

Appendix A – Likelihood Ratings (may be directly transferable to JCU Health after internal review)

Rating	Likelihood	Description	Quantification
1	Rare	The event may occur but only in exceptional circumstances and/or no past event history.	May occur within every 10 year period or more.
2	Unlikely	The event could occur in some circumstances. No past event history.	Could occur within a 5 to 10 year period.
3	Possible	The event may occur sometime. Some past warning signs or previous event history.	Could occur within a 1 to 5 year period.
4	Likely	The event will probably occur. Some recurring past event history	Could occur within a 3 to 12 month period.
5	Almost Certain	The event is expected to occur in normal circumstances. There has been frequent past history.	Likely to occur within a 3 month period or during the performance of an actual task.

Table 3: Likelihood Ratings

Appendix B – Consequence Ratings (to be adapted to JCU Health internal and external context as part of internal review)

		Impact on Specific Business Areas (To guide assessment)	
Level	Impact on Objectives	Area	Impact
5	Extreme Most business objectives can no longer be achieved. Complete revision of long term business model required.	Financial	>10% recurrent reduction in operating fund revenue, one off loss of > \$50m, Inability to pay staff and creditors,
		Academic	Loss of accreditation of multiple courses, institutionalised and/or systemic fraud or misconduct in academic activities including enrolments and examination processes, loss of flagship research projects
		Reputation	Sustained negative national and international publicity resulting in significant loss of funding, staff and/or students
		Business Disruption	Unavailability of critical infrastructure, utilities and/or ICT services > 2 weeks, inability to deliver face to face courses > 1 semester
		People	Systemic failure to properly deal with serious grievances, sustained high levels of staff turnover across entire university, university-wide staff unrest and/or sustained industrial action
		Compliance & Liability	Successful class actions or serious prosecution, repeated breaches of significant contractual arrangements, significant statutory intervention due to serious breach of legislation
		Workplace Health & Safety	Fatality, prosecution or legislative non-compliance impacts a substantial part or whole of University with significant works > \$100k.
4	Major A number of significant business objectives can no longer be achieved.	Financial	Between 5 & 10% recurrent reduction in operating fund revenue, one off loss of between \$20m & \$50m, short term inability to pay staff and creditors,
		Academic	Loss of mandatory accreditation of single course, localised fraud or misconduct in academic activities including enrolments and examination processes, loss of multiple significant research projects
		Reputation	Significant negative publicity resulting in some loss of funding, staff and/or students
		Business Disruption	Unavailability of critical infrastructure, utilities and/or ICT services between 1 and 2 weeks, inability to deliver face to face courses between 1 month and 1 semester
		People	One off failure to properly deal with serious grievances, inability to attract or retain key staff in multiple disciplines, significant staff unrest and/or industrial action at Division level
		Compliance & Liability	One off serious successful prosecution or adverse findings, breach of significant contractual arrangement, statutory intervention due to breach of legislation
		Workplace Health & Safety	Significant lost time injury (> 6 months), notifiable event, finding, notice, suspension of work impacts a substantial part or whole of University with major works between \$50-100k.
3	Moderate Some important business objectives can no longer be achieved.	Financial	Between 1 & 5% recurrent reduction in operating fund revenue, one off loss of between \$5m & \$20m
		Academic	Loss of voluntary accreditation of single course, localised fraud or misconduct in academic activities, loss of significant research project
		Reputation	One off negative publicity requiring some management resources to deal with
		Business Disruption	Unavailability of critical infrastructure, utilities and/or ICT services between 3 & 5 days, inability to deliver face to face courses between 1 & 4 weeks
		People	Multiple injuries requiring medical treatment, inability to attract or retain key staff in one or two disciplines, negative impact on morale across university
		Compliance & Liability	One off breach of legal or contractual arrangements requiring legal or regulatory intervention
		Workplace Health & Safety	Lost time injury (< 6 months), finding, ISOS combined extreme/high risk, impacts a moderate to substantial part of University with moderate works between \$10-50k.

2	Minor	Some reprioritisation of resources required to enable key business objectives to be achieved.	Financial	Between 0.25 & 1% recurrent reduction in operating fund revenue, one off loss of between \$1m & \$5m
			Academic	One off instances of minor misconduct dealt with according to normal procedures, loss of research project
			Reputation	One off negative local publicity not requiring management intervention
			Business Disruption	Unavailability of critical infrastructure, utilities and/or ICT services between 1 & 3 days, inability to deliver face to face courses between 2 & 7 days
			People	Inability to attract or retain key staff in specialised area, negative impact on morale in a Division
			Compliance & Liability	Minor breach of regulations or standards
			Workplace Health & Safety	Incident including medical treatment, near miss, safety finding resolved in 3 days, impacts a minor part of University with minor works < \$10k.
1	Insignificant	Little or no impact on business objectives.	Financial	< 0.25% recurrent reduction in operating fund revenue, one off loss of <\$1m
			Academic	Minor academic indiscretions dealt with according to normal procedures
			Reputation	One off media enquiries or neutral press coverage
			Business Disruption	Unavailability of critical infrastructure, utilities and/or ICT services < 1 day, inability to deliver face to face courses < 2 days
			People	Minor incidents or near misses, one off localised negative impact on morale
			Compliance & Liability	Minor technical breach of standards
			Workplace Health & Safety	Incident including first aid, workplace hazard contained immediately and no ongoing safety risk impact. No known similar risk within University.

Table 4: Consequence ratings

Appendix D – Control Effectiveness Ratings (Opportunity to simplify as part of internal review)

Rating	Effectiveness	Description	Quantification
0	Not Effective	The control does not address risk	0%
1	Slightly Effective	The control is not reliable as it is not well designed, documented and/or communicated.	1-20% effective
2	Somewhat Effective	Control may be reliable but not very effective as control design can be improved.	21-40% effective
3	Reasonably Effective	Control is reliable but not effective as documentation and/or communication could be improved.	41-60% effective
4	Mostly Effective	The control is mostly reliable and effective. Documentation exists but can be better communicated.	61-80% effective
5	Extremely Effective	Control is reliable and effective. Fully documented process and well communicated.	81-100% effective

Table 6: Control Effectiveness Ratings