

Theme	Risk	Risk no	Consequence	Current control measures in place or in flight	Risk owner	Further planned actions to mitigate to the target risk appetite	Current likelihood	Current impact	Current rating	Residual likelihood	Residual impact	Residual rating	Target likelihood	Target impact	Target rating (January)	Other related risks
GOVERNANCE	There is a risk that the partnership lacks clear objectives	1	which results in inefficiency and mission creep, which results in stakeholder dissatisfaction and misunderstanding and undermines benefits	<b>Completed:</b> adopt and communicate a shared vision statement; develop the vision statement into clear metrics and expectations, agreed by all partners; implement IAA; JMT roadmap achieved on time <b>Ongoing:</b> scoping of shared staff and shared HQ projects; clear road map of actions with milestone dates/goals to be put together; programme plan drafted but not yet agreed; business cases for big ticket items in development; maps of both organisations being drafted for the 'as is' in order to develop the 'to be'. Current pause in light of Guildford financial situation	Joint Chief Executive (JCX)	To confirm and document how both authorities will function, in terms of people, processes and technology, so that further change, transformation and collaboration activity in both councils will strategically align with that planned approach	3 - Low	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	2 - Very Low	2 - Significant	Low	3,7
GOVERNANCE	There is a risk that the councils will not <b>continue</b> with any collaboration	2	which results in foregoing any <b>further</b> benefits of partnership, which results in greater pressure on the councils' financial challenge, service sustainability and pressure on the staff that are already joint. Cost and reputational damage. Impact on efficiency, workload, morale, reputation and service delivery.	Completed: JMT now in place, first stage of collaboration complete. Ongoing: programme plan drafted but not yet agreed; business cases for big ticket items in development; focus more aggressively on each council's individual transformation programme; identify more options for efficiency, income, savings and potentially service reductions.	Joint Chief Executive (JCX)	Inclusion of gateway reviews at each stage before progressing to the next. Clear business cases to be presented to Council and frequent communications to public re: benefits. Ongoing review to be by the partnership governing board in future. SEMs (Simultaneous Executive Meetings) being considered.	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	3
GOVERNANCE	There is a risk that the two councils disagree on an important aspect of the partnership	3	which results in dissatisfaction with the partnership and mistrust, which results in the partnership ending or being delayed.	Completed: agreed vision statement that is reviewed at least annually by both council Executives; an agreed Inter-Authority Agreement (IAA) which sets out protocols for dispute resolution and termination with an appropriate notice period. Ongoing: quarterly progress updates to O&S at each authority on progress of the collaboration; CMB members in close contact with key councillors. Options analyses being drafted	Joint chief Executive/Leaders	Regular opportunities for councillors to meet across boundaries, both formally and informally. Continue with Joint Governance Committee, reviewing IAA on a regular basis.	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	1,2,7

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GOVERNANCE	There is a risk that costs and savings of projects will not be apportioned fairly	4	which results in mistrust, which results in dispute and distraction.	<b>Completed:</b> a clear, early and agreed mechanism for cost and savings apportionment, enshrined in the IAA e.g. JMT; regular clear accounting of savings and costs to the relevant committees. <b>Ongoing:</b> cost and savings apportionment set out within business cases	Joint S151 Officer	Business case development for opportunities identified and agreed by both councils.	2 - Very Low	2 - Significant	Low	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	5,11
GOVERNANCE	There is a risk that JMT resource will not be apportioned fairly	5	which results in mistrust, which results in dispute and distraction. The Council fails to achieve milestones of objectives for either authority	<b>Completed:</b> Joint S151 in place and weighted cost sharing protocols agreed for JMT members. <b>Ongoing:</b> close monitoring during familiarisation period whilst new structure embeds	Joint chief Executive/CMB	Action plans implemented where significant issues arise. CMB and senior officers to decide if one off/shorter term issue or requires change to cost allocation with the option of rebalancing costs - keep this under review in budget planning. Further development of partnership working mitigates this risk further. Regular review and communication, to raise concerns, between lead members and CMB. Recognise ebb and flow to respond to needs of orgs and priorities. Regular appraisals and one to one discussions between officers, ensuring that objectives are being met and not compromised in each authority.	6 - Very High	2 - Significant	High	4 - Medium	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	4,9,11,19
GOVERNANCE	There is a risk that either or both councils will decide to terminate the partnership	6	Which results in lower-than-expected benefits realisation and reputational harm, increasing in impact with closer collaboration.	<b>Completed:</b> Clear agreement of priorities and objectives; JMT in place, partnership is sufficiently in place to mitigate this likelihood; clear clauses on termination in the IAA with an appropriate notice period to allow for transition. <b>Ongoing:</b> regular contact between councillors in the Executives and wider Councils; proactive communications with all stakeholders and the public; strong governance and oversight as per the IAA requirements.	Joint chief Executive/Leaders	Ensure mechanism in governance arrangements for backbench councillor input. SEMs (Simultaneous Executive Meetings) being considered. Interim shared staffing arrangements agreed by both councils	3 - Low	4 - Devastating	Medium	2 - Very Low	4 - Devastating	Medium	2 - Very Low	4 - Devastating	Medium	7,26

