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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