Risk Assessment Matrix

THE UNIVERSITY OF AUCKLAND

Likelihood Level		Minor 1	Moderate 2	Major 3	Severe 4
4	**Very likely** Probably expect the event to occur in most circumstances	Moderate (4)	High (8)	Extreme (12)	Extreme (16)
3	**Likely** Event likely to occur at least once over the coming year	Moderate (3)	High (6)	High (9)	Extreme (12)
2	**Possible** Event may occur at some time	Low (2)	Moderate (4)	High (9)	High (8)
1	**Unlikely** Occurrence is conceivable, but not expected to occur	Low (1)	Low (2)	Moderate (3)	Moderate (4)

Consequence Level

	1	2	3	4
Harm to People Potential for injury or death	None or trivial / negligible injury (no or slight injury which requires localised first aid)	Minor injury (illness or injury is not serious, medical treatment required)	Serious injury (serious injury or illness, hospitalisation required)	Fatality, major injury (death, permanent disablement, or significant long-term illness)
People Affected Extent of people potentially affected	None or few (e.g. 0 to 2)	Small numbers (e.g. 3 to 10)	Moderate numbers (e.g. 10 to 50)	Wide scale (e.g. more than 50)
Reputation and Legal Potential for publicity with a negative impact on reputation / potential for legal prosecution	None or issue raised by staff or students and resolved promptly by management. None or legal dispute – found not guilty – fines up to $3 million (Body Corporate), $600,000 (Officer)	Internal scrutiny to prevent escalation and short-term stakeholder concern Minor non-compliance, limited notification to regulators / affected stakeholders	Medium-term stakeholder concern, national media scrutiny and 'brand' impact. Medium non-compliance, moderate notification to regulators / affected stakeholder, potential for legal proceedings / fines	Persistent stakeholder concerns, international media scrutiny and long term 'brand' impact. Significant non-compliance, extensive notification to regulators / affected stakeholders, potential for legal proceedings / imprisonment / fines
Operations Extent of ability to maintain core business	None or business interruption < 4 hours. None or effectiveness and efficiency of a service, programme or project impacted in the short term. None or slight damage to property or equipment	Business interruption between 4 hours to 5 days. Operational disruption manageable by workarounds. Moderate damage to property or equipment	Business interruption > 5 days. Medium operational impact resulting in delay of key deliverables. Major damage to property or equipment	Business interruption of many weeks. Breakdown of key activities and significant long-term impact. Massive damage to property or equipment
Environment Extent of negative impacts on the environment	None or minimal impact. None or clean up expenses up to $25,000	Minor short-term or intermittent impact, able to be contained with specialist assistance. Clean up expenses up between $25,000 to $1m	Serious, medium-term detrimental impact. Clean up expenses up between $1m - $5m	Very serious, long-term or permanent damage. Clean up expenses > $5m

Risk Assessment Matrix

THE UNIVERSITY OF AUCKLAND
Te Whare Wānanga o Tāmaki Makaurau
NEW ZEALAND

Likelihood	**Consider the Likelihood** How often is the task done? Has an accident happened before (here or at another workplace)? How long are people exposed? How effective are the control measures? Does the environment affect it (e.g. light, temperature, space)? What are people's behaviours (e.g. stress, panic, deadlines)? What people are exposed (e.g. disabled, young students, etc.)?
Consequence	**Consider the Consequences** What type of harm could occur (minor, serious, death)? Is there anything that will influence the severity (e.g. proximity to hazard, person involved in task, etc.)? How many people are exposed to the hazard? Could one failure lead to other failures? Could a small event escalate?
Risk Level	**Calculate the Risk** The final score for each risk is calculated by multiplying the likelihood and consequences response scores. This will give a risk score of between 1 and 16. All risks rates as "High" or "Extreme" require detailed analysis of mitigating practices / controls to determine the residual risk rating. Action must be taken. "Low" and "Moderate" risks may be excluded from further analysis (other than when the consequence may be severe). However the rationale for excluding these risks should be documented to demonstrate the completeness of analysis undertaken. Some action may be required. Other than in the most unlikely circumstance, risks that can cause major or severe harm to people have been determined as "high" or "extreme". Management review is considered appropriate for risks of these nature due to the potential magnitude of the impact, even though the likelihood may be assessed as relatively low.

Extreme (12-16)	**Intolerable risk.** Immediate action(s) is to be taken by Faculty/Service HSW risk owners - including DVCs, Deans of Faculties, Directors of Services, Academic Heads/PIs, Services Managers. Work should not be started or continued until the risk has been reduced to as low as reasonably practicable using the hierarchy of risk controls. The Associate Director Health, Safety and Wellbeing, and Manager Risk and Performance must be advised of the risk for their review. The risk should be included in the UoA wide risk register.	
High (6-9)	**Should not be tolerated.** Urgent action is to be taken by the immediate manager. Work should not be started or continued until the risk has been reduced to as low as reasonably practicable using the hierarchy of risk controls. The HSW Manager working with the Faculty/Service, and Manager Risk and Performance must be advised of the risk for their review. To be included in the UoA wide risk register.	
Moderate (3-4)	Management to **monitor risks** in case changing circumstances increase the level of risk. Some action may be required, e.g. improving controls.	
Low (1-2)	**Requires no further attention** above routine practices and procedures, apart from monitoring.	

Note: *This Health and Safety Risk Assessment Matrix aligns with WorkSafe NZ guidance, UoA Resilience Management Plan, UoA Risk Determination Matrix, UoA TVRA and UoA Incident Levels*