| Reference | Service | Corporate Priority | Risk Category | Title | Risk description | Cause | Consequence | Owner | Updater | Escalation Owner | Gross Probability | Gross Impact | Current Probability | Current Impact | Risk Score | Target Probability | Target Impact | RAG | Comments | Manual Update Date | Modified Date |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 00012 | Economic, Regeneration & Sustainability | Priority 5 : Well Run Council | Legal, regulatory & compliance | Increased costs and complexity for waste | Increased costs and complexity in the delivery of the Council's domestic collection service, and ODS commercial waste operations. | Changes in statutory obligations in the waste and recycling system and in funding mechanisms for domestic waste services. Competition in commercial waste services. | Higher costs are not sufficiently matched with increased revenues to support the delivery of the new obligations, this may impact on the funding of other service areas - as domestic waste collections are a statutory requirement. If the Council fails to meet its new obligations or operational costs for the ODS service incur penalty payments to the Council which undermign other service delivery. | Clive Tritton | Mich Tuller | Clive Tritton | 3 | 4 | 3 | 4 | 12 | 2 | 3 | A | | | 14/05/25 15:52 |
| 00014 | Chief Executive | Priority 5 : Well Run Council | Political | Partnership working | Devolution governance debate disrupts partnership work | County and Districts pursuing different options for Unitary Government. | Negative impacts on services and projects delivered in partnership with County and partners. | Mich Tuller | Mich Tuller | Emma Jackman | 4 | 4 | 3 | 4 | 12 | 1 | 4 | A | Collaboration and data sharing agreements in place with partner councils on both LGR and Devo, yet still many issues to resolve now for both. Law, received following County elections. | 13/05/25 | 24/06/25 16:14 |
| 00015 | Property Assets | Priority 5 : Well Run Council | Organisational, management and people | Staff recruitment and retention. | Inability to recruit and/or retain staff on proposed terms and conditions in Property Services (particularly in respect of HRA and compliance). | Terms and conditions of employment are not sufficiently attractive to attract permanent staff. Most other Councils are trying to attract similar staff from a pool of available candidates | Required skills and capacity are not available to deliver required work programmes. | Malcolm PEEK | Malcolm PEEK | Jane Winfield | 4 | 4 | 3 | 3 | 9 | 2 | 2 | G | To potentially get worse through pay and grading project | | 17/06/25 16:43 |
| 00016 | Planning & Regulation | Priority 5 : Well Run Council | IT and Information | Service Failure | Major service failure due to significant loss of ICT, staff etc | Major systems failure - major health pandemic etc | Reduction in staff or premises availability means a reduced service to customers and or a backlog of work to be cleared. | David Butler | David Butler | Andrew Murdoch, Rachel Williams | 3 | 4 | 3 | 3 | 9 | 3 | 3 | A | | 25/06/25 12:01 | 25/06/25 12:01 |
| 00017 | Planning & Regulation | Priority 1 : Good affordable homes | Customer and citizens | Regulation of the Private Rented Sector | Opportunity to embed HMO licensing across the City and to regulate the private rented sector. | Systems failure/ poor delivery of service; inadequate assessment/ non-compliance with resolution/ legislation | Damage to Council reputation and potentially finances; Failure to meet statutory duties. | David Butler | David Butler | David Butler | 4 | 3 | 2 | 2 | 4 | 1 | 1 | G | | 25/06/25 12:01 | 25/06/25 12:01 |
| 00018 | Financial Services | Priority 5 : Well Run Council | Economic, financial, market | Reputation Management | Failure to deliver an efficient and timely year end process for annual Council Tax and NDR bills, Rents, Garage and leaseholder statements | Resources (staff/finance) Upgrades of software not carried out Single points of failure CTR will be administered through Revenues not Benefits Knowledge of requirements Ability to design templates Legislative requirements not addressed | The biggest risk to Council's reputation. If the bills and notices are not delivered on time the Council cannot collect income due to it and would suffer reputational damage as a consequence. This risk is low until the process starts again in October | Laura Bassett | Laura Bassett | Bill Lewis | 3 | 3 | 1 | 1 | 1 | 1 | 1 | G | June 2026 - Risk impact score to be reduced | 26/06/25 | 26/06/25 09:49 |
| 00020 | Planning & Regulation | Priority 5 : Well Run Council | Organisational, management and people | Unplanned Workload | Unplanned workload leading to reactive response and delay or omission of proactive work | Complaints, added to complexities to existing work, unplanned work demands corporate or external | Delay or omission of programmed work, impact on quality of work if it is rushed or not checked. Reduction in quality of life for residents. | David Butler | David Butler | Andrew Murdoch, Rachel Williams | 3 | 4 | 3 | 4 | 12 | 3 | 4 | A | | 25/06/25 12:01 | 25/06/25 12:01 |
| 00021 | Financial Services | Priority 5 : Well Run Council | IT and Information | ICT | OCC not able to deliver the improvements to ICT systems in a timely and manageable manner; Inability to deliver ICT Systems that operate in a controlled and robust manner on a timely basis | ICT workload not adhered to and delayed; System implementation ineffectual leading to delays and / or poor system design and implementation | Increased inefficiencies in work flow leading to increased manual working and worsening collection rates; controls around the system not robust leading to an increased level of reconciliation or data control issues Project plans overlapping so that there is excessive work for staff over a shortened time period Non-compliance with contractual agreements and non-compliance with external standards such as PCI and PCI DSS | Clare Paterson | Clare Paterson | Bill Lewis | 2 | 2 | 3 | 4 | 12 | 2 | 2 | A | One-time issue in Jan arising from insufficient ICT forward planning for an access request. Resolved to ICT being unable to provide third party access to system, but risk of delay to provision of online or reporting solutions. | 09/07/25 15:12 | 09/07/25 15:12 |
| 00023 | Property Assets | Priority 2 : Strong fair economy | Commercial | Income Generation | Income Generation from property portfolio due to Covid-19 backlog and market forces and cost of living issues | Portfolio is biased towards retail/food and beverage. Market currently patchy and backlog of lease events. Particularly on estate shop outlets. Poor project management of projects such as LocalPlan, major Development management case, change projects | Reduced rent leading to budget pressure | Emma Gubbins | Emma Gubbins | Jane Winfield | 4 | 4 | 4 | 3 | 12 | 3 | 2 | A | | 15/05/25 13:51 | 15/05/25 13:51 |
| 00024 | Planning & Regulation | Priority 1 : Good affordable homes | Technical, operational and infrastructure | Project Delays | Project delays (service specific) | Technical capacity and skills issues such as LocalPlan, major Development management case, change projects | Reduced performance, missed targets, ultimately delay to delivery of needed housing on the ground. | David Butler | David Butler | Andrew Murdoch, Rachel Williams | 3 | 4 | 3 | 3 | 9 | 3 | 3 | A | | 25/06/25 12:01 | 25/06/25 12:01 |
| 00025 | Property Assets | Priority 2 : Strong fair economy | Commercial | Income reduction due to condition of properties | Inability / delay in letting or increased incentives | Stock returned in poor condition, increased forfeiture. Failure of landlord repairs/ obligations | Reduced or delayed rent or capital receipt leading to budget pressure | Malcolm PEEK | jarright@oxford.gov.uk | Jane Winfield | 4 | 4 | 3 | 3 | 9 | 3 | 2 | A | | 15/05/25 13:51 | 15/05/25 13:51 |
| 00026 | Financial Services | Priority 5 : Well Run Council | Organisational, management and people | Failure to recruit and retain key staff | Insufficient quality of applicants to vacancies, current/key staff leave to better opportunities | Current pay scales not attractive, reputation of Council will not attract new recruits | Vacant posts remain vacant, and existing posts become vacant. Further pressure is put onto remaining staff to fulfil extra tasks. | Nigel Kennedy | Bill Lewis | Bill Lewis | 3 | 4 | 3 | 3 | 9 | 3 | 3 | A | | 25/06/25 12:01 | 25/06/25 12:01 |
| 00027 | Planning & Regulation | Priority 3 : Thriving communities | Political | External Delays | Delays to Council projects caused by outside agencies | Delays by outside agencies - County Council, Consultees, National and Regional Government and other agencies | Reduced performance, missed targets | David Butler | David Butler | Andrew Murdoch, Rachel Williams | 4 | 4 | 4 | 4 | 16 | 3 | 3 | R | | 02/07/25 14:58 | 02/07/25 14:58 |
