

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
12	Service: Economy, Regeneration & Sustainability - Increased costs and complexity for waste - The increased costs and complexity in the delivery of the Council's domestic collection service, and ODS commercial waste operations. This is caused by changes in statutory obligations in the waste and recycling system and in funding mechanisms for domestic waste services. Competition in commercial waste services.	If 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 net income ODS derives from commercial waste operations reduces this could also impact on dividend payments to the Council which underpin other service delivery.	Clive Tritton	3	4	12		
12							Lobbying for new funding	The Council is lobbying through the Oxfordshire Resources & Waste Partnership over the structure of new funding to cover new obligations. Council and ODS are also in discussions with WODC and Cherwell to look at potential areas of joint delivery to reduce costs.
14	Service: Chief Executive - Partnership working - The devolution governance debate disrupts partnership work because County and Districts might pursue different options for Unitary Government.	Negative impacts on services and projects delivered in partnership with County and partners.	Mish Tullar	3	3	9		
14							Collaborative working and data sharing agreements are in place among Oxfordshire Councils - re LGR. Similar agreements also in place with Oxfordshire, Berkshire and Swindon Councils for devolution.	Collaborative working ongoing though significant delays in data sharing and data access challenges due to complexity of the processes set up. Devolution work with Oxfordshire, Berkshire and Swindon ongoing. Buckinghamshire have been invited to join.
14							Maintain BAU partnership working within Oxon system alongside LGR process	No negative impacts on partnership working more generally across the Oxfordshire system.
14							Joint working with Ox-Cam Growth Corridor and Oxford Growth Commission	Oxford Growth Commission, which involves both Council Leader and CEO, is already having a significant positive impact. Positive progress with Cowley Branch Line.
15	Service: Property Assets - 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 small pool of available candidates	Required skills and capacity are not available to deliver required work programmes.	Malcolm PEEK	2	3	6		
15							Short term the option is being explored to look at a different way of holding resource with a commissioning model as well as direct delivery by in-house staff. Backfill with temporary staff & contractors where necessary. Use market supplements as necessary. Longer term restructure and recruitment campaign to permanent positions	60%
15							Ongoing monitoring of skill needs aligned to changes in legislation. Flexibility in recruitment - use of agency workers and head hunters, etc.	Ongoing
16	Service: Planning and Regulation: ICT Service Failure - Major service failure due to significant loss of ICT or staff etc. The cause might be major systems failure, a 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	3	3	9		
16							A single Business Continuity plan is in place. The business plan work is ongoing as part of the service plan. Loss of staff has been managed in a sustainable manner	85%
17	Service: Planning & Regulation - Regulation of the Private Rented Sector - Opportunity to embed HMO licensing across the City and to regulate the private rented sector. A failure might be caused by systems failure/poor delivery of service; inadequate engagement; non-compliance with regulation/ legislation	Damage to Council reputation and potentially finances; risks to occupiers. neighbours	David Butler	2	2	4		
17							Ensure that the HMO Business Plan is robust and up to date	100%
18	Financial Services: Reputation Management - Failure to deliver an efficient and timely year end process for annual Council Tax and NDR bills, Rents, Garage and leaseholder statements. This can be caused by lack of 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 the Council is reputational. 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 Bessell	3	4	12		
18							Commence the move to the cloud based open revenues system in September 2025 and undertake testing for annual billing on the new system. Go live for new system in January 2026. There is a need ensure that the on premises open revenue system is retained until annual billing is complete.	Board and project team established to implement new cloud based system
20	Service: Planning & Regulation - Unplanned Workload - Unplanned workload leading to reactive response and delay or omission of proactive work. This can be caused by complaints, added 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 service to customers	David Butler	3	4	12		
20							Improved communications about role and priorities to temper expectations	75%
20							Review with line manager over priorities (saying no or re prioritise)	75%
20							Ensure time allowed for such work in performance agreements. Reviewed through regular 1.2.1 meetings	95%

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21	Service: Financial Services - ICT - OCC not able to deliver the improvements to ICT systems in a timely and manageable manner. This will result in an inability to deliver ICT Systems that operate in a controlled and robust manner on a timely basis. It can be caused by ICT workplan 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 PCN and PCI-DSS	Clare Paterson	3	4	12		
21							Active attendance at project board meetings, planning ahead for projects and being aware of interdependencies	Key systems such as QL and Open Revenues are being moved to the cloud. 10% complete. Work commencing on extending agresso contract and retendering the system