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GOVERNANCE	There is a risk that future political change leads to a serious change of partnership direction	7	Which results in a change in direction or a termination, which could lessen or increase benefits of collaboration.	<b>Ongoing:</b> engage all councillors throughout the transition process, with openness among all participants; identify where the disagreements and different priorities exist and be ready to adapt to them should a change occur; communications plan being drafted	Joint chief Executive/Leaders	Prepare communication plan about collaboration for councillors around election cycles to ensure the new intake are aware of the collaboration and address concerns. Establish aims/vision of partnership at early stage of each new municipal cycle.	3 - Low	3 - Critical	Medium	2 - Very Low	3 - Critical	Low	2 - Very Low	3 - Critical	Low	1,6,3,18
CAPACITY/RESOURCES	There is a risk that officer capacity will be over-stretched during the transition	8	Leading to lack of focus, which results in negative impacts on service delivery, partnership progress and morale.	<b>Completed:</b> Created a single shared programme management team. <b>Ongoing:</b> build in investment during the earlier phases, potentially including external support; set clear timetable and pace, agreed by both councils, with appropriate resources and succession planning; develop early a programme of HR support for resilience, strategies for dealing with change, and team building.	Joint Management Team	Need clearly funded invest to save strategy for collaboration project. Additional staff resource procured to support key aspects of the project (e.g., HR and ICT consultancy resource) Appropriate business support to be put in place. Change to culture of councillors and officers to focus on prioritisation to support delivery of collaboration. Keep JMT structure change under review. Achieve political direction across both Councils on single officer structure	5 - High	3 - Critical	High	3 - Low	2 - Significant	Medium	3 - Low	2 - Significant	Medium	9,10,19,22
CAPACITY/RESOURCES	There is a risk that the collaboration will impact on current projects/programmes which be delayed by diversion of capacity.	9	Leading to delays in achieving key objectives, which results in harm to the beneficiaries of those programmes.	<b>Ongoing:</b> individual council work programmes and corporate/service plans in place; clear programme management and reporting to senior management and councillors on progress of current service plans; adjusted work progs to suit current priority; financial recovery plan for GBC to progress its priorities; GBC has clear programme reporting through EPB; WBC has agreed service plans.	Joint Management Team	Early investment in the partnership so that it is not displacing resource from other key priorities. Review with councillors the existing priorities and agree where displacement may take place in a planned and agreed way. Identify any additional resource needed to support programme and project management in both authorities	3 - Low	3 - Critical	Medium	4 - Medium	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	4,8,23
CAPACITY/RESOURCES	There is a risk that due to concerns about the collaboration, knowledgeable officers may leave and we fail to recruit in a buoyant market.	10	Leading to missing information and dilution of 'corporate memory', which results in delays and confusion. Capacity gaps leading to service failure and impact on other staff	<b>Ongoing:</b> development of HR Workforce Strategy and plan, effective management of, and communication with, staff; maintain external contacts through Surrey networks	Joint Chief Executive	Continue to monitor the staff changes across the partnership particularly at management level. Proceed and deliver Programme at pace.	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	8,22