| 00028 | Property Assets | Priority 5 : Well Run Council | Legal, regulatory & compliance | Property non-compliance | Property in general fund becoming non-compliant resulting in Health & Safety failure | Lack of monitoring and management | Risk of hazard to people or property, unable to let properties so reduced income. Risk to the reputation of the council and/or actions against the council and officers. | Malcolm PEEK | Malcolm PEEK | Jane Winfield | 3 | 4 | 2 | 4 | 8 | 2 | 4 | A | | 15/05/25 13:51 | 15/05/25 13:51 |
| 00029 | Financial Services | Priority 5 : Well Run Council | Customer and citizens | Welfare Reform | Implementation of Universal Credit roll-out and the additional effects of welfare reform and impact of changes to claimants benefit continues Council Tax, Rents and Business Rates collection performance deteriorates | Welfare reform and changes to legislation We now know this will be fully rolled out by 2025. | Decline in service performance, overpayments occur and revenue and rent income streams are reduced. | Laura Bassett | Laura Bassett | Bill Lewis | 2 | 3 | 1 | 2 | 2 | 1 | 1 | G | | 24/06/25 16:14 | |
| 00030 | Financial Services | Priority 5 : Well Run Council | Economic, financial, market | Treasury Management | Safety of investments | Current economic climate and prolonged volatility in financial markets; banks and other investment institutions not being robust enough to survive future economic changes | Loss of principal investments placed | Bill Lewis | Bill Lewis | Bill Lewis | 3 | 5 | 2 | 5 | 10 | 2 | 5 | A | | 25/06/25 12:09 | 25/06/25 12:09 |
| 00031 | Communities & Citizen Services | Priority 3 : Thriving communities | Customer and citizens | Service standards and quality provision | Service not delivering quality services | Lack of resources and employee deployment. Fragile procedures, process and delivery mechanisms. Internal and external monitoring and auditing principles not robust | Failure to achieve industry recognised accreditation (i.e. Quiet, Green Flag, SQ). Increased costs. Corporate and service objectives fail to be achieved. Reputational damage. Reduced ability to draw down external funding | Hagan Lewisman | Hagan Lewisman | Helen Bishop | 3 | 3 | 3 | 3 | 9 | 4 | 3 | G | | 27/06/25 16:40 | |
| 00032 | Planning & Regulation | Priority 5 : Well Run Council | Economic, financial, market | Income Targets | Non achievement of income targets | Impact of macro-economic issues - falling number of planning applications, visitor spend etc | Not meet budget estimates, Deficit in corporate budget. Ultimately impact on resources available to the council to provide services | David Butler | David Butler | Andrew Murdoch, Rachel Williams | 4 | 4 | 3 | 3 | 9 | 3 | 2 | A | | 25/06/25 12:09 | |
| 00033 | Property Assets | Priority 5 : Well Run Council | Legal, regulatory & compliance | Lack of asset management system | Data Management processes improvement | No asset management system in place to store and analyse data. | Unable to plan or programme work in a timely fashion, delays in letting of properties and potential non-compliance. Risk to property and insurance cover or increased premium costs. Lack of active management of portfolio reduces performance. | Malcolm PEEK | Malcolm PEEK | Jane Winfield | 4 | 4 | 4 | 4 | 16 | 2 | 2 | R | | 13/05/25 | 15/05/25 13:51 |
| 00034 | Law, Governance & Strategy | Priority 5 : Well Run Council | Legal, regulatory & compliance | Resilience of service | Inability to effectively deliver services required by the Council to deliver critical projects and support statutory and non-statutory functions with a direct impact on risk, compliance, expenditure and income to the Council. Inability to react as required in the event of a major incident leading to more outsourcing or delays. | Inability to retain and recruit lawyers to permanent posts, leaving the service dependent on locum resources and therefore exceeding salary budget. Capacity and resource issues delaying restructure. Hope to progress by the end of 2025. | Reputational damage, adverse costs, greater reliance on external services and therefore increased costs. Ability to meet Council's own requirements prejudiced | Emma Jackman | lawlegcoexists@oxfordgov.uk | Emma Jackman | 5 | 5 | 4 | 4 | 16 | 4 | 4 | R | | 02/07/25 15:06 | |
| 00035 | Planning & Regulation | Priority 2 : Strong fair economy | Political | Government legislation, Democracy and Localism Bill | Substantial changes to the planning system. Realisation of Change of Use, Prior Approval regime extended impact of expectations of politicians and the local community impacting on resources and priorities | Government legislation leading to need to redesign processes | Lack of capacity to meet changes coming from government; undermining of the delivery of local policy objectives (e.g. protecting employment sites); Neighbourhood Plans put pressure on resources and/or seek to challenge City Council | David Butler | David Butler | Andrew Murdoch, Rachel Williams | 4 | 4 | 4 | 4 | 16 | 4 | 4 | R | | 25/06/25 12:09 | |
| 00036 | Communities & Citizen Services | Priority 3 : Thriving communities | Customer and citizens | Insufficient revenue and capital for each proposed development | Insufficient revenue and capital for each proposed development | Current economic climate/Comprehensive spending review | Developments do not take place | Hagan Lewisman | Hagan Lewisman | Hagan Lewisman | 3 | 3 | 3 | 3 | 9 | 3 | 3 | A | | 25/06/25 12:09 | |
| 00037 | Property Assets | Priority 5 : Well Run Council | Commercial | Income Targets / high costs | Non achievement of Town Hall income targets | Impact of economic circumstances; delays in building maintenance, major disruption to business e.g. fire, major issues | Reduction in income and revenue | Malcolm PEEK | David Hunt | Jane Winfield | 4 | 4 | 2 | 2 | 4 | 2 | 2 | G | On target to achieve income targets | 27/06/25 16:58 | |
| 00038 | Planning & Regulation | Priority 3 : Thriving communities | Political | Opposition to emerging statutory plans | Opposition to emerging statutory plans, and to planning applications, leading to: A) Inability to deal with opposition before decision; B) Imposition of Examination in Public and/or Inquiry; C) Legal Challenge after Adoption or planning decision | Local public, groups, organisations or political parties opposed to the emerging statutory plans and planning applications are many and at overuse to express objection, including some outside normal procedures and all drawing a lot of media attention. On opposition to planning applications at, pre- application, after validation. Committee and post decision stages. | Delay, extra costs, reputational risk, possibly amendments to policies. | David Butler | David Butler | David Butler | 3 | 4 | 3 | 3 | 9 | 3 | 3 | A | | 25/06/25 12:09 | |
| 00040 | Communities & Citizen Services | Priority 3 : Thriving communities | Commercial | Budget and Income | Trading Income from Event hire | Changes to Broad Street, COVID-19, the cost of living impact on the events sector and targeted campaigns against event organisers | Budgeted Target not met | Paula Redeasy | Paula Redeasy | Paula Redeasy | 3 | 2 | 3 | 2 | 6 | 1 | 1 | G | Event process will be changed | 14/04/25 | 25/06/25 12:09 |
| 00041 | Planning & Regulation | Priority 3 : Thriving communities | Political | New Partnership Challenges | Oxford Growth strategy, and related work including City Deal scheme challenges, risks: Unable to secure partnership agreement in order to deliver work plan commitments with pace to work plan | Unable to reach agreement with partners, necessity to compromise away from best interests, prevarication, delay and effort in the process | Delay, failure, less favourable out comes, more complex delivery mechanism going forward | David Butler | David Butler | David Butler | 4 | 4 | 3 | 3 | 12 | 4 | 3 | A | | 25/06/25 12:11 | 25/06/25 12:11 |
| 00042 | Communities & Citizen Services | Priority 5 : Well Run Council | Organisational, management and people | Breach in H&S leading to fatality/closure of leisure facility and/ or service disruption | Breach in H&S leading to incident/ injury/ fatality/ closure of leisure facility and/ or service disruption | Failure of health and safety management and monitoring | Risk of injury or death to persons. Reputational risk. Financial claims. Risk of facility closure or service disruption | Hagan Lewisman | Hagan Lewisman | Helen Bishop | 3 | 3 | 2 | 4 | 8 | 2 | 4 | A | | 25/06/25 12:11 | 25/06/25 12:11 |
| 00045 | Communities & Citizen Services | Priority 5 : Well Run Council | Organisational, management and people | Loss of key staff members | Prolonged absence or badly planned leave may result in the service area not delivering on its objectives | Staffing structure quite tight, meaning that there can be resource issues | Non delivery of service objectives | Helen Bishop | Helen Bishop | Helen Bishop | 4 | 3 | 4 | 3 | 12 | 3 | 3 | A | | 27/06/25 16:41 | 27/06/25 16:41 |