21							Involvement of key staff within Financial Services to identify any issues and feed back to the project team	Key systems such as QL and Open Revenues are being moved to the cloud. 20% complete
23	Service: Property Assets - Income Generation - Income generation from property portfolio is threatened, due to Covid-19 backlog, which is almost cleared, 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 portfolio.	Reduced rent leading to budget pressure	Emma Gubbins	3	3	9		
23							Better monitoring system in place and AMS will aid profiling . Constant review of portfolio for regeneration opportunities	Currently on target in Q2
24	Service: Planning & Regulation - Project Delays - Project delays (service specific). Poor project management of projects 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	3	3	9		
24							Clarity of role of project manager in project initiation document	100%
24							Regular reports to Board	100%
24							Tight project management and good reporting from project manager	100%
25	Service: Property Assets - Income reduction due to condition of properties - Inability / delay in letting or increased incentives. Stock returned in poor condition, increased forfeiture. Failure of landlord repairing liabilities	Reduced or delayed rent or capital receipt leading to budget pressure	Malcolm PEEK	3	3	9		
25							Stock condition surveys, AMS, regular and improved inspection regime, Void property process Asset management system. Regular vacant unit meetings and regular inspections. Condition surveys and budget. Implementing timely repairs as required.	Ongoing
26	Service: Financial Services - Failure to recruit and retain key staff. Insufficient quality of applicants to vacancies, current key staff leave to better opportunities. This might be caused by 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	3	3	9		
26							Development of staff internally, providing development opportunities to existing staff, and providing suitable training to all Ensure Team Leaders and Managers communicate with staff on a regular basis in the current remote working set-up For recruitment to all vacancies, review the job content, specification and pay, exploring different markets to advertise	Engagement with pay and award project. Responding to staff survey. 50% complete. Ensuring 1:1s take place. Appropriate training. Monitoring by Financial Services Management Team
27	Service: Planning & Regulation - External Delays - Delays to Council projects caused by outside agenciesDelays by outside agencies - County Council, Consultees, National and Regional Government and other agencies	Reduced performance, missed targets	David Butler	4	4	16		
27							High level intervention if necessary. Greater collaboration is in place on key projects and a proactive approach to intervention/communications	75%
27							Monitoring of applications/ processes/ programmed projects in hand and delays	75%
28	Service: Property Assets - Property non-compliance - Assets becoming non-compliant resulting in Health & Safety failure. (includes trees, green spaces and the like).This could be caused by a 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 action against the council and officers. Increased insurance costs.	Malcolm PEEK	2	4	8		
28							Additional recruitment of team members and development plan in place to review all areas of building related items New AMS module - ongoing review of compliance data and processes	Complete team in place AMS and alternative being reviewed but now part of Central H&S not only PS
30	Service: Financial Services - Treasury Management - Safety of investments may be jeopardised by the 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	2	5	10		
30							Ensure a robust process of monitoring counterparty changes is carried out	100%
30							Ensure that the TM Strategy is robust and does not allow principal investments to be put at risk	100%

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30	Service: Communities & Citizen Services -Service standards and quality provision - Service not delivering quality services caused by a 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. Quest, Green Flag, ISO). Increased costs. Corporate and service objectives fail to be delivered. Reputational damage. Reduced ability to draw down external funding	Hagan Lewisman				Financial provision set aside for movement in property fund price	100%
30							Management information provided Head of Service on a monthly basis	100%
30							The investment policy ensures all our investments have a financial limit and have a maximum investment period per counterparty	100%
31				2	3	6		
31	Service: Planning & Regulation - Income Targets - Non achievement of income targets caused by the 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				Monitor through service delivery and stakeholder meetings	100%
31							Timely action through systematic methodology, procedures and internal and external audits	100%
31							Workforce planning and employee development and training regimes	100%
32	Service: Property Assets - 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 of decreased insurance cover or increased premium costs. Lack of active management of portfolio reduces performance.	Malcolm PEEK	3	3	9		
32							Review of Building Control service over 2018/19	100%
32							Promoting services, raise fees and charges, secure planning performance agreements to achieve income and meet targets	100%
33	Service: Law, Governance and Strategy - 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	4	4	16		
33							Implementation of Asset Management system enabling programming of works arising from Stock condition survey. Enables compliance and works programmes	Team structure and systems improvements
