**Appendix 3: Risk Register**

| Title | Risk description | Opp/ threat | Cause | Consequence | Date Raised | Owner | Gross | | Current | | Residual | | Comments | Controls | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | I | P | I | P | I | P | | Control description | Due date | Status | Progress % | Action Owner |
| | | | | | | | | | | | | | | | | | | |
| Legal restrictions | Inability to issue civil penalties or amount restricted | Threat | Adverse case law is generated that has a negative impact on the ability to successfully issue civil penalties | Required funding levels not achieved. Programme slowed down or stopped | 4/9/17 | IW | | | | | | | | It is not possible to control the legal process and decisions made by the courts | | | | |
| Non payment | Dutyholders refuse to pay the civil penalties | Threat | In the event of non-payment the debt has to be recovered using civil recovery proceedings | Required funding levels not achieved. Programme slowed down or stopped | 4/9/17 | IW | | | | | | | | Ensure systems are in place for debt recovery | | | | |
| Decline in income | Drop in enforcement activity | Threat | Compliance rates in the HMO sector improve and insufficient civil penalties are issued to sustainably fund the proactive programme | Required funding levels not achieved. Programme slowed down or stopped | 4/9/17 | IW | | | | | | | | It is not possible to control this risk. We want to improve the complinace rate of landlords | | | | |
| Data inaccuracy | Properties with category 1 hazards cannot be identified | Threat | The address of every property that requires an inspection is not known | Targeting of inspections is insufficiently accurate and resources are not used effectively | 4/9/17 | IW | | | | | | | | Improve data sources wherever possible. | | | | |
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