Likelihood Criteria

	Staffing (Levels & Experience)	Operational Procedures	Guidance	Problem History	New Program, Phase or Component	Complexity	Outside Control	Potential for Waste, Fraud and Abuse	Work Force Development and Training	Agency Involvement	Consultant Use	Other
Likelihood Level	Is the staff assigned to the effort sufficient? Do they have a clear knowledge, understanding, and ability with the program area or objective and its implications	Are there documented and relevant procedures for this program area or objective of the program?	Is there relevant guidance?	Have there been significant problems or ongoing series of problems related to this program area or objective?	Is program area or objective of the program is truly novel?	Is there a high level of intricacy or challenge associated with the program area or objective?	Is there an opportunity for outside agencies to assert control or interference?	What is the opportunity waste, fraud, and abuse?	Is there program in place to keep training and development in place for the personnel related to this program area or objective?	Is our division office staff actively is involved in managing the program area or objective?	Are consultants actively being applied as primary resources in the effort?	Are there other areas of concern related to this program area or objective that are not addressed in the frequency criteria? (Document the criteria below)
Almost Certain	Severely understaffed or no experience: It is unrealistic to expect the staff assigned not to need supplementation or augmentation before the end of the effort	None: There are no documented or relevant procedures	None: There are no documented or relevant guidance	A lot of: There are historical events that tie directly to the problem history	Cutting Edge: No one has addressed this type of work in this program area or objective before	Almost Certain: The program area or objective involves integration of multiple agencies, consultants and contractors	Almost Certain: Numerous outside agencies and the public have the opportunity and ability to voice concerns, influence or direct	A lot of: There is almost no oversight and a almost no ability to identify waste, fraud and abuse	None: There are no training or mentoring programs	None: Division office personnel have no visibility or no management control	A lot of: The Agency is using a broad range of consultant to address the program area or objective	
Likely	Understaffed or no experience: Staff assigned will be over utilized and likely incapable of completion of with out immediate training.	Some: There are some documented procedures or tangentially related procedures	Some: There is some documented guidance or tangentially related guidance	Some: There have been some incidents of problems related to this program area or objective in this type of program	Done in other transportation agencies: This type of w ork has been done in other transportation agencies, but no experience at this agency	Likely: The program area or objective involves integration of multiple agencies	Likely: One or two outside agencies and the public have the opportunity and ability to voice concerns, influence or direct	Some: There is some oversight, but certain gaps in our ability to identify waste, fraud and abuse	Limited: There are training and/or mentoring programs, but no funding and/ or leadership commitment	Limited: Division office personnel have visibility but no management control	Some: The Agency is sharing significant responsibilities with consultants related to this program area or objective	
Possible	Understaffed or some experience: Staff assigned will be over utilized and run the risk of being incapable of completion if additional responsibilities are assigned, or lack experience	Out-of-date: There are documented procedures, but they are out-of-date with existing laws and regulations.	Out-to-date: There are documented guidance, but they are out-of-date with existing laws and regulations.	Possible: There are rumors or organizational legend of problems related to this program area or objective in this type of program	Some experience: Some people have done this type of work in the past or have done related work	Possible: This program area or objective involves integration of Agency and one other outside agency	Possible: One or two outside agencies have the opportunity and ability to voice concerns, influence or direct	Possible: There is oversight, but possible gaps in our ability to identify waste, fraud and abuse	Some: There are training and/or mentoring programs, but they are not universally available	Some: Division office personnel have management control over some aspects of the program area or objective	Limited: The Agency is sharing limited responsibilities with consultants related to this program area or objective	
Unlikely	Adequately staffed or competent: Adequately staffed or competent	Good and up-to-date: Procedures are good and up to date.	Good and up-to-date: Guidance is good and up to date.	None: There have been no significant or ongoing problems.	Old news: It's what we do, routine	Unlikely: This program area or objective involves only Agency personnel	Unlikely: There is virtually no opportunity or ability for outside agencies to voice concerns related to this program area or objective	None: There is virtually total oversight and a high opportunity to identify waste, fraud and abuse	A lot of: There are training and mentoring programs, broadly available to personnel	A lot of: Division office personnel have active management control over most aspects of the program area or objective	None: The Agency has full responsibility for all aspects of this program area or objective	