33							More efficient data management	System procurement in process.
34				4	4	16		
34							Focused recruitment processes, reviewing posts which the Council struggles to recruit to and taking steps to address and targeted use of locums.	A quicker route to market for locums has been agreed with HR which has assisted in filling vacancies quicker. Salaries were reviewed across the teams in line with the corporate review. This has led to the successful appointment to a planning lawyer post following a recent recruitment however in that time neighbouring authorities have increased their pay offer in line with ours and have been successful in recruiting one of our staff to work for them.
34							Trainee Solicitor apprentice to be recruited to in the new structure once current postholders leave their post	The current trainees have qualified but they have a permanent post in the organisation. To replace them with new graduates will require them to leave or a restructure, planned for the latter half of 2025
34							Succession plan in place to ensure continuity of service provision given potential retirements amongst senior staff	
34							Level of service to be provided to Council companies agreed and monitored; demand managed and workloads monitored	There is to be a deep dive with OCHL on services provided by Committee Services and Legal Services. SLA meetings will be held monthly once OCHL have permanent staff in place and work in progress meetings are held once a month with the legal team. There is some need to query the requirement of ODS also on committee services, which seems to be producing more work than the SLA foresaw. This will be picked up and clarified/changes made as needed.
34							Continuous professional development legal training programme maintained and team participation encouraged	This is against a limited budget of approx. £3,000 for 40 staff each financial year. There is a CPD requirement for the qualified lawyers which takes precedent, along with the cost of training for trainee qualification and training needs for new starters. Free training is utilised as much as possible
34							Regular service and Directorate briefings. Meetings held.	
34							AEA Forum monitoring by senior colleagues around the country. Replies to queries swift. AEA consultancy arm accessible.	

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34							Future review of Election Team in line with succession planning	With retirement likely from some key members of staff following the next election cycle, this will need to be picked up depending on developments with Local Government Reorganisation
34							Undertake a legal structural services review	This is delayed due to capacity but will be brought forward in the latter part of 2025
34							Electoral Services has good relationships with neighbouring and country wide authorities to whom they could turn for advice. Contacts and numbers are on the board in the elections office and maintained in a central record	
34							Reviewing and monitoring the impact of Local Government Reorganisation work across the Strategy Team	Regular one to ones, on going review of workstreams and cross support in place from other teams in the directorate
34							Written procedures, shadowing and cross-skilling in Committee Services team to ensure that there is cross capacity in the team	Written procedures in progress, cross skilling and shadowing well developed. Catch up processes are in place for staff, very strong progress in ensuring cross working in the team
35	Service: Planning & Regulation: Government legislation, Democracy and Localism Bill - Substantial changes to the planning system. Relaxation of Change of Use, Prior Approval regime extended Impact of expectations of politicians and the local community impacting on resources and prioritiesCaused by 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. protection of key employment sites). Neighbourhood Plans put pressure on resources and/or seek to challenge City Council	David Butler	4	4	16		
35							Maintain responsiveness and plan for change. Make robust representations to Government where appropriate. Maintain a dialogue with groups wishing to bring forward Neighbourhood Plans.	100%
36	Service: Communities & Citizen Services- Insufficient revenue and capital for each proposed development. Caused by current economic climate/Comprehensive spending review	Developments do not take place	Hagan Lewisman	3	3	9		
36							Leisure Delivery Board Overview	100%
36							Solid business case developed for each development	95%
36							Project Board overview	100%
37	Service: Property Assets - Income Targets / high costs - Non achievement of Town Hall income targets caused by the impact of economic circumstances; delays in building maintenance, major disruption to business e.g. fire, major repairs.	Reduction in income and revenue	Malcolm PEEK	2	2	4		
37							Implement sales & marketing plans including on-going review of the product offered and quality of the facilities available for this	
