Handout 2.3—Identify and Evaluate Risks Activity

Part 1—In-Class Activity

In-Class Activity Instructions

Using the essential records you identified in Part 1 of the Session 1 Activity [see the DPR Essential Functions and Essential Records table (Table 1) on page 2 of **Handout 1.7**—Determine Essential Functions and Identify Essential Records Activity] and the information provided in **Handout 1.6**—The Division of Public Recreation (DPR) Overview, *select one essential record* and complete the DPR Risk Matrix table (Table 1) on the next page, with the following information:

- In the **Essential Record** column, enter the essential record you selected from Part 1 of the Session 1 activity.

- In the **Potential Risk** column, list the risks to the DPR's records. For example, the agency might face a risk of water damage to its records.

- In the **Source of Risk** column, record the potential cause of the risk. For example, the water damage might be caused by a leaky roof.

- In the **Location of Impact** column, record where the risk will have an impact. Agency-wide? One particular part of the building? One work process or function? One system?

- In the **Potential Effects on Essential Records** column, list the potential effects of the risk. For example, mold and mildew might begin to grow on waterlogged records.

- In the **Existing Control Measures** column, describe any current steps, processes, or strategies your agency has in place to detect the presence of a risk, prevent it from happening, and/or mitigate its effects.

- In the **How Likely is an Incident?** column, rate the probability of the risk occurring, using the Risk Analysis Rating System provided on page 3 below. For example, in a rainy area, the likelihood of a roof leak that damages the records might have a higher rating than in a desert area.

- In the **Severity of Effects** column, rate the impact of the potential effects using the Risk Analysis Rating System provided on page 3 below.

Table 1: DPR Risk Matrix

ESSENTIAL RECORD	POTENTIAL RISK	SOURCE OF RISK	LOCATION OF IMPACT	POTENTIAL EFFECTS ON ESSENTIAL RECORD	EXISTING CONTROL MEASURES	HOW LIKELY IS AN INCIDENT? (PROBABILITY RATING)	SEVERITY OF EFFECTS (IMPACT RATING)

Rating System

Table 2: Risk Analysis Rating System

RISK ANALYSIS RATING SYSTEM			
Impact of Risk	**High**	Catastrophic impact; devastating loss The event has little chance of occurring.	Catastrophic impact; devastating loss Similar events have occurred in the past.	Catastrophic impact; devastating loss The event is expected to occur.
	Medium	Serious/critical impact; significant loss The event has little chance of occurring.	Serious/critical impact; significant loss Similar events have occurred in the past.	Serious/critical impact; significant loss The event is expected to occur.
	Low	Minor/marginal impact; some loss The event has little chance of occurring.	Minor/marginal impact; some loss Similar events have occurred in the past.	Minor/marginal impact; some loss The event is expected to occur.
		Low	**Medium**	**High**
		Probability of Risk		

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Part 2—Take-Home Activity

Take-Home Activity Goal

Identify, analyze, and document the risks for two essential records from your agency.

Take-Home Activity Instructions

Refer to the essential records you identified in Part 2 of the Session 1 Activity [see the My Agency's Essential Functions and Essential Records table (Table 2) on page 5 of **Handout 1.7**). *Select two* of those essential records and *then complete* the My Agency's Risk Matrix table (Table 3) for the records by doing the following:

- In the **Essential Record** column, enter the two essential records you selected from Part 2 of the Session 1 activity.

- In the **Potential Risk** column, list the risks to each essential record. For example, there might be a risk of water damage. (Try to come up with at least two to four risks for each record.)

- In the **Source of Risk** column, record the potential cause of each risk. For example, the water damage might be caused by a leaky roof.

- In the **Location of Impact** column, record where each risk will have an impact. Is it agency-wide? One particular part of the building? One work process or function? One system?

- In the **Potential Effects on Essential Records** column, list the potential effects of each risk. For example, mold and mildew might begin to grow on waterlogged records.

- In the **Existing Control Measures** column, describe any current steps, processes, or strategies your agency has in place to detect the presence of a risk, prevent it from happening, and/or mitigate its effects.

- In the **How Likely is an Incident?** column, rate the probability of each risk occurring, using the Risk Analysis Rating System provided on page 3 above. For example, in a rainy area, the likelihood of a roof leak that damages the records might have a higher rating than in a desert area.

- In the **Severity of Effects** column, rate the impact of the potential effects using the Risk Analysis Rating System provided on page 3 above.

If you are taking this course with other people from your agency, you may opt to work together and complete this activity as a team.

Be prepared to share your answers with the class at the beginning of the next webinar (Session 3).

Submit Your Completed Sheet

Please email a copy of your completed sheet to your instructor no later than the day before Session 3.

Name(s): _____

Agency: _____

Essential records selected from Handout 1.7: _____

Table 3: My Agency's Risk Matrix

ESSENTIAL RECORD	POTENTIAL RISK	SOURCE OF RISK	LOCATION OF IMPACT	POTENTIAL EFFECTS ON ESSENTIAL RECORD	EXISTING CONTROL MEASURES	HOW LIKELY IS AN INCIDENT? (PROBABILITY RATING)	SEVERITY OF EFFECTS (IMPACT RATING)

Table 3: My Agency's Risk Matrix, continued.

ESSENTIAL RECORD	POTENTIAL RISK	SOURCE OF RISK	LOCATION OF IMPACT	POTENTIAL EFFECTS ON ESSENTIAL RECORD	EXISTING CONTROL MEASURES	HOW LIKELY IS AN INCIDENT? (PROBABILITY RATING)	SEVERITY OF EFFECTS (IMPACT RATING)