

# Appendix C: Risk Assessment

Activity :

Enforcement Policy

Risk Assessment  
Completed by :

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IMPACT	Examples	Score	LIKELIHOOD	Timeline	Score	RATING	Action	Score
Low	Minor service disruption/inconvenience, minor injury, small financial loss, isolated service user complaint.	1	Unlikely to occur	0 – 10% chance	1	LOW	Continue to monitor; Reassess if any significant changes; Have long term plans to eliminate or reduce hazards	1 - 2
Medium	Service disruption, More serious injury or financial loss, adverse media coverage, numerous service user complaints	2	Could Happen	10 - 40% chance	2	MEDIUM	Try to eliminate or reduce hazards as soon as practicable; Reassess work routines and training; Increase controls; Continue to monitor.	3 - 6
High	Significant service disruption, major disabling injury, high financial loss, adverse national media coverage.	3	Likely to happen in time	40 – 80% chance	3	HIGH	Seek specialist advice; Try to eliminate or reduce hazards as soon as reasonably practicable; Reassess work routines and training; Increase awareness & controls; Increase monitoring.	8 – 16
Extreme	Total service loss for significant time period, fatality, catastrophic financial loss, ministerial intervention in service running	4	Certain to happen	80% or more chance	4			

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Risk	Risk mitigation to date	Impact	Likelihood	Rating	Further mitigation required	Acceptable risk?
Legal challenge on policy contents	BCP legal advice sought on content of the policy and legislative frameworks. Policy details statutory legislation and formal legal advice has been sought on financial penalty matrices.	Medium-2	Could happen -2	Medium- 4	Continual monitoring of case law and legislative guidance to ensure policy updated in the event of legislative change or developments	Yes
Operational process if policy not adopted	Legal advice sought on policy content, therefore policy written on solid legal framework. The policy relates to the application of legislation and relates to a statutory duty of the Council to apply such legislation ,therefore the risk of non-implementation of the policy is low. Policies of other	Medium- 2	Unlikely to occur- 1	Medium- 3	Cabinet should approve the policy implementation	Yes

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	local authorities have been considered in the creation of the policy.					
Reduction in capacity through increased enforcement	The policy has no significant changes from preceding legal council policies and therefore enforcement is not expected to dramatically increase through the implementation of the policy	Low- 1	Unlikely to occur- 1	Low-2	n/a	Yes