37							Monthly finance review and forecasting, adjust business plan accordingly.	
37							Full review of town hall income and expenditure model.	
38	Service: Planning & Regulation - Opposition to emerging statutory plans - Opposition to emerging statutory plans, and to planning applications and decisions; A) vocal and organised local opposition before decision; B) opposition at Examination or committee stage; C) Legal Challenge after Adoption or planning decision. Caused by local public, groups, organisations or political parties object to policies in emerging documents and choose to use many and all avenues to express objection, including some outside normal procedures and all drawing a lot of media attention. Or 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	3	3	9		
38							Raise quality of community engagement as far as possible within available resources to flush out and address community concerns at an early stage in the process	100%
38							Communication strategy to be developed for all key planning & regulatory projects/consultations/communications particularly Local Plan. Work collaboratively on objections raised & provide additional evidence.	100%

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40	Service: Communities and Citizens: Budget and Income - Trading Income from Event hire caused by 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 Redway	3	2	6		
40							Event process to be amended	20%
40							Create and communicate Outdoor Venue Guide	100%
40							Fees & charges amended as part of the budget process	100%
40							Recruited an Events Officer	100%
40							Implement Corporate Debt policy - not needed as the target has already been met no longer necessary	0%
42	Service: Communities and Citizens - Breach in H&S leading to the closure of a building, injury/fatality/ closure of leisure facility and/ or service disruption caused by 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	2	4	8		
42							Monitoring through both internal and external audits and regular governance meetings	70%
42							Lead Officer with experience, knowledge and understanding of compliance. Monitor through service delivery meetings. Performance and pay mechanisms for the leisure provider. Timely action through systematic methodology and procedures. Review ODS governance.	70%
45	Service: Communities and Citizens - Loss of key staff members - Prolonged absence or badly planned leave may result in the service area not delivering on its objectivesThis might be caused by staffing structure being quite tight, meaning that there can be resource issues	Non delivery of service objectives	Helen Bishop	3	3	9		
45							Regular governance and team meetings effective attendance management	
45							Monitor through service delivery meetings	100%
46	Service: Law, Governance and Strategy- 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 an overspend on the legal services budget, and potentially pressure on other service area budgets as they may need to fund work.This is caused by the unpredictability of costs which may arise. Due to increase demand in client departments for legal support, capacity issues continue which has an impact on external legal advice requirements. Inability to use usual procurement route of EM Lawshare Framework meaning using higher priced frameworks as an alternative.	Budgetary pressure	Emma Griffiths	5	3	15		
46							Identification and use of framework arrangement enables more robust budgeting	EM lawshare has closed due to overspend but the Council is using others available with fixed fees. Some firms honour the EM Lawshare rates but we are finding we are utilising a wider range of firms due to the increase in the sector relying on external advice and the bids for opportunities by firms reducing based on their capacity issues.
46							Close liaison with internal clients to secure appropriate budget for projects requiring external legal services	Work to be done on budget setting process in terms of tracking and reflecting the impact on the team and therefore external spend.
