

**RISK ASSESSMENT  
DATA COLLECTION WORKSHEET**

Corporation/Company Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Data reflects (check one):  Entire corporation/company  
 Individual component/division/unit

Address of division/unit if different from above: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Contact person: \_\_\_\_\_  
Title: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Email: \_\_\_\_\_

Brief description of business activity: \_\_\_\_\_

*Example: Retail jewelry sales, automobile manufacturing, bus transportation.*

Business category from attached list: \_\_\_\_\_

Average number of persons on the premises:

Day: \_\_\_\_\_ Night: \_\_\_\_\_ Weekend: \_\_\_\_\_ Special Event: \_\_\_\_\_

Do you have a critical incident response plan?                      Yes      No

Has your plan been coordinated with the public sector?                      Yes      No

Have you exercised your critical incident response plan?                      Yes      No

Have you exercised your plan with the public sector?                      Yes      No

Prior to completing a Risk Assessment Matrix, it is important to identify the risks that have impacted your business in the past and those you consider potential threats. Consider both natural hazards such as tornadoes, floods, and winter storms and man-made hazards such as workplace violence, terrorist attacks, and hazardous materials incidents. Take into account both internal and external events. Some hazards, such as hazardous materials, may exist both internally and externally. Consider not only the specific risk, such as a tornado, but also the potential impact of the event such as loss of electrical power, damage to facilities, or closure of highways.

Past experiences: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Perceived threats: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

For purposes of this Risk Assessment, Business Functions are defined as operations or activities vital to the success of the business. Examples may include functions such as receipt of materials, manufacturing, packaging, shipping, accounting, sales, etc. Additionally, consider support functions such as computer operations, workforce availability, communications systems, etc.

List your business functions: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Utilizing the matrix on the following page, you will determine which of your business functions are the most critical and also the most vulnerable to the risks you have identified. This will guide you in prioritizing your planning and mitigation activities.

## RISK ASSESSMENT MATRIX

Step 1: List the business function

Step 2: Rate the criticality of the function. This identifies priorities.

C: Critical - Business cannot operate without this function or loss of the function would threaten life safety.

E: Essential - Not critical, but difficult to operate without. After a period of time, it would become critical.

NE: Non-essential - Disruption would merely be an inconvenience.

Step 3: Determine the recovery requirement. How soon must the business function be restored after experiencing the risk? What is the maximum allowable down time? This further refines priorities. Individual businesses may establish their own criteria. As example:

I: Immediate - 0-24 hours. May require that alternative site or system is immediately available at all times.

Del: Delayed - 24 hours to 7 days

Def: Deferred - Beyond 7 days

Step 4: Identify the types of risks that could threaten the business function.

*As example: road closure, electrical power failure, etc. More than one risk may threaten a business function.*

Step 5: Rate the vulnerability of the business function to each risk.

H: Highly Vulnerable - The business function is most likely to experience the risk.

V: Vulnerable - The business function may experience the risk.

NV: Not Vulnerable - The business function is not likely to experience the risk.

Step 6: What can be done to mitigate the risk and has it been completed?

Step 7: Does the risk necessitate joint public/private sector planning?

Examples of application of a Risk Assessment Matrix:

The following example involves a business that identified computer processing as a critical business function with an immediate recovery requirement. Among the risks identified were electrical failure and fire. The assessment indicated high vulnerability to both risks, but mitigation was in place for electrical failure while not for fire.

Business Function		<i>Computer Processing</i>	
Priority		<i>Critical</i>	
Recovery Requirement		<i>Immediate</i>	
Risk	Risk	<i>Electrical Failure</i>	<i>Fire</i>
Vulnerability	Vulnerability	<i>H</i>	<i>H</i>
Mitigation Yes/No	Mitigation Yes/No	<i>On Site Generator Yes</i>	<i>Suppression System-- No</i>
Joint Planning Needed	Joint Planning Needed	<i>No</i>	<i>Yes</i>

The second example involves shipping as an identified critical business function, but the maximum allowable down time is 3 days so recovery requirement is rated as Delayed. The risks identified are road closure and equipment failure. The assessment indicated that the business function was vulnerable to these risks but not highly vulnerable. No mitigation opportunities were identified for road closure, but lease agreements were identified as a mitigation opportunity for equipment failure. Joint planning could provide the opportunity to impact the public sector determination of priorities for road clearance during response to the event.

Business Function		<i>Shipping</i>	
Priority		<i>Critical</i>	
Recovery Requirement		<i>Delayed</i>	
Risk	Risk	<i>Road Closure</i>	<i>Equipment Failure</i>
Vulnerability	Vulnerability	<i>V</i>	<i>V</i>
Mitigation Yes/No	Mitigation Yes/No	<i>None</i>	<i>Lease Agreement Yes</i>
Joint Planning Needed	Joint Planning Needed	<i>Yes</i>	<i>No</i>

The third example identifies the workforce as a critical business function with a critical priority and immediate recovery need. The workforce was considered highly vulnerable to workplace violence but only vulnerable to road closure. Mitigation strategies were identified for workplace violence although they had not been completed at the time of the assessment. It was also identified that both risks would require joint planning with the public sector.

Business Function		<i>Workforce</i>	
Priority		<i>Critical</i>	
Recovery Requirement		<i>Immediate</i>	
Risk	Risk	<i>Workplace Violence</i>	<i>Road Closure</i>
Vulnerability	Vulnerability	<i>H</i>	<i>V</i>
Mitigation Yes/No	Mitigation Yes/No	<i>Policy, training, planning--No</i>	<i>None</i>
Joint Planning Needed	Joint Planning Needed	<i>Yes</i>	<i>Yes</i>

Any number of risks may potentially threaten any individual critical business function. Yet, the critical incident planning for each risk will have much overlap. As example; facility evacuation plans apply to fire, hazardous materials spills, and violence in the workplace.