| 00046 | Law, Governance & Strategy | Priority 5 : Well Run Council | Economic, financial, market | External Legal Resources | The use of the budget is reactive and therefore, as unexpected corporate issues arise, external legal costs increase, which will lead to sub-optimal or illegal service budget, and potentially pressure on other service area budgets as they may need to fund work. | Unpredictability of cases which may arise. Due to increase demand in client departments for legal support, capacity issues in Legal Services team, leading to increase in advice requirements, inability to use cost-effective route of SM Lawshare Framework meaning using higher priced frameworks as an alternative. | Budgetary pressure | Emma Griffiths | lawlegcoexists@oxfordgov.uk | Emma Jackman | 5 | 3 | 5 | 3 | 15 | 2 | 3 | R | Budget has been exceeded already in 2025/26 due to unexpected cost of Cat 1 Inquiry. Risk score is unexpired all be variable and based on last year, with other years being unpredictable. This is a risk to increase. It will require additional funds from reserves for the remainder of the financial year | 01/07/25 | 09/07/25 11:44 |
| 00047 | Communities & Citizen Services | Priority 5 : Well Run Council | Economic, financial, market | Insufficient resource and market demand to deliver financial plan | A stringent focus is on this work, although the macro-eny continues to increase the challenges. There is a risk of there not being enough resource (staff time), and/or market demand to deliver the level required | Not enough staff time / insufficient demand for additional activities | Reduced delivery of efficiencies | Helen Bishop | Helen Bishop | Helen Bishop | 3 | 4 | 3 | 3 | 9 | 3 | 3 | A | | | 25/06/25 12:16 |
| 00048 | Planning & Regulation | Priority 3 : Thriving communities | Technical, operational and infrastructure | Public Health Protection | Threats to public health e.g., from food borne communicable disease | Uncontrolled spread of diseases; Illness and possible deaths; damage to Council reputation | Failure to adequately control/respond to outbreaks. | David Butler | David Butler | David Butler | 4 | 4 | 3 | 3 | 9 | 3 | 3 | A | | 25/06/25 12:16 | |
| 00051 | Financial Services | Priority 5 : Well Run Council | Economic, financial, market | Budget Management | Inability to forecast outturn effectively due to limited or incorrect information | There are significant efficiency savings and service reductions across the board as a result of budget process, and these may be difficult to deliver, or to understand if they will be delivered timely. | Increased use of balances or further reductions to be identified | Clare Paterson | Clare Paterson | Bill Lewis | 2 | 2 | 2 | 4 | 2 | 2 | 2 | G | ICT outturn forecasting problematic at Q3, arising from lack of comprehensive information on ICT contract spend commitments & activities, compounded by inability to access ICT accounting subsidiary ledgers. Ad hoc meetings held between ICT & Finance to address. sessions & data sharing mechanisms. | 09/07/25 | 15:14 |
| 00052 | Communities & Citizen Services | Priority 3 : Thriving communities | Customer and citizens | Safeguarding | Safeguarding vulnerable groups including children. | Poor training off and recognition of safeguarding principals. Poor monitoring and compliance regimes | Risk to Council reputation. Risk of allegation. Risk to public safety | Hagan Lewisman | Hagan Lewisman | Hagan Lewisman | 3 | 4 | 2 | 4 | 8 | 2 | 4 | A | | 25/06/25 12:16 | |
| 00053 | Law, Governance & Strategy | Priority 5 : Well Run Council | IT and Information | ICT | System failure without cloud based systems will significantly impact on the Council being able to meet statutory obligations and will impact on the delivery of corporate priorities and decision makins. | Work generated from unauthorised access to data actions, ICT issues such as server failure and failure of third party systems and devices | Failure to meet statutory obligations, unable to take decisions and protect the interests of the Council | Emma Jackman | lawlegcoexists@oxfordgov.uk | Emma Jackman | 4 | 4 | 3 | 3 | 9 | 2 | 3 | A | | 01/07/25 16:11 | |
| 00054 | Financial Services | Priority 5 : Well Run Council | IT and Information | Corporate Fraud | Suppliers set up on payment system that are not genuine or requests to change bank account details that are not genuine | Third parties attempt to defraud the council | Payments being misappropriated, loss of public monies | Annette Osborne | Annette Osborne | Bill Lewis | 3 | 3 | 3 | 3 | 9 | 2 | 3 | A | no change | 25/06/25 13:12 | 25/06/25 13:12 |
| 00055 | Law, Governance & Strategy | Priority 5 : Well Run Council | Economic, financial, market | Legal Income | Income target not achieved placing pressure on the overall budget of legal services leading to overspend | Inability to manage or control demand of work which generates income | Budgetary Pressure | Emma Jackman | lawlegcoexists@oxfordgov.uk | Emma Jackman | 4 | 4 | 4 | 4 | 16 | 3 | 3 | R | Indication of planning income reducing as reducing number of corresponding planning applications | 01/07/25 16:15 | 01/07/25 16:15 |
| 00056 | Financial Services | Priority 5 : Well Run Council | Organisational, management and people | Management effectiveness and employee ability to deliver services | Excessive pressure placed on staff and managers | Increased workloads and increased volumes of emails and online meetings in addition to increasing demands arising from the "day job" | Staff burnout; increased incidence of stress; lack of capacity to deliver work demands | Nigel Kennedy | Nigel Kennedy | Bill Lewis | 4 | 4 | 4 | 4 | 16 | 3 | 3 | G | | 25/06/25 13:12 | 25/06/25 13:12 |
| 00057 | Communities & Citizen Services | Priority 5 : Well Run Council | Customer and citizens | Complaints Handling | Failure of corporate complaints process resulting in Ombudsman intervention | Reliance on limited number of officers | Reputational risk. Additional complaints and/or Ombudsman intervention | Helen Bishop | Helen Bishop | Helen Bishop | 4 | 3 | 4 | 3 | 12 | 1 | 2 | A | | 09/07/25 | 09/07/25 16:29 |
| 00058 | Financial Services | Priority 5 : Well Run Council | Organisational, management and people | Health & Safety | Staff are subject to volatile situations in the course of their duties and possible harm | Robust & challenging conversations held with subjects of investigation during interviews and visits leading to escalation tension and possible physical assault | Staff subject to harm and subsequent short or long-term sickness, reduced resources. | swarner2@oxfordgov.uk | swarner2@oxfordgov.uk | Nigel Kennedy | 1 | 1 | 4 | 2 | 4 | 2 | 2 | G | | 25/06/25 13:12 | |
| 00059 | Communities & Citizen Services | Priority 3 : Thriving communities | Organisational, management and people | Community Cohesion Erodes | The risk that social and community cohesion will be negatively affected, detracting from our aims to encourage strong and active communities. | Britain's exit from the EU, shifts in national politics, and subsequent shifts in society's perceptions. | 1 Uncertainty and instability in political climate leads to social and political polarisation - this in turn could lead to political factions/shifts in management and risk of the council being perceived as partisan. Increased risk of social instability / unrest, leading to higher rates of hate crime. Deepening cleavages in society divides communities, with settled communities feeling neglected by local authorities in favour of newer/emerging communities – diversity is seen as a threat for some. 3. Social unrest can have negative effects on health, which carries risk of widening existing health inequalities across the city. | Helen Bishop | Helen Bishop | Helen Bishop | 5 | 3 | 3 | 3 | 9 | 3 | 3 | A | | 02/07/25 12:25 | |
| 00060 | Financial Services | Priority 5 : Well Run Council | Economic, financial, market | Budget and Income | Failure to deliver profiled trading income due to external factors | Reduced appetites for external clients and partners to spend on counter-fraud services due to cost of living issues, and competitive pressures. | Trading income targets not achieved, medium term financial plan compromised, budgetary overspend. | swarner2@oxfordgov.uk | swarner2@oxfordgov.uk | Nigel Kennedy | 4 | 3 | 1 | 2 | 2 | 1 | 1 | G | | 26/06/25 11:20 | |
| 00061 | Financial Services | Priority 5 : Well Run Council | Organisational, management and people | Performance | Failure to achieve service plan targets and objectives due to unplanned staff absence or turnover including sickness | Stress, failed to be contacted in the been increases risk of staff looking to alternative roles with other organisations. | Targets not achieved, trading income compromised, inability to service external contractual commitments | swarner2@oxfordgov.uk | swarner2@oxfordgov.uk | Nigel Kennedy | 1 | 1 | 2 | 4 | 1 | 2 | G | | 25/06/25 13:12 | |
| 00062 | Law, Governance & Strategy | Priority 5 : Well Run Council | Economic, financial, market | Budgetary issue | Increase in the cost of postage by Royal Mail causing budget pressures | The rise in the cost of postage has increased in recent years (with another in-year rise of 10% due) | Pressure on budgets beyond what is funded | Martin John | lawlegcoexists@oxfordgov.uk | Emma Jackman | 3 | 3 | 3 | 3 | 9 | 1 | 3 | A | | 01/07/25 16:25 | 01/07/25 16:25 |