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CAPACITY/RESOURCES	There is a risk that one council's priorities will (or will be perceived to) dominate for a period	11	Which could result in conflict amongst members, resentment and potential dissolution of the partnership	<b>Ongoing:</b> regular communication with both Executives on specific local issues and priorities that arise; Joint S151 in place and weighted cost sharing protocols agreed for JMT members; joint comms plan being drafted	Joint Chief Executive (JCX)	Action plan implemented where significant issues arise. CMB and senior officers to decide if one off/shorter term issue or requires change to cost allocation with the option of rebalancing costs - keep this under review in budget planning. Further development of partnership working mitigates this risk further. Shared annual business plans for each service agreed by the councils, clearly articulating the apportionment on planned projects. Transformation & Collaboration Programme to include actions to promote positive working culture in both orgs	5 - High	2 - Significant	High	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low	4,5
CAPACITY/RESOURCES	There is a risk that working across two councils leads to increased travel	12	Which results in wasted time and negative impact on the environment.	<b>Ongoing:</b> encourage video-conferencing and home working; scheduling of committee calendars combined where possible; options analysis for single office for both councils underway	Joint Management Team	Standardised policies, approach and training to hybrid working across both authorities. Single location should be considered for any shared service and tools and systems harmonised. Consider further expanding electric vehicles within the fleet(s). Agreed protocol aimed at reducing multiple officer attendance at committees as well as consideration of earlier committee meeting start times e.g. 6pm and the implementation of guillotine time restriction	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	15
FINANCIAL	There is a risk that expected savings, beyond that of the JMT, cannot be realised at one or both councils	13	Which results in unexpected further pressure on services and undermines the partnership.	<b>Ongoing:</b> regular communication to both councils as to plans and progress; agreed IAA; JMT savings have been achieved; Joint S151 has been appointed and working towards standard financial reporting; criteria for business cases are being developed and will include cost sharing prior to approval	Joint Management Team	Standard financial reporting, forecast and assumptions to be used. Robust business cases documenting allocation of costs and savings. Standardisation of business cases and project management methodology. Detailed business cases to verify the savings identified in the LPP financial feasibility study. Savings based on movement from 2021-22 base budget for each council. Achieve political direction across both councils on single officer structure	4 - Medium	3 - Critical	High	4 - Medium	4 - Devastating	High	2 - Very Low	3 - Critical	Low	14,23

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FINANCIAL	There is a risk that costs of collaboration are prohibitively high	14	which results in a threat to the viability of some aspects of the collaboration for either or both councils, which results in an unviable partnership and reputational impact.	<b>Ongoing:</b> clear communication with councillors and the public throughout the partnership (comms plan being drafted); cost and savings apportionment set out within business cases	Joint Management Team	Avoid pursuing prohibitively expensive projects. Sensitivity analysis on estimates. Councillor involvement in working groups to look at each service/business case. Identify and include transition costs in business cases as they are developed. Agree and document a common approach to rate-of-return and cost/benefit sharing. Change the phasing of transition to reduce the impact of unexpected new costs that arise. Focus first on those areas that present the biggest 'wins'.	3 - Low	3 - Critical	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	13,17,27
SYSTEMS	There is a risk that different HR and service policies lead to confusion and duplication,	15	resulting in inefficiency or failures of governance	<b>Completed:</b> decision made on employment policies that will apply to members of the JMT <b>Ongoing:</b> strong engagement with unions	Joint Management Team	Strong combined target operating model and cultural framework. A programme of policy harmonisation and standardisation wherever possible, recognising that this huge task will take time. A single shared intranet hub for managers to consult policies, with cross-references where they are different. Regular communication of policy changes. Achieve political direction across both Councils on single officer structure (decision on options analysis)	4 - Medium	2 - Significant	Medium	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	12,16
SYSTEMS	There is a risk that support functions and processes remain disparate during the collaboration leading to mis-application of policies/processes	16	resulting in confusion and potential challenge to decision-making.	<b>Completed:</b> Vision statement for both authorities contains the commitment to harmonise internal policies and procedures unless there is good reason not to <b>Ongoing:</b> strong and regular communication from the senior political and management; mapping of 'as is' to devise the 'to be'	Joint Management Team	Strong combined target operating model and cultural framework. A plan for an early harmonisation of HR, IT and change management functions and key policies, with accompanying significant financial investment. A single intranet. Achieve political direction across both Councils on single officer structure as a priority for support functions	4 - Medium	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	2 - Very Low	2 - Significant	Low	15,20,27

