

Information Risk Assessment Tool

For further information refer to the Risk Assessment Policy and Procedure available in the document library on the intranet. Risk Assessments should only be undertaken by members of staff who have been trained in the use of this tool. If you need further help or assistance, please contact your Patch Risk Manager in the Governance/Risk Management Department on ext. 4496.

STEP 1: What is the likelihood of the incident occurring? Choose the “Likelihood” of the incident from the table below:

LIKELIHOOD	DESCRIPTION
Rare (1)	Cannot believe that this will ever occur
Unlikely (2)	Do not expect it to happen, but it is possible (within 12 months)
Possible (3)	May occur occasionally (within 6 months)
Likely (4)	Will probably occur, but it is not a persistent issue (within 3 months)
Almost Certain (5)	Will undoubtedly occur, possibly frequently (within a month)

STEP 2: What is the consequence of the incident? Choose the “Consequence” of the incident from the table below:

CONSEQUENCE	ADVERSE PUBLICITY	NUMBER OF PERSONAL DATA RECORDS AFFECTED	IMPACT TO SERVICE	FINANCIAL LOSS	SUI LEVEL	INFORMATION COMMISSIONERS ACTIONS
Insignificant (1)	No publicity	1 record (limited detail)	Easily corrected	No financial loss	No SUI	No actions
Minor (2)	Media enquiries	<5 (SUI level 1) <20 (SUI level 2) Very low numbers but very detailed information	Some effort to correct	< £20k	level 1 or 2	No actions
Moderate (3)	Local media coverage	Up to 100	Correction involves disruption to service	£20k - £500k	level 3	Undertaking
Major (4)	National media coverage	Up to 1000 or particular sensitivity	Correction involves significant disruption to service	£500k - £1m	level 4	Enforcement Possible fine Audit by ICO
Catastrophic (5)	Wide ranging & lengthy publicity	> 1000 or potential for ID theft	Correction may not be possible or may take extended effort and time	> £1m	level 5	Enforcement Possible fine Audit by ICO Court action

STEP 3: Once you have determined the “Likelihood” and “Consequence” of the incident, use the Risk Assessment Matrix below to calculate the Risk Rating (Likelihood x Consequence = Risk Rating)

	CONSEQUENCE				
LIKELIHOOD	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Rare (1)	1	2	3	4	5
Unlikely (2)	2	4	6	8	10
Possible (3)	3	6	9	12	15
Likely (4)	4	8	12	16	20
Almost certain (5)	5	10	15	20	25

STEP 4: Once you have calculated the Risk Rating, use the table below to determine what action is required and when to review the assessment

Risk Rating	Risk	Action Required	Review
1 - 7	LOW	ACCEPT RISK Manage by Routine Procedures	Review every 12 months by Risk Officer/Risk Lead
8 - 15	MODERATE	MANAGEMENT ACTION REQUIRED Costs to be funded within directorate. May necessitate bids for Central funding	Review every 6 months by Risk Officer/Risk Lead Quarterly Review at local SDU Governance meeting (or equivalent)
16 - 25	HIGH	SENIOR MANAGEMENT ACTION REQUIRED Directors to be informed. Priority for funding	Review every 3 months by Risk Officer/Risk Lead Quarterly Review at local SDU Governance meeting (or equivalent) Quarterly Review at Trust's Clinical and Corporate Governance Committee

STEP 5: Review the Assessment as indicated in the above table; review following an incident; following implementation of further controls measures or if the task/process you are assessing has changed