| 00064 | Law, Governance & Strategy | Priority 5 : Well Run Council | Legal, regulatory & compliance | FOIA and DPA compliance | Failure to comply with statutory deadlines in terms of information Requests and Data Subject Access Requests. Failure to properly manage personal data. | Failure of other council departments and officers to contribute and approve in timescales required | Reputation risk, ICO action could result. | Emma Jackman | lawlegcoexists@oxfordgov.uk | Emma Jackman | 3 | 3 | 3 | 3 | 9 | 2 | 2 | A | | 01/07/25 16:27 | 01/07/25 16:27 |
| 00065 | Law, Governance & Strategy | Priority 5 : Well Run Council | Legal, regulatory & compliance | Data Protection | Data Protection Breach and Non-Compliance with Data Protection Law | Failure of the organisation to adhere to data protection law would cause capacity and work implications issues for the Council. Failure to provide appropriate access to data. Failure of the Council's departments and suppliers to properly safeguard data | Increased workload on a small team. Organisation could suffer reputational damage and/or have fines levied against it by ICO. Data subjects could suffer harm. Reputational risk. Financial penalties for Council and Employees. Potential litigation against the Council with damages and adverse costs | Emma Jackman | lawlegcoexists@oxfordgov.uk | Emma Jackman | 5 | 5 | 4 | 5 | 20 | 3 | 3 | R | | 02/07/25 16:01 | |
| 00066 | Communities & Citizen Services | Priority 3 : Thriving communities | Commercial | Sponsorship | Failure to achieve sponsorship income targets | Business climate | Difficult to sustain city events and cultural activity on an annual basis | Paula Redeasy | Paula Redeasy | Helen Bishop | 3 | 4 | 3 | 2 | 6 | 2 | 1 | G | Will continue to pitch and advertise opportunities | 14/04/25 | 25/06/25 13:23 |
| 00067 | Financial Services | Priority 5 : Well Run Council | Economic, financial, market | Procurement | If there is a failure to follow best procurement practice, then there is an increased risk of challenge. The reputation of the Council will suffer, and there may be financial loss to the Council if challenge succeeds in stopping procurements, as well as delays in delivering priorities. | Failure to follow best practice | Reputation of Council. Financial penalty. Poor decision making and financial loss due to potentially awarding a contract to the wrong supplier. Potential delays in delivering corporate objectives as a result of challenge and if decision reversed. | Annette Osborne | Annette Osborne | Bill Lewis | 3 | 3 | 3 | 4 | 12 | 3 | 3 | A | No change | 09/07/25 15:22 | |
| 00068 | People | Priority 5 : Well Run Council | Organisational, management and people | Corporate Management | Managers not equipped to meet the changing needs of the organisation | Development of F3 for the Future Programme, gives new accountabilities and responsibilities for Leaders | If not addressed service improvements and efficiencies not achieved | Gail Malkin | Gail Malkin | Gail Malkin | 2 | 3 | 2 | 2 | 4 | 2 | 2 | G | | 25/06/25 13:23 | 25/06/25 13:23 |
| 00069 | People | Priority 5 : Well Run Council | Organisational, management and people | People team | Resources insufficient to meet the growing demands of service | The work demands over which we have no control, such as new starters, pension queries, employee turnover and increasing numbers of payroll transactions, is putting additional pressure on the operations work of the team. Additional temporary resource is coming in an end without the required skills and knowledge, partly due to the ABM platform not leading to time savings. | Service quality is dropping and team is reporting workload pressures and work-related stress. Will need to cut back on service offered and extend service standard delivery times. | Gail Malkin | Gail Malkin | Caroline Green | 3 | 3 | 2 | 3 | 6 | 2 | 2 | G | Now recruiting to additional roles. | 26/06/25 | 26/06/25 09:37 |
| 00070 | People | Priority 5 : Well Run Council | Organisational, management and people | People team | Loss of key talent | Reliance on individual consultants with no cover as team is small. Example - one recruitment consultant - if she left we would have a limited and reduced recruitment service until replaced | difficulty filling hard-to-recruit roles and longer time to recruit times more generally | Gail Malkin | Gail Malkin | Caroline Green | 3 | 3 | 3 | 2 | 6 | 2 | 2 | G | | 26/06/25 | 26/06/25 09:37 |
| 00071 | People | Priority 5 : Well Run Council | Legal, regulatory & compliance | People team | Data protection legal compliance | Historical poor administration practices and pressures of work have meant that data has not been managed in line with data retention schedules. | non-compliance with data protection law | Gail Malkin | Gail Malkin | Caroline Green | 3 | 3 | 3 | 3 | 6 | 2 | 2 | G | progress being made to clear data that should not be retained. progress will be slow. | 26/06/25 | 26/06/25 09:18 |
| 00072 | Communities & Citizen Services | Priority 1 : Good affordable homes<br>Priority 2 : Strong fair economy<br>Priority 3 : Thriving communities<br>Priority 4 : Zero carbon Oxford<br>Priority 5 : Well Run Council | Economic, financial, market | Budget pressures | Budget pressures in Customer Services, including Customer Contact and Corporate Support teams | Increased workload Resources not delivered to improve services and reduce revenue expenditure Insufficient funding for workforce | Service savings not achieved | Helen Bishop | Helen Bishop | Helen Bishop | 3 | 3 | 3 | 2 | 4 | 2 | 2 | G | | 25/06/25 13:23 | 25/06/25 13:23 |
| 00073 | Economic, Regeneration & Sustainability | Priority 2 : Strong fair economy<br>Priority 3 : Thriving communities | Organisational, management and people | Staff Recruitment | Difficulty in recruiting on proposed terms and conditions - often ITTC roles in the service. | Terms and conditions of employment are not sufficiently attractive to attract and retain staff | Required skills and capacity are not available to deliver required work programmes or other pressure results in the loss of skills from the team. | Clive Tritton | Clive Tritton | Clive Tritton | 3 | 2 | 2 | 2 | 4 | 3 | 2 | G | | 09/07/25 16:38 | 09/07/25 16:38 |
| 00074 | Economic, Regeneration & Sustainability | Priority 5 : Well Run Council | Organisational, management and people | Managing staff capacity | Little capacity in team to allow cover for other team members if required. | Internal and external projects and programme are running to very similar timescales across economic development, City Centre, Green Transport, Housing Delivery and Regeneration. | Staff resource and work needs to be carefully prioritised to handle demand. Some programmes are outside our control (Bus Service Improvement Plan, Transport and Economic Development. Difficulty to prioritise projects/work if a regeneration manager is leaving, leaving officer is off work or leaves at short notice. | Clive Tritton | Clive Tritton | Clive Tritton | 4 | 2 | 3 | 3 | 9 | 3 | 3 | A | | 25/06/25 13:23 | |
| 00076 | Economic, Regeneration & Sustainability | Priority 2 : Strong fair economy | Legal, regulatory & compliance | Good governance | Development board and associated groups within the governance process not utilised effectively as it could be across the council. | Lack of knowledge of how and when to utilise development review group and development board. | Board is reactive or not utilised leading to project problems. | Clive Tritton | Clive Tritton | Clive Tritton | 3 | 2 | 2 | 2 | 6 | 3 | 2 | G | | 25/06/25 13:23 | |
| 00077 | Economic, Regeneration & Sustainability | Priority 5 : Well Run Council | Organisational, management and people | Health & Safety | Poor health and safety compliance due to inconsistent levels of experience and training. | Inconsistent levels of experience and training in project managers. Lack of corporate resource and training in H&S protocols. | Health and safety incidents and non compliance during projects which may cause significant project delays, fines or legal action and more widely causes risk to staff. | Clive Tritton | Clive Tritton | Clive Tritton | 3 | 3 | 3 | 3 | 9 | 2 | 2 | A | | 25/06/25 13:23 | |
| 00078 | Economic, Regeneration & Sustainability | Priority 2 : Strong fair economy | Technical, operational and infrastructure | Support Team Capacity | Lack of specialist advice or delays to projects caused by support team capacity | Commitments to projects and resourcing of support services (procurement, legal, finance, communities, planning) have not been considered in tandem and therefore resourcing to support areas and meet requirements of capital projects | Project delays and potentially inaccurate information reported through governance process through lack of specialist advice | Clive Tritton | Clive Tritton | Clive Tritton | 3 | 2 | 3 | 3 | 9 | 3 | 3 | A | | 25/06/25 13:23 | |