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SYSTEMS	There is a risk of failure to address the different legacy IT platforms	17	Which would lead to duplication/conflict in system usage within a shared service, resulting in inefficiency, anxiety and increased cost and increased risks in case management/ audits, customer service	<b>Ongoing:</b> review the costs and benefits of the current IT systems and their current contractual obligations; formation of IT Way Forward Group meeting (GBC and WBC) to collaborate.	Joint Management Team	Prioritise the transition programme based on the cost/benefit analysis. Develop and implement a new shared IT strategy that is focused on supporting the partnership and identify the resources required and return-on investment that is possible. Cost/benefits analysis will be a key part of business cases for change, including for IT.	5 - High	3 - Critical	High	3 - Low	3 - Critical	Medium	2 - Very Low	3 - Critical	Low	14,23,27
CULTURE	There is a risk that councillors do not feel ownership of the collaboration	18	which results in mistrust and concerns about sovereignty, which results in destabilisation of the partnership.	<b>Completed:</b> clear and agreed governance principles and processes, including how councillors will be engaged in decision-making and scrutiny via existing committees or, if desired, shared committees. <b>Ongoing:</b> regular communication with councillors, parish councils and the public; JMT attending regular committees and boards, as well as networking meetings in both councils, joint comms plan being drafted	Joint chief Executive/Leaders	Harmonisation of roles and terms of reference of key council committees across councils e.g., CGSC / Audit committee ToRs to be similar. SEMs (Simultaneous Executive Meetings) being considered. Consider need for further joint committees or sub-committees to make key decisions about collaboration activity. O&S will scrutinise prior to final options being put to Executives	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	7
CULTURE	There is a risk that councillors will perceive that officers are less available to them	19	which results in delays and dissatisfaction, which results in harm to the how councillors perform in their role	<b>Ongoing:</b> clear expectations to be agreed, acknowledging that shared staff serving two councils may sometimes not be available; ensure that support to affected senior managers, via technology and assistants, is in place and supported adequately; consider developing an SLA between councillors and officers; JMT attending regular committees and boards, as well as networking meetings in both councils. Interim shared staffing arrangements agreed by both councils	Joint chief Executive/Leaders	Guidance to be issued to councillors on how to make contact. Clear protocols on accessibility and building of resilience across officer tiers, so that the critical ward councillor role is prioritised throughout any transitions. Regular review and communication, to raise concerns, between lead members and CMB. Regular appraisals and one to one discussions between officers, ensuring that objectives are being met and not compromised in each authority.	4 - Medium	2 - Significant	Medium	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	5,8

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CULTURE	There is a risk that different officer cultures and organisational structures may hinder collaboration	20	which results in lack of prioritisation for the changes required, which results in delay, inefficiency and dissatisfaction.	<b>Completed:</b> recruitment of JMT clear direction from senior political and officer leadership. <b>Ongoing:</b> investment in engagement, communication, training and support through times of change; agreed initial staff sharing arrangements; aligning structures where possible in preparation for collaboration	Joint Management Team	Strong joint Organisational Development & Cultural framework along with performance management framework. Councillors to show leadership to support the collaboration. Recruitment of joint officers to reflect the required culture subject to business cases. An articulated change strategy including expected behavioural norms. Achieve political direction across both Councils on single officer structure	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	16,21
CULTURE	There is a risk that officers may not trust those from the partner council	21	which results in failure to share key information and attrition, which results in delay and unhealthy cultures and behaviour.	<b>Completed:</b> Performance management meetings harmonised. <b>Ongoing:</b> clear direction from the political and senior management leadership as to the way forward; investment in engagement, communication, training and support through times of change; best practice sharing opportunities and investment in building new teams through collaboration and current working environments.	Joint Chief Executive	Strong joint Organisational Development & Cultural framework along with performance management framework. Councillors to show leadership to support the collaboration. Harmonise performance management processes. Consider data sharing agreement/terms to provide staff confidence in information sharing. Achieve political direction across both Councils on single officer structure	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	20,22
CULTURE	There is a risk that employees will become increasingly anxious	22	which results in negative impacts on morale, which results in impact on service delivery, mental health concerns and loss of staff	<b>Ongoing:</b> a clear direction of travel from the political leaderships, with messages delivered consistently and clearly; regular communication from senior management and transparency with employees and unions about the plans, progress and impact on affected staff; review regularly the impact on service performance and be prepared to support and resource accordingly; continue with effective communication and briefing of staff and Councillors. joint comms plan being drafted. Monitor exit interviews & recruitment data; investment in HR support, investment in engagement, communication, training and support through times of change.	JCX / HR Managers	Progress to be swift so period of uncertainty minimised. Costing will affect this. (related to JMT). Acknowledging time to progress collaboration Strong joint Organisational Development & Cultural framework. Promoting wellbeing activities Development of tier 4 manager development sessions	4 - Medium	2 - Significant	Medium	3 - Low	3 - Critical	Medium	2 - Very Low	1 - Small	Low	8,10,21

