environment i.e., noise, fumes, odour, dust emissions etc, of short-term duration. | Contained within section/unit or Directorate<br>Complaint from individual/small group of arguable merit | Discomfort to an individual or several people | An Isolated individual's personal / sensitive data is compromised/ revealed | Litigation/ claims/fines from:<br>Corporate £25k to £50k<br>Departmental £12k to £25k | <b>£10-£50k. Strategic Manager Sign-off required</b><br>• Minimal impact on programme/ project costs or benefits | Minimal impact to project/ slight delay less than 2 weeks<br><br>Minimal effect of the programme or project timeline within agreed tolerance |