| 00079 | Economic, Regeneration & Sustainability | Priority 2 : Strong fair economy | Economic, financial, market | Staff Budget | Lack of budget to maintain staffing levels across service. Regen team due to failure to capitalise on the regeneration managers time and lack of funding to maintain current levels for city centre management and economic development teams | Staff budget relies capitalising time and external funding sources | Not being able to maintain staffing level of teams which would mean reduced resource to bring forward projects and programmes and loss of good staff that have often been difficult to recruit | Clive Tritton | Clive Tritton | Clive Tritton | 3 | 3 | 2 | 4 | 8 | 2 | 2 | G | | 25/06/25 13:23 | |
| 00080 | Economic, Regeneration & Sustainability | Priority 1 : Good affordable homes | Economic, financial, market | Housing supply funding | Reduction in funding available impacting housing delivery targets | Limits to HRA borrowing capacity/ Change to HRA Business Plan, Borrowing cost does making schemes unviable, Lack of Homes England Funding rounds, Poor outcome from RSH inspection rates (RP) landlord service any of the compliance criteria/ Annual HE Investment Partner compliance return not considered satisfactory, loss of awarded funding due to not meeting grant terms | Reduced delivery results in increasing further the backlog of housing need if we do not secure additional affordable housing stock and risk of grant including RBTB/Hs being returned with punitive interest | Dave Scholes | Dave Scholes | Dave Scholes | 3 | 3 | 3 | 3 | 9 | 2 | 2 | A | | 25/06/25 13:23 | |
| 00081 | Economic, Regeneration & Sustainability | Priority 1 : Good affordable homes | Customer and citizens | Housing project delays | Programme slippage puts housing delivery targets at risk | Issues could be wide-ranging for example risks relating to meeting planning policies, S106/s grpt capacity to 2026/ 27, Water and sewage capacity concerns, site specific issues | Either projects are lost from programme or are delayed which adds further cost risk or funding is lost as grant terms not met (risk of needing to return Right to Buy receipts if not spent with punitive interest) | Dave Scholes | Dave Scholes | Dave Scholes | 3 | 3 | 3 | 3 | 9 | 2 | 2 | A | | 25/06/25 13:27 | |
| 00082 | Economic, Regeneration & Sustainability | Priority 2 : Strong fair economy | Partnerships | Lack of key partner engagement | Lack of engagement from partners to deliver our priorities in Economic Development and City Centre | Third party decision making or capacity issues result in lack of support financially or in kind for key initiatives/projects | Unable to deliver on strategy actions or priorities or fund associated projects/work or creates unplanned financial pressure | Rupert Waters | Rupert Waters | Rupert Waters | 3 | 3 | 3 | 3 | 9 | 2 | 2 | A | | 25/06/25 13:27 | |
| 00083 | Economic, Regeneration & Sustainability | Priority 2 : Strong fair economy<br>Priority 3 : Thriving communities | Partnerships | Resource pressure from partners or stakeholders | Key Stakeholders or partners' projects and priorities create council resource implications | Third party decision making result in pressure for officer/ member support financially or in kind for their initiatives/projects | Unable to resource either the partner priority or our own priorities or creates unplanned financial pressure | Rupert Waters | Rupert Waters | Rupert Waters | 3 | 3 | 3 | 3 | 9 | 2 | 2 | A | | 25/06/25 13:27 | |
| 00084 | Property Assets | Priority 5 : Well Run Council | Legal, regulatory & compliance | Investment into stock and existing properties | Under investment or lack of funding to invest into properties to maintain condition | Budgets not sufficient to match property needs | Properties become poor condition to let, reduction in income and potential non-compliant or dangerous | Malcolm PEEK | Malcolm PEEK | Jane Winfield | 4 | 3 | 3 | 3 | 9 | 2 | 3 | A | | 18/06/25 | 15/05/25 09:26 |
| 00085 | Communities & Citizen Services | Priority 5 : Well Run Council | Technical, operational and infrastructure | Customer Services | Applications Team KPIs may be unable to be met due to tea licensing not resourced appropriately | Tea licensing is not resourced appropriately by the service due to them not agreeing funding | Performance affected and KPIs unable to be achieved | Mark Chandler | Mark Chandler | Helen Bishop | 2 | 2 | 2 | 4 | 4 | 2 | 2 | G | Resource is in place until 31st March 2026 but discussions need to take place on resourcing last month/year 31/3/26 | 25/06/25 | 25/06/25 13:27 |
| 00086 | Communities & Citizen Services | Priority 5 : Well Run Council | Organisational, management and people | Customer Services | Customer behaviour in the Westgate library or tellers putting our staff at risk either through physical or mental abuse | Unacceptable behaviour either verbally or physically from customers who visit the Westgate library | Staff are physically or verbally abused | Mark Chandler | Mark Chandler | Helen Bishop | 2 | 3 | 2 | 3 | 6 | 2 | 3 | G | Additional mitigations being added to the risk assessment around sexual harassment | 25/06/25 13:30 | 25/06/25 13:30 |
| 00087 | Communities & Citizen Services | Priority 5 : Well Run Council | Organisational, management and people

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| 00103 | Planning & Regulation/Community Safety | Priority 5 : Well Run Council | Legal, regulatory & compliance | Regulatory compliance | Failure to comply with regulations and statutory compliance | Insufficient resources impacting on ability to ensure compliance. A culture that fails to enforce policies; a lack of knowledge-exacerbated by staff turnover; changes in legislation; increased demand leading to mistakes by staff. | A loss of public trust and confidence in the Council's ability to govern effectively. Negative media attention will harm the Council's reputation. Poor Ofsted inspection results in efficient face criticism. The Council's ability to deliver services is undermined as important decisions are made incorrectly. Disputes among Members and staff. Fines and penalties and loss of grants and funding. | cbennett@oxfordshire.uk; Richard Adams | David Butler, Richard Adams | 5 | 4 | 2 | 4 | 8 | 1 | 4 | A | | 04/07/25 09:18 |
| 00108 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Failure of Homeless Prevention Activities | Temporary Accommodation - Failure to effectively manage the financial burden and demand for temporary accommodation in accordance with the individual needs of clients | Service delivery failure - homeless prevention activities become unable to meet a sustained increase in homelessness in Oxford leading to increased homeless placements/TA costs. | Reputational Impact - Increase in reviews - client's taking legal action/ appealing against their housing decisions, clients approaching media to highlight their case and shame council<br>Financial Impact - Increase in temporary accommodation costs/ placements/ Bed and Breakfast<br>Legal Impact - Council's inability to fulfill its duty to provide or secure the provision of advice and information about homelessness and the prevention of homelessness.<br>Overall Impact - If this risk was realised, this would hinder the operation of this service as the financial viability of this service would be called into question and related issues impacting to regulatory compliance would impact on OCC. | Nerys Parry | Richard Wood | Nerys Parry | 4 | 4 | 2 | 4 | 8 | 1 | 1 | A | The regular internal controls that have been introduced should provide sufficient advance warning - with regular monitoring - of any trends that may negatively impact the budget position. However, it is felt that, based on the risk assessment, as with all risks assessed in this risk register, is dependent on the data function of OCC being of a high-quality, reliable and with the information being regularly updated to provide up to the minute reliable information. | 02/07/25 09:50 |
| 00110 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Delayed new build developments/acquisitions | Supply - failure to secure pipeline of affordable supply arising from council's housing development programme, sourcing of PRS acquisitions and maximising on supply opportunities including downsizing, securing nomination rights, empty properties and fast void turnarounds | Service delivery failure - new build completions of social housing are delayed to due to developers failing to complete on time. Planned acquisitions slow down to a lack of supply of suitable properties in Oxford. Changes to the PRS Housing Markets including the Renters Rights Bill reduces the supply of affordable PRS available. Improvements to the Void process fail to reduce Void Re-let Times. | Reputational Impact - Inability to deliver on council housing programme targets with impact on housing waiting list, but will also impact negatively, loss of trust from key stakeholders and funding partners.<br>Financial Impact - Delays or non delivery of council housing programme will severely impact and add further financial pressures on HRA Business Plan as well as add further pressures on General Fund as families will need to be housed in Temporary Accommodation.<br>Legal Impact - It is a legal requirement to ensure that TA is suitable and families with children do not spend over 6 weeks in B&B, households believing they have been offered unsuitable accommodation make take legal action against council.<br>Overall Impact - TA provision appears on target but this is subject to review in the light of regular and updated data | Dave Scholes, Nerys Parry | Dave Scholes, Richard Wood | Dave Scholes, Nerys Parry | 3 | 4 | 2 | 4 | 8 | 2 | 2 | A | Low | 17/06/25 03/07/25 11:05 |
