
RISK ASSESSMENT TOOL

Purpose: The Risk Assessment Tool provides investigators and the investigation team with a summary format for documenting risk-related information. It also acts as a risk management tool, highlighting which risks present the highest probability and impact in an investigation; response strategies if the risk happens; mitigation strategies for reducing the probability that the risk will happen; and names the person responsible for taking actions to mitigate the risk or address the risk should it happen.

How to use this tool: This tool is used throughout the entire investigation and is updated periodically as the investigation progresses. Prior to the investigation, a risk assessment should be done to provide insight for investigators on the best way to move forward with an investigation. In collaboration with relevant investigation team members, technical and local experts, and the investigation manager, investigators should map out all potential risks (technical and local experts are involved to ensure investigators have as much clarity on the investigation context and have considered risks related to this context). Risk categories are provided in section 2.1 of the Sexual Exploitation, Abuse, and Harassment Investigation Guide. Additional information on risk assessment and management in investigations can be found in the Risk Assessment, Analysis, and Planning Guidance Note.

Based on the information available and input from the investigation team and experts, each risk is ranked according to the probability it will happen, and its impact on the investigation should it happen. The grid below is then used to assess the severity of the risk based on the impact and probability. If the probability is likely and the impact significant, the overall risk score can be seen in the dark yellow color (labeled 'serious'). Investigators should conduct this exercise and determine the risk score and how the risk will be mitigated through a response strategy, and identify a person responsible for overseeing the risk and response strategy.



High

These risks require clear response and/or mitigation measures as they are likely or very likely to happen and have a serious or major impact on the investigation. Impact could include single or multiple fatalities, widespread illness, and/or large-scale property/equipment damage



Serious

Risks under this category are likely to happen with significant or serious consequences or very likely to happen with significant consequences. Impact could include serious or significant injury or illness, serious or significant property and/or equipment damage.



Moderate

Risks under this category are very unlikely or unlikely to happen with serious or major impact or likely or very likely to happen with minor impact. minor impact could include minor injuries or illness, minor property/equipment damage.



Low

These risks are very unlikely or unlikely to happen with minor to significant impact on the investigation.

Probability

		Very Unlikely	Unlikley	Likely	Very Likely
Impact	Minor	Low	Low	Moderate	Moderate
	Significant	Low	Low	Serious	Serious
	Serious	Moderate	Moderate	Serious	High
	Major	Moderate	Moderate	High	High

Definition of key components

- **Risk category:** The overall thematic area into which the risk falls.
- **Risk description:** Describes the risk in as much detail as possible.
- **Impact:** The extent to which the risk will affect an individual, group of people, or investigation if it happens. Categorized on a scale of low, moderate, serious, and high.
- **Probability:** The likelihood a risk will happen, categorised on a scale of very unlikely, unlikely, likely, and very likely.
- **Response strategy:** Actions taken to mitigate the impact and/or probability of a risk OR actions to take if a risk happens.
- **Risk owner:** The individual team member responsible for the actions in the response strategy.

Risk category	Risk description	Impact	Probability	Risk score	Response strategy	Risk owner
People risk – risk of retaliation	By filing the complaint and participating in the investigation, the survivor and witnesses are at risk of retaliation from the Subject of Complaint. The risk could include physical harm, ostracisation, and intimidation.	Serious	Likely	Serious	The Subject of Complaint is suspended during the investigation, repatriated to his/her home country and interviewed remotely.	Investigation manager
Operational risk – travel and movement	The investigators may face restrictions related to travel to and from the incident location because of, for example, high rates of COVID-19 in the area. Investigators could be delayed in arriving to the site if they test positive or be restricted in which activities they can conduct because of lockdowns and high community transmission.	Major	Very Likely	High	Determine which investigation activities can be conducted remotely and recruit a local team member who has been through the first two tiers of IQTS training and can assist in face-to-face activities.	Investigation manager