46							Use of external legal advisors limited & controlled (prior approval of Head of Service/Legal Services Manager required); presumption - internal legal team to be relied upon unless no expertise/resource	There have been some issues with departments securing their own legal advice, these have been addressed to ensure budget control, but it does pose an ongoing risk as we are not aware until invoices are due to be paid. This will be emphasised to CLT and asked to cascade
46							Active management of budget & issues of concern flagged at budget monitoring meetings	This is done but due to capacity issues in finance there have been delays with this years budget and also with regular monitoring. This includes not having details on the budgets for the EA team and Strategy team at present which were moved in to the directorate at the start of 2025. These have now commenced monitoring and management in July. At present there are budgetary pressures in Electoral Services and Legal Services, the latter seeing a significant increase in the need to externalise work and that level of working increasing with frequency.
47	Service: Communities and Citizen Services - Insufficient resource and market demand to deliver financial plan - A stringent focus is on this work, although the macro environment 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 requiredNot enough staff time / insufficient demand for additional activities	Reduced delivery of efficiencies	Helen Bishop	3	3	9		
47							Regular governance and team meetings effective attendance management	
47							Undertake feasibility works and monitor through SPM	90%
48	Service: Planning & Regulation- Public Health Protection - Threats to public health eg., 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	3	3	9		
48							Competent and experienced specialist staff; effective links with Public Health & the UKHSA; protocols for outbreak and control.	90%

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51	Service: Financial Services - 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	2	2	4		
51							Regular forecast updates ensure the Council stays within budget	50%
51							Robust challenges by MAs and BPs during the budget monitoring process	50%
52	Service: Communities and Citizen Services - Safeguarding - Safeguarding vulnerable groups including children. Poor training of and recognition of safeguarding principals. Poor monitoring and compliance regimes	Risk to Council reputation. Risk of allegation. Risk to public safety	Hagan Lewisman	2	4	8		
52							Staff Training	95%
52							Effective training, induction and team meetings in place	90%
52							Lead Officer with experience, knowledge and understanding of compliance requirements.	100%
52							Relevant and timely processing of criminal record checks	100%
52							Timely action and monitoring through systematic methodology and procedures	100%
53	Service: Law, Governance and Strategy - 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 making. Risks generated from unauthored access from outside actors, ICT issues such as server failure and failure of third party systems and devices	Failure to meet statutory obligations, inability to take decisions and protect the interests of the Council	Emma Jackman	3	3	9		
53							Electoral Services are developing contingency plans in the event of ICT failures	This worked to a degree during the current cyber event, however it has become clear that a plan for being cut off from government systems and documented process for reconnecting is needed. In addition there needs to be a more robust data cleansing carried out of data held historically
53							Committee Services have contingency plans in place for ICT failures	These were tested and worked during the recent cyber issue, one thing that was identified is the need for access to old minutes, with readily accessible templates outside of the system should Mod.gov go down and also should there be no ability print
53							Legal Services have contingency plans in place for ICT failure	Iken is cloud based which means it is more robust in terms of access however printing does need to be considered and alternatives to email in the event of a total ICT failure, including access to postage
53							Strategy & Policy have contingency plans in place for ICT failure	
53							Moving to cloud based solutions for each of the ICT systems – Elections and Information Governance done, IKEN and Mod.gov to be progressed	Elections and Committee Services are in progress moving to cloud based solutions, with systems procured, Legal is on a cloud based platform. EAs and Policy and Strategy do not have specific systems beyond corporate ones
53							Encouraging regular attendance at ICT sessions when rolled out such as One Drive, Sharepoint etc	Attended as arise - some of the service is yet to migrate to sharepoint therefore this will be done as they are migrated
54	Service: Financial Services - 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	2	3	6		
54							All new suppliers are fully checked and vetted	100%
54							Bank details are checked by an online checking system	100%
54							Monthly exception reporting of any changes made	100%
55	Service: Law, Governance and strategy - Legal Income - Income target not achieved placing pressure on the overall budget of legal services leading to overspend.This would be caused by an inability to manage or control demand of work which generates income	Budgetary Pressure	Emma Jackman	4	4	16		
55							Mapping and review of work coming from clients who generate income, for example Planning, Fraud, Regulatory functions and capital projects	
55							Proper time recording in the Legal Services team, monitored and reported upon monthly	
55							Active management of budget & issues of concern flagged at budget monitoring meetings on a monthly basis	
55							Looking at base budgets and undertaking a review of "under the line" funding vs demand, as budgets are based on capacity and demand approximately 15 years ago	This has been done with regards to HRA property based work but needs to be undertaken across the board and within the HRA for development based work and litigation - needs input from finance which is not possible due to capacity at present
55							Regular review of the suspense account for unallocated payments	This will be raised with finance and looked at on a monthly / quarterly basis as their capacity dictates

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55							Keep fees and charges under review to ensure in line with other Councils and cost recovery – annually	Reviewed each year at budget setting
56	Service: Financial Services - Management effectiveness and employee ability to deliver services - Excessive pressure placed on staff and managers. Caused by 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	3	4	12		
56							Manage corporate expectation of timescales and delivery	Ongoing process
56							Prioritise and manage performance and workloads to ensure that the work is manageable and identify early problems	Ongoing process