| 00111 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Implementation of the Landlord Services Re-Organisation | Re-organisation - risk of not delivering the re-organisation of landlord service in a timely manner and as a consequence it does not deliver the changes required including service improvements, culture change and achieve better outcomes for tenants | Service Delivery Failure - the landlord services re-organisation is not completed within the expected timelines due to delays in new staffing structures and processes being put in place. | Reputational Impact - Inability to establish a service structure that is more fit for purpose, responsive to new regulatory requirements and changing needs of tenants and homes.<br>Financial Impact - Inability to realise reorganisation benefits such as improving efficiency and effectiveness of service delivery and achieving better outcomes for the HRA.<br>Legal Impact - New SHR regulatory requirements means the council as a landlord has a duty to comply and meet required standards, failing to do so it will breach and face sanctions imposed by the SHR.<br>Overall Impact - This impacts on the initial work for the re organisation has begun and good progress has been made. | Nerys Parry | Bill Graves | Nerys Parry | 3 | 4 | 2 | 4 | 8 | 1 | 1 | A | | 03/07/25 09:50 |
| 00112 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Failure in tenant involvement activities/compliance with the Social Housing Act /Consumer Standards | Tenant voice - failure to improve tenant involvement activities/implement the reset programme to help deliver tenant led recommendations and priorities and organisation objectives to comply with the Transparency, influence and accountability standard. | Service Failure - Tenant Involvement governance arrangements and activities are not fit for purpose and do not allow the tenants voice to be heard/meaningful involvement in line with responsibilities under the SHA/Consumer Standards | Reputational Impact - A poor service offer/lack of tenant involvement risks an increase in complaints as it fails to provide tenants with the platform and opportunity to help shape and add value to service improvements (and could also result in Regulator/Ombudsman intervention).<br>Financial Impact - failure to establish efficient governance and effective tenant involvement arrangements can be costly and also fails to capture financial efficiencies.<br>Inefficient service delivery can be costly and lead to adding financial pressure on HRA.<br>Legal Impact - New SHR regulatory requirements means the council as a landlord has a duty to comply and meet required standards, failing to do so it will breach and face sanctions imposed by the SHR.<br>Overall Impact - This is currently no systemic arrangements in consul with tenants so this is a tangible risk in terms of SHR deciding infringements have taken place. However, to mitigate this risk, evidence can be presented to the SHR that work has begun to address this core issue. In respect of service delivery, involvement with tenants on a systematic basis, as envisaged in the Cabinet report of December 2024 on Tenant Management, would help drive up customer satisfaction levels. | Nerys Parry | Bill Graves | Nerys Parry | 4 | 4 | 3 | 4 | 12 | 2 | 2 | A | The Regulator of Social Housing has stated that their regulation of consumer standards will now be as robust as their review of economic standards and governance and lowbolts. The Social Housing Act also state that "landlords must support their tenants to shape and resolutise service delivery". Failure to do so, or disagreement with tenants would lead to regulatory action against OCC as a social landlord. Cabinet has been briefed/given by the Cabinet directors in December 2024 for this matter to be addressed. Limited likelihood with work having already commenced to complete the re-organisation | 02/07/25 09:50 |
| 00113 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Inspection by the Regulator of Social Housing | Social Housing Regulator Inspection readiness - failure to evidence the implementation/ adherence to Social Housing Regulator's consumer standards across housing - and risk resulting in a [C]/grading following inspection | Service Failure - OCC current/planned activities fail an inspection by the Regulator of Social Housing that as a social landlord OCC is complying with the Social Housing Act / regulator consumer standards. | Reputational Impact - A low grade will impact negatively on council's overall reputation and loss of trust from residents/ tenants who feel that they are not getting the services they need and value for money for their rent.<br>Financial Impact - A C3 grading will indicate serious failings that may affect housing services quality, such as delayed repairs or inadequate safety measures - a reactive approach to addressing these issues will add financial pressure on HRA.<br>Legal Impact - A low grade judgement from SHR will impact negatively on council's reputation - reflecting that it does not meet SHR governance requirements. These would be issues of serious regulatory concern where urgent action will be required to improve its position.<br>Overall Impact - This is a tangible risk as while there is a body of work to ensure compliance requirements are met, the full programme of work is yet to be implemented. | Nerys Parry | Bill Graves | Nerys Parry | 3 | 4 | 2 | 4 | 8 | 2 | 2 | A | Significant | 17/06/25 03/07/25 09:50 |
| 00114 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Leaseholder Services fail to comply with the Social Housing Act / Consumer Standards | Leasehold - failure to deliver a fair, transparent and compliant leasehold service to leaseholders that meets their needs and is reflective and demonstrates value for money of their management fee. | Service failure - improvements to leaseholder compliance activities are delayed and OCC is unable to comply with the SHA/Consumer Standards for leaseholders | Reputational Impact - A failure to provide a fair and compliant service to leaseholders will negatively impact on council's reputation and perception that it is not delivering compliant services to leaseholders<br>Financial Impact - A poor leasehold service offer, reduces council's ability to collect service charges and recover works expenditure and secure funding back to the HRA<br>Legal Impact - Leaseholders have the right to get information about service charges, and be consulted maintenance and running costs. The inability for council to comply with these function can lead to leaseholders complaining these through the Rent/ser Tribunal (Property Chamber).<br>Overall Impact - This is a tangible risk as while there is a body of work to ensure compliance requirements are met, the full programme of work is yet to be implemented | Nerys Parry | Bill Graves | Nerys Parry | 3 | 3 | 2 | 3 | 6 | 2 | 2 | G | | 02/07/25 09:50 |
| 00115 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Implementation of the Development plans for HRA Asset Management | Development plans for HRA Asset Management - risk of not changing policies, processes and procedures for HRA property service functions in a timely manner and as a consequence it does not deliver the changes desired including service improvements, culture change, commission and oversee delivery of works and services, establish the service improvements required including around repairs, safety and compliance | Service Delivery Failure - the HRA Asset Management re-organisation is not completed within the expected timelines due to delays in new staffing structures and processes being put in place. | Reputational Impact - Inability to establish an HRA service structure that is more fit for purpose, responsive to new regulatory requirements and changing needs of tenants and homes.<br>Financial Impact - Inability to realise reorganisation benefits such as improving efficiency and effectiveness of service delivery and achieving better outcomes for the HRA.<br>Legal Impact - Inability to establish a service structure that is responsive to meeting new regulatory regime - social housing regulator consumer standards<br>Overall Impact - This risk would, if realised, have a significant impact on the operation and viability of HRA services | Nerys Parry | Malcolm PEEK | Nerys Parry | 3 | 4 | 2 | 4 | 8 | 2 | 2 | A | Low likelihood as re-organisation of HRA service has begun. Though there is a collaborative approach on the re-organisation with staff, positive progress in taking place and there is, as yet, little indication that systemic issues will arise in the delivery of the rest of this new HRA service. However, continuous monitoring of this matter is required to assess timely progress. | 17/06/25 03/07/25 09:50 |
