

## Sample Risk Prioritisation Framework

Once you've identified the risks, it helps to map them out and prioritise them. Use this tool to rank risks systematically placing a value between 1 (least likely or smallest magnitude) to 5 (most likely or highest magnitude). Add the rows for each risk to clearly see which should be addressed first.

| Potential Risks   | Likelihood of Risk Manifesting | Magnitude of Risk | Effectiveness of Current Mitigation |
|---|--------------------------------|-------------------|-------------------------------------|
| <b>Bribery &amp; Corruption</b>                                   |                                |                   |                                     |
| Anticorruption and bribery violations                             |                                |                   |                                     |
| Bribery acts carried out by suppliers or third parties            |                                |                   |                                     |
| <b>Culture of Compliance</b>                                      |                                |                   |                                     |
| Developing & managing a mature compliance culture                 |                                |                   |                                     |
| Lack of effective communications                                  |                                |                   |                                     |
| Failure to report issues to ethics representative                 |                                |                   |                                     |
| <b>Confidential Information &amp; IT Security</b>                 |                                |                   |                                     |
| Security of IT assets and confidential information                |                                |                   |                                     |
| <b>Employment Practices / HR</b>                                  |                                |                   |                                     |
| Promotion criteria failing to account for ethical conduct         |                                |                   |                                     |
| New hires and third parties screened for ethics and compliance    |                                |                   |                                     |
| <b>Policies &amp; Procedures</b>                                  |                                |                   |                                     |
| Policies & procedures align to legislation                        |                                |                   |                                     |
| Awareness and compliance with Code of Conduct                     |                                |                   |                                     |
| <b>Compliance Infrastructure</b>                                  |                                |                   |                                     |
| Gaps in employee compliance understanding                         |                                |                   |                                     |
| Systems and resources to carry out effective compliance programme |                                |                   |                                     |
| <b>Emerging Risks</b>   |                                |                   |                                     |
| Change in company markets or business model                       |                                |                   |                                     |
| Acquisition of another company or competitor                      |                                |                   |                                     |

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