Impact Criteria

	Financial	Reputation	Business Operations	Legal and Compliance	Infrastructure Assets	Resources and Effort Required	Human and Natural Environment	Safety	Civil Rights	Economic
Catastrophic	Large unacceptable financial loss, severe budget variance. Critical long term impact on budget/finances, not recoverable within current or next fiscal year. Critical business functions could be vulnerable or ineligible. Systematic and extensive major fraud. Results in qualified audit opinion.	Very significant harm to image with substantial impact on effectiveness. Significant adverse community impact and condemnation. Consistent extreme negative media attention (months). Irreconcilable community loss of confidence in the organization's intentions and capabilities and possibly in the government. Secretary level intervention	Large and unacceptable operational impact, long term business interruption. System failure and overall survival of the organization is threatened. Full business disruption for more than one week or a key service more than two weeks. Majority of critical programs cannot be achieved. Secretary level intervention	Material compliance infraction. Significant prosecution and fines. Major litigation involving class actions. Major non-compliance with legislation.	Significant or critical infrastructure assets are destroyed. Significant or critical infrastructure assets are unusable for months.	Impact cannot be managed within the organization's existing resources and threatens the survival of the organization. Department Secretary level intervention.	The event will permanently affect the human and natural environment. The impact covers a wide area and is difficult to contain. The effects are irreversible. Threat to survival of flora, fauna, and or cultural heritage.	Many fatalities.	Program or critical component of a program declared unconstitutional the US Supreme Court, thereby effectively eliminating it nationally. Complete inability to achieve any of the program's objectives, or any objectives of a critical component of a program.	Significant, long lasting negative impacts to the economy of a major metropolitan area, a State or the nation
Major	Very significant financial loss, major budget variance. Significant impact on budget/finances/eligibility, not recoverable within current or next fiscal year. Significant fraud waste or abuse. Leads to material weakness.	Major embarrassment leading to significant impact on effectiveness. Considerable and prolonged community impact and dissatisfaction publicly expressed Community loss of confidence in the organization's and capabilities (weeks) Consistent negative media attention (weeks) Administrator or Executive Director level intervention	Unacceptable operational impact, short term business interruption. Continued capability of the organization is threatened. Full business disruption for up to one week or a key service up to two weeks. One or more critical programs, projects, or agency priorities cannot be achieved	Reportable compliance infraction. Major breach of regulations. Major litigation.	Non critical infrastructure assets are destroyed. Significant or critical infrastructure assets are unusable or restricted for weeks.	Impact requires significant long term management and organizational resources to respond.	Medium to long term impact to the the human and natural environment. The impact covers a wide area but can be contained. Able to be remediated but will require dedicated expert resources.	Fatalities or permanent disabilities.	Long-term impact on the protected rights, intended benefits, or ability to implement effective nondiscrimination programs. Numerous and continuous complaints in multiple program areas that cannot be addressed timely.	Significant economic disruption to a major metropolitan area or entire State
Moderate	Significant financial loss and variance to budget. Major impact on budget/finances/eligibility, may be recoverable within current year, but requires reprioritization. Limited instances fraud waste or abuse. Leads to several audit findings.	Moderate embarrassment impacting short term effectiveness. Community impact and concerns publicly expressed (days) Negative media attention (days) Loss of confidence by the community in organization processes Administrator or Executive Director level concern	Moderate operational impact, business not interrupted. Effectiveness and efficiency of major elements of the organization are reduced. Full business disruption for one day or a key service disruption up to one week. Ability to achieve one or more critical programs, projects, or agency priorities is reduced.	Significant compliance infraction. Serious incident requires investigation and legal representation to determine legal liability. Non compliance with regulation.	Some assets, not including significant or critical assets, are unusable or restricted for weeks.	Impact requires management and resources from a key area of the organization to respond.	Medium term impact to the the human and natural environment. Limited to a small area. Able to be remediated but will require intervention or management by external parties.	Injuries requiring medical treatment with possible fatalities.	Impact results in noncompliance affecting protected rights or intended benefits. Issues are addressed, but over unreasonably long period of time. Numerous complaints in one or more program areas.	Some economic disruption to a metropolitan area or portion of a State; impacts may or may not be long lasting
Minor	Minor financial loss, small budget variance. Slight but noticeable impact on budget/finances/eligibility, recoverable within year. Minor instances of fraud waste or abuse. Leads to audit findings.	Minor embarrassment, but no harm to image or reputation. Local community impact and concerns Occasional or once off negative media attention	Minor operational impact, business not interrupted. Effectiveness and efficiency elements of the organization are reduced, Partial business disruption for less than three days. Opportunity or ability to achieve objectives or deliver outcomes is affected.	Minor compliance infraction. Complex legal issue to be addressed.	A number of assets are unusable or restricted but can be replaced within an acceptable timeframe.	Impact requires additional local management effort and redirection of resources to respond.	Short term impact to the the human and natural environment. Able to be remediated through existing processes. Minimal threat to flora, fauna, and or cultural heritage	Injuries requiring medical treatment.	Minor impact on protected rights or intended benefits with isolated lawsuits and/or complaints that do not involve cross-cutting program issues.	Some economic disruption to a metropolitan area or portion of a State, but effects are both manageable and short term
Insignificant or Neutral	Minimal impact on budget/finances/eligibility. Recoverable within current year. Some waste or abuse. Leads to immaterial audit findings.	Isolated local community or individual issue-based concerns	Negligible impact on the effectiveness of the organization. Isolated or short term business service disruption.	Legal issues managed by routine procedures.	Assets receive minimal damage or are only temporarily unavailable or restricted.	Impact can be managed through routine activities.	No measurable impact to the the human and natural environment. No action required for management or containment. No impact to flora, fauna, and or cultural heritage.	Incident with or without minor injury.	No measureable impact to protected rights or intended benefits of individuals.	Some localized, short-term economic disruption

Heat Map

	Likelihood	Unlikely	Possible	Likely	Almost Certain
Impact	**Description**	The event could possibly occur, but is unlikely at this time.	The event could occur under specific conditions and some of those conditions are currently evidenced.	The event is most likely to occur in most circumstances.	The event is expected to occur in most circumstances or is happening now.
Catastrophic	Large unacceptable financial loss, severe budget variance. Very significant harm to image with substantial impact on effectiveness. Large and unacceptable operational impact, long term business interruption. Qualified audit finding.				
Major	Very significant financial loss, major budget variance. Major embarrassment leading to significant impact on effectiveness. Unacceptable operational impact, short term business interruption. Leads to material weakness.				
Moderate	Significant financial loss and variance to budget. Moderate embarrassment impacting short term effectiveness. Moderate operational impact, business not interrupted.Leads to reportable findngs.				
Minor	Minor financial loss, small budget variance. Minor embarrassment, but no harm to image or reputation. Minor operational impact, business not interrupted. Leads to audit findings.				
Insigificant or Neutral	Minimal or no measurable operational impact. Can be managed with routine activities. Leads to immaterial audit findings.				
	How to use this Tool: Assess your risk for levels of impact and likelihood. Find where the two values intersect. Use this intersection value to sort your risks and help with risk prioritization. Use your prioritization to help decide which risks require response strategies.				