| 00116 | Housing | Priority 1 : Good affordable homes | Customer and citizens | HRA Investment and Management Controls fail to comply with the Social Housing Act/Consumer Standards | 5 year investment programme - risks the need for council to carry out its statutory responsibilities as set out in the HRA capital management and investment plans, which must also form part of medium to long term financial and service planning and budget setting process. It also risks complying with Social Housing Regulator expectations in relation to council having the investment management and controls in place | Service Failure - OCC current/planned investment activities fail to comply with the Social Housing Act /Regulator consumer standards. | Reputational Impact - Failure to plan and develop investment programmes and activities sufficient to evidence compliance and satisfy Social Housing Regulator regulatory requirements relating to effectively planning maintenance and delivering good outcomes and value for money to the HRA.<br>Financial Impact - Risk of not being able to adopt investment planning rates the council in continuing to carry out reactive and ad hoc maintenance which is costly and add further financial pressure to the HRA. It also risks in the Social Housing Regulator highlighting this as failure for delivering good outcomes to tenants and effective management and governance of HRA.<br>Legal Impact - Risk of council as a landlord not meeting SHR Consumer standards - in particular Safety and Quality Homes standard where efficient knowledge, planning of assets and maintenance must be evidenced. Failure to do so, if it is found to be breached if this risk is realised in meeting social housing targets in terms of overall delivery of the programme. | Nerys Parry | Paul Bastow | Nerys Parry | 2 | 4 | 1 | 4 | 4 | 1 | 1 | G | Low likelihood as the investment plan follows a series of earlier social housing developments via OxPlace so the investment programme is building on established work programmes and learning from previous and subsequent objectives having previously been met. This provides a strong foundation on which future building plans can be implemented on target and within budget but this requires continuous monitoring and evaluation. | 17/06/25 03/07/25 11:06 |
| 00117 | Housing | Priority 1 : Good affordable homes | Customer and citizens | HRA Asset Management Safety and Compliance | Safety and compliance - risks inability to comply with legislation and on-going changes relating to safety which, form part of the new regulatory regime that bring increased scrutiny of council's approach to meeting all applicable fire, health and safety obligations to ensure the safety of all tenants | Service Failure - OCC current/safety and compliance activities fail to comply with the Social Housing Act / regulator consumer standards. | Reputational Impact - Failure to evidence and satisfy the Social Housing Regulator that OCC is complying with its Safety requirements will bring the council into disrepute, result in a loss of confidence and concerns from tenants about their safety.<br>Financial Impact - Failure to meet safety and compliance requirements will question council's role as a landlord and its ability to effectively govern and have efficient management of its HRA and maintenance plans - as well as add financial pressure to the council's budget.<br>Legal Impact - Bringing the council into disrepute and lack confidence in council's ability to meet its landlord legislative obligations and intervention from the Social Housing Regulator.<br>Overall Impact - This is a tangible risk as while there is a body of work to ensure compliance requirements are met, the full programme of work is yet to be implemented. There are yet to be fully approved technical policies, such as in damp and mould or asbestos, to take just two examples, which ensure there is standard compliance practices to meet safety standards. A mitigating factor is the institutional memory within OCC on such matters but if there was a staff turnover, this risk may be accentuated accordingly. | Nerys Parry | Damon Ellis | Malcolm PEEK | 4 | 4 | 3 | 4 | 12 | 2 | 3 | A | Wide institutional memory within OCC ensures safety standards are met, the need for clear policies to ensure safety is not dependent on key staff is required | 17/06/25 03/07/25 09:50 |
| 00118 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Repairs Maintenance | Repairs - risks inability for council as a landlord to comply with Social Housing Regulator consumer standard (Safety and Quality) to provide an effective, efficient and timely repairs, maintenance and planned improvements service for the homes and communal areas for which the council is responsible for. | Service Failure - OCC current/planned activities on property maintenance and repairs take longer than expected/fail an inspection by the Regulator of Social Housing that as a social landlord OCC is complying with the Social Housing Act / regulator consumer standards. | Reputational Impact - OCC's inability to effectively manage repairs can lead to increase in complaints and escalating costs, loss of rent and spend on HRA. This in turn will bring Ombudsman / Social Housing Regulator involvement and bring the council into disrepute.<br>Financial Impact - OCC's inability to demonstrate effective governance and management of its HRA finances. Inability to manage repairs expenditure.<br>Legal Impact - bringing the council into disrepute and lack confidence in council's ability to meet its landlord legislative obligations and intervention from the Social Housing Regulator.<br>Overall Impact - while this risk, if realised, would be significant - steps have been made to mitigate this risk. The decision of the Cabinet to approve the HRA Business Plan, Asset Management and 5-Year Investment Programme and the Tenancy Management and Involvement programme has led to governance structures being introduced and a work programme being developed to include the issue of repairs | Nerys Parry | Damon Ellis | Malcolm PEEK | 2 | 4 | 1 | 4 | 4 | 1 | 1 | G | The decision of the Cabinet to approve the HRA Business Plan, Asset Management and 5-Year Investment Programme and the Tenancy Management and Involvement report has led to governance structures being introduced and a work programme being developed including repairs | 17/06/25 03/07/25 09:50 |
| 00119 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Voids | Voids - risks inability for council as a landlord to comply with the Social Housing Regulator consumer standard (Safety and Quality) to provide an effective, efficient and timely voids service procedure for the homes which the council is responsible for. | Service Failure - OCC void works take longer than expected/fail an inspection by the Regulator of Social Housing that as a social landlord OCC is complying with the Social Housing Act / regulator consumer standards. | Reputational Impact - OCC's inability to effectively manage voids can lead to increase in complaints and escalating costs, loss of rent and spend on HRA. This in turn will bring Ombudsman / Social Housing Regulator involvement and bring the council into disrepute.<br>Financial Impact - OCC's inability to demonstrate effective governance and management of its HRA finances. Inability to manage void expenditure and rent loss as a result of long term void turnarounds can impact on income to HRA.<br>Legal Impact - bringing the council into disrepute and lack confidence in council's ability to meet its landlord legislative obligations and intervention from the Social Housing Regulator.<br>Overall Impact - while this risk, if realised, would be significant - steps have been made to mitigate this risk. The decision of the Cabinet to approve the HRA Business Plan, Asset Management and 5-Year Investment Programme and the Tenancy Management and Involvement programme has led to governance structures being introduced and a work programme being developed to include the issue of voids | Nerys Parry | Damon Ellis | Malcolm PEEK | 2 | 4 | 1 | 4 | 4 | 1 | 1 | G | The decision of the Cabinet to approve the HRA Business Plan, Asset Management and 5-Year Investment Programme and the Tenancy Management and Involvement report has led to governance structures being introduced and a work programme being developed including for voids | 17/06/25 03/07/25 11:07 |