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CULTURE	There is a risk that current programmes, project or systems, or past decisions are being implemented in a fixed way which constrains partnership options	23	Which results in compromises in the short term and failure to achieve the collaboration aims.	<b>Ongoing:</b> clear communication with the Executives; be prepared to be bold if the business case holds, with an agreed process for cost-sharing if necessary; phase the partnership accordingly; assessing partnership risk of collaboration opportunities	Joint Management Team	New business cases reviewed and clearly assessed how far there are new opportunities, as well as constraints, arising from legacy decisions; whether they permit or block a 'best of breed' approach and for how long.	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	9,13,17
EXTERNAL	There is a risk that residents/ businesses will be confused between the two councils' services	24	Leading to miscommunication, which results in inefficiency.	<b>Ongoing:</b> clear communication on the nature and extent of the partnership, and the continuing importance of the role of ward councillors; points of access to access services need to be clear - e.g., Guildford residents can still access via GBC website and same for Waverley. Joint comms plan being drafted, including proposed joint branding. Comms leads from GBC and WBC on T&CP Team	JCX / Comms Leads	Review customer service points of access at each stage of collaboration. ICT synchronisation so that customers notice no change.	3 - Low	2 - Significant	Medium	2 - Very Low	1 - Small	Low	2 - Very Low	1 - Small	Low	
EXTERNAL	There is a risk that significant events impact the collaboration	25	leading to significant diversion of attention, which results in delays to the partnership transition	<b>Completed:</b> JMT recruited, T&CP Board established to manage and keep on track. <b>Ongoing:</b> clearly documented progress of the partnership; other collaboration agreements are being considered	Joint Management Team	An early and agreed plan for handling such an event.	5 - High	3 - Critical	High	4 - Medium	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	26
EXTERNAL	There is a risk that the Government will restart 'local government reorganisation' leading to structural uncertainty and diversion from the collaboration's priorities	26	Which results in the abolition of the two councils and disruption to service delivery.	<b>Ongoing:</b> given that any future model is likely to include Guildford and Waverley within the same structure, plan the current collaboration so that it could also adapt to and be a strong voice within a new enforced unitary; regular communication with other government stakeholders (councils, DULHC, MPs) on the progress of this partnership.	JCX / Leaders	Ensuring work to design operating model and creating transformation creates a strong foundation for discussions about future LG reorg (relates to vision statement)	4 - Medium	3 - Critical	High	3 - Low	3 - Critical	Medium	2 - Very Low	3 - Critical	Low	6,25

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SYSTEMS	There is a risk that there is not an appropriate IT solution to enable the collaboration	27	Which would result in a threat to benefits realisation, operational service delivery and decision making, in addition to impacts on service delivery and inefficient working, especially as the collaboration progresses to realise the expected benefits	<b>Ongoing:</b> Formation of ICT board to consider plans moving forward for a harmonised/reconciled ICT platform or working with both current platforms	Joint Management Team	To confirm and document how both authorities will function, in terms of people, processes and technology, so that further change, transformation and collaboration activity in both councils will strategically align with that planned approach	5 - High	3 - Critical	High	4 - Medium	3 - Critical	High	3 - Low	3 - Critical	Medium	14,16,17
CAPACITY/RESOURCES	There is a risk that there is not sufficient expertise and knowledge regarding collaborative working currently within staffing	28	Which could result in slow progress, uninformed decision-making and unnecessary risk		Joint Management Team	Request investment to bring in necessary expertise to inform collaboration	4 - Medium	2 - Significant	Medium	3 - Low	2 - Significant	Medium	2 - Very Low	2 - Significant	Low	

		Impact				
		Small	Significant	Critical	Devastating	
		1	2	3	4	
Likelihood	Very high	6	6	12	18	24
	High	5	5	10	15	20
	Medium	4	4	8	12	16
	Low	3	3	6	9	12
	Very low	2	2	4	6	8
	Almost impossible	1	1	2	3	4

Score	Likelihood	Indicators
1	Almost impossible	Less than 1% chance of occurring Has happened rarely/never before
2	Very low	1-10% chance of occurring Only likely to happen once in three or more years May have happened in the past
3	Low	10-20% chance of occurring Reasonable possibility it will happen in the next three years Has happened in the past
4	Medium	20-50% chance of occurring Likely to happen at some point in the next one-two years Circumstances occasionally encountered
5	High	50-80% chance of occurring Almost certain to happen within next 12 months Regular occurrences frequently encountered
6	Very high	Above 80% chance of occurring Inevitable it will happen within the next 6 months No influence/control over event occurring

Score	Impact	Indicators
1	Small	Loss <£100k Trivial breach or non-compliance Insignificant injury (first aid) Negligible disruption/unnoticed by service users Insignificant damage
2	Significant	Loss from £100k-£250k Isolated legal action or regulatory breach Minor injury (medical attention) Small disruption/inconvenience to service One-off adverse local publicity
3	Critical	Loss >£250k- £500k Sustained legal action or (limited) regulatory fine Serious injury (not life threatening) Substantial, short-term disruption/inconvenience to service Short-term, but wide reaching adverse publicity
4	Devastating	Loss >£500k Major legal action or regulatory sanction Death(s) or multiple serious injuries Major, sustained disruption/serious inconvenience to service Major, long-term damage