56							Staff away day sessions and staff interaction	Away day has been arranged
56							Team meetings and fortnightly on to ones.	
57	Service: Communities & Citizen Services - Complaints Handling - Failure of corporate complaints process resulting in Ombudsman intervention. This might be caused by a reliance on limited number of officers	Reputational risk. Additional complaints and/or ombudsmen intervention.	Helen Bishop	4	3	12		
57							Alternative officers identified by Chief Executive; Access Head of Law and Governance to complaint records possible via M drive.	100%
58	Service: Financial Services - Health & Safety - Staff are subject to volatile situations in the course of their duties and possible harm. They have robust & challenging conversations 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@oxford.gov.uk	2	2	4		
58							All customer-facing staff trained in conflict resolution & comply with team processes on ensuring personal safety, including use of personal attack alarms, smartphone location app, lone worker devices, providing whereabouts information in advance of visits taking place. Body Worn Video devices are also now being used by officers. Sometimes whatsapp live location is also used. Monthly monitoring at staff meetings.	These controls are in place
59	Service: Communities & Citizen Services- Community Cohesion Erodes - The risk that social and community cohesion will be negatively affected, detracting from the Council's 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 fallout/shifts in management and risk of the council developing a bad reputation 2.Political instability means 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 new/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	3	3	9		
59							Encourage dialogue between communities (existing and new / emerging) through development of existing and potential community and health & wellbeing partnerships with clear area priorities. Re-energise and maintain clear communication and community / stakeholder engagement strategies. Consider how strategy matches public perceptions / political agenda and refresh council values to reflect these.	60%
59							This is a central theme to the Thriving Communities Strategy that has been agreed by Council in January 2023.	70%
60	Service: Financial Services - Budget and Income - Failure to deliver profiled trading income due to external factors. Caused by reduced appetites for external clients and partners to spend on counter-fraud services due to cost of living crisis, dwindling council finances, politics or competing priorities	Trading income targets not achieved, medium term financial plan compromised, budgetary overspend.	swarner2@oxford.gov.uk	1	2	2		
60							Mitigated through enhanced business development activity, exhibiting at relevant conferences and delivery of the Oxford Annual Fraud Conference in the Town Hall. Business Plan and Marketing Strategy in place.	These risk controls are in place
61	Service: Financial Services - Performance - Failure to achieve service plan targets and objectives due to unplanned staff absence or turnover including sickness. Some fixed term contracts in the team increase risk of staff looking to alternative roles with other organisations.	Targets not achieved, trading income compromised, inability to service external contractual commitments	swarner2@oxford.gov.uk	2	2	4		
61							Resilience contract in place with Reigate and Banstead Council for assistance when needed. Use of master vend recruitment agency where required.	75%
62	Service: Law, Governance and Strategy - 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 15% due)	Pressure on budgets beyond what is funded	Martin John	3	3	9		
62							A bid will be submitted to the Council to increase the postal element of the electoral services budgets (both elections and elec reg)	
64	Service: Law, Governance and Strategy - 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	3	3	9		
64							Set up the new management system for information governance to ensure reminders, prompts, and communications are managed with internal teams	This will need to be reviewed in 2027 with the retendering of the system

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64							Corporate training (compulsory) to be pushed to ensure that the council has maximum take up	This is contingent on a new corporate training system which is in the process of being procured. In the mean time monitoring of take up of training is not accurate but mandatory training remains in place. CLT are aware of this issue
64							Undertake departmental audits of data retention and tie in with migration to One Drive and SharePoint	This has been undertaken and work was substantially complete however due to the cyber incident there is a need to revisit it and also the internal audit, which will be considered in July. Once all completed it needs to be reported back to CLT and since the cyber incident there is a need to deep dive in to some areas.
64							Review retention policies and processes going forward to ensure future management of information is properly undertaken	This has been done but due to issues identified in the cyber incident it needs to be revisited - there will be a knock on impact on other areas of programmed work in the team. It will in any case be repeated annually and reported to CLT. There is a need to ensure a review is undertaken of some areas. This is a priority subsequent to the recent cyber issue
65	Service: Law, Governance and Strategy Data Protection - Data Protection Breach and Non-Compliance with Data Protection Law caused by a failure of the organisation to adhere to data protection law would cause capacity and work implications issues for the team. Outside actors having unauthorised 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 them by ICO. Reputational risk for the service and Council. Financial penalties for Council and employees. Potential litigation against the Council with damages and adverse costs	Emma Jackman	4	5	20		
65							Review incoming potential changes under the Data (Use and Access) Act 2025 and amend practices and processes as necessary	We will map the progress of its implementation and coming force following royal assent on the 19 June 2025 and report to CLT on any changes required
65							Embed actions following the internal audit review of data protection in 2025 and review in light of recent cyber issues	This is in progress, initial actions have been substantially met however recent capacity issues have delayed finalising the update report with the internal auditor, this will be picked up post summer
65							Prepare and regularly review guidance; policies and procedures	
65							Provide data protection and legal support as required to the organisation	
65							Ensure that the Legal and Governance service complies with corporate policies and guidelines on data protection and ICT security	
65							Review and set corporate training requirements in line with audit recommendations	This will be done once the HR system has been procured with regular compulsory refresher training
65							Properly respond to data subject access requests	
65							Ensure through advising and monitoring on an annual basis that departments are properly and regularly cleansing data within them to assist with compliance with data retention schedules	This will be picked up in regular reviews of the retention and data protection audits conducted this year
66	Service: Communities & Citizen Services - Sponsorship - Failure to achieve sponsorship income targets because of the business climate	Difficult to sustain city events and cultural activity on an annual basis.	Paula Redway	3	2	6		
66							£1.5K advertising secured for May Morning 2025. Development Board seeking sponsorship for MOX.	25%
66							All members of the team engage in sponsorship - £4K has been raised recently for the Festive lighting in Gloucester Green over a 3 year period.	100%
66							Target met for this year	100%
66							Following up on leads from recent campaign	
67	Service: Financial Services - 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 because of challenges and re-running procurements, as well as delays in delivering priorities.	Reputation of Council. Financial penalty. Poor decision making and financial loss due to potentially awarding a contract to the wrong supplier. Potential delays in achieving organisational objectives as a result of challenge and if decision set aside	Annette Osborne	3	4	12		
67							Clear and unambiguous best practice guidance and templates readily available, providing an advisory service for procurements at all values	100%
67							Development and monitoring of a forward plan to identify potential high risk areas (early intervention)	100%
67							Evaluation panels include a cross selection of officers and professional staff, proportionate to the value and risk of the contract being tendered	100%
67							Providing up to date and relevant training to commissioners	100%
67							Regular monitoring of spend and contracts that need to be re tendered and are not allowed to be rolled on	100%
67							Procurement lead on all above threshold procurements	100%
67							The business partner team is fully staffed following recruitment	Recruitments made in June 2025

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
67							Develop succession planning to prepare for gaps created if employee turnover increases and recruitment proves even more challenging because of the uncertainty from LGR