| 00121 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Housing IT and Systems | Housing IT and Systems - the ineffectiveness and transition of new and legacy systems can significantly impact the efficiency and effectiveness of service delivery across housing and, ultimately tenant customer satisfaction | Housing IT systems fail to support the business needs of the service and this impacts on service delivery times and customer satisfaction levels | Reputational Impact - Inefficient systems, software, and hardware can slow down daily tasks, leading to a decrease in staff productivity and impact on service delivery and customer satisfaction.<br>Financial Impact - Increased Costs as a result of inefficient systems that do not talk to each other - consequently leading to higher operational costs. Maintaining outdated systems often requires more resources and specialised support, which can be expensive and add financial pressures to HRA.<br>Legal Impact - Failure to provide a robust foundation to ensure the integrity and security of systems it has in place<br>Overall Impact - delays in service delivery, increased customer complaints and staff dissatisfaction/lower morale | Nerys Parry | Bill Graves, Richard Wood | Nerys Parry | 3 | 3 | 3 | 3 | 9 | 2 | 2 | A | | 03/07/25 09:50 |
| 00122 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Data and performance | Data and performance -Failure to have effective data and performance management systems in place - as these are critical for making informed business decisions - strategically and operationally | Service failure - existing processes and procedures fail to accurately record all data required on tenants (and housing applicants) - incl. protected characteristics, property/building information - incl. component data, to ensure activities and priorities for compliance, performance management/service improvements/risk management are all data-led. | Reputational Impact - As the local housing authority, the council is required and responsible for ensuring the integrity of data, how it uses these for making decisions and reporting on performance to tenants, Regulator - including government returns. Failure to do this will result in loss of confidence and greater scrutiny from the Social Housing Regulator.<br>Financial Impact - Poor data and performance management impacts on the council's ability to deliver its HRA Business Plan priorities and reduce pressures on GF. For e.g., unplanned cost increases, revenue reduction and poor client management functions - including ODS/contractors. This could also impact on council's ability to demonstrate its value for money duty across both GF and HRA.<br>Legal Impact - OCC as a landlord has the obligation to ensure the integrity and security of systems it has in place. It has duty to ensure the integrity of any data returns it submits to gov-it/ social housing regulator<br>Overall Impact - This is a significant risk as while the data function exists, the QL system needs to be fully implemented. The accuracy and quality of the accurate data is critical for all aspects of the HRA programme and therefore the need for data to be of consistently high quality remains paramount to the good functioning of the HRA service. | Nerys Parry | Bill Graves, Richard Wood | Nerys Parry | 3 | 4 | 3 | 4 | 12 | 1 | 4 | A | There is a likelihood of this risk being fully realised unless full mitigating measures are put in place to ensure high data quality standards are met. | 17/06/25 03/07/25 09:50 |
| 00123 | Housing | Priority 1 : Good affordable homes | Customer and citizens | Financial management of the Housing Revenue Account | Housing Revenue Account [HRA] - risk that the council does not deliver a fit for purpose financial management of the HRA fails to account and evidence its expenditure and income against the running of its housing stock which are provided primarily for the benefit of the council's own tenants | OCC fails to provide sufficient evidence to the Social Housing Regulator that it has an efficient and effective financial management of the HRA for OCC tenants and compliance with expectations as a social landlord. | Reputational Impact - Failure to sufficiently evidence the effective management of the HRA will negatively impact on council's reputation and intervention from regulator. This can also lead to loss of trust from tenants - and raising concerns / complaints<br>Financial Impact - Failure to evidence and satisfy the SHR regulator inspection criteria "financial resilience" - which covers the extent on how HRA funds generated from tenants rent collection is invested back into the HRA for asset and service improvements and secure good tenant outcomes.<br>Legal Impact - The HRA is a ring-fenced account within the General Fund - with income and expenditure being prescribed by statute with no general discretion to breach the ring-fence<br>Overall Impact - This is a significant risk as there is data to suggest cost overruns have occurred that is not in line with budgetary expectations. The risk has been mitigated, to a limited extent, by internal cost control mechanisms. | Nerys Parry | Bill Graves, Jason Jones, Malcolm PEEK | Nerys Parry | 4 | 4 | 3 | 4 | 12 | 1 | 4 | A | This is likely, due to the precedent of cost overruns that has occurred. This indicates a systemic issue with pricing and assessments of required expenditure. | 17/06/25 03/07/25 09:50 |

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| **001/24** | Housing | Priority 1 : Good affordable homes | Customer and citizens | Inadequate controls to manage HRA financial spend | Inadequate financials controls in place - resulting in an overspend, programme targets not being met and impacting on the ability to deliver services within the HRA | Service failure - controls and clienting arrangements inadequate to meet service needs." | Reputational Impact - failure to ensure effective joint working between OCC and service suppliers would impair the ability to provide a consistent service to the housing stock. This could lead to tenants expressing dissatisfaction which would damage the reputation of the OCC with tenants. If tenants decided to express concern on social media or to specific media outlets this would damage the reputation of OCC amongst the wider public and with key stakeholder groups as well as damage the relationship between OCC and Social Housing Regulator which could lead to infringement actions taken by the regulator.<br>Financial Impact - is significant as it could lead to unsustainable budget overspends due to, amongst other factors, a lack of a joined up approach towards budgetary and programme works between OCC and ODS. This could undermine the HRA Budget and add financial pressures to the HRA business plan. The efficiency of the internal control mechanisms that balance the operation as a direct consequence of the realisation of this risk profile.<br>Legal Impact - disruptions in the working relationship between OCC and service suppliers that let to issues with maintenance and issues with budgetary controls would mean that this could lead to systemic failure with customer complaints escalated to ombudsman and the accessible Social Housing Regulator action against OCC. Tenants could potentially take legal action via a class action in reference to various housing statutes in such an extreme scenario.<br>Overall Impact - disruptions in the working relationship between OCC and service suppliers that let to issues with maintenance and issues with budgetary controls would mean that this could lead to systemic failure with customer | Nerys Parry | Malcolm PEEK | Nerys Parry | 4 | 4 | 2 | 4 | 8 | 1 | 4 | A | There are current cost overruns, which relate to pricing. A business case is being prepared for the volume four components - boilers, kitchens, bathrooms, renders - which is currently forecast to be in excess of £1.2m in Year 1 and £6.6m over the duration of the plan, which would not represent value for money. If costs remain the same then the HRA will not be able to sustainably maintain safety, decency and energy efficiency. | **02/07/25** 03/07/25 11:10 |
| **000/25** | Communities & Citizen Services | Priority 3 : Thriving communities | Economic, financial, market | Leisure contract financial performance | The external provider is unable to achieve their business forecasts and asks for a change in contractual arrangements | External factors such as pandemics, utility pricing or a bid that was unrealistic. | Financial impact to OCC and or service reduction to cut costs that impact service quality. | Hagan Lewisman | James Baughan | Helen Bishop | 3 | 4 | 3 | 4 | 12 | 2 | 4 | A | | 03/07/25 09:50 |
| **001/26** | Communities & Citizen Services | Priority 3 : Thriving communities | Economic, financial, market | Financial savings against community centres | Desired savings may not be achieved | Savings were developed without the input of the service area | Financial impact to OCC and or service reduction to cut costs Service quality would be impacted | Hagan Lewisman | Hagan Lewisman | Helen Bishop | 4 | 4 | 4 | 4 | 16 | 2 | 4 | R | | 09/07/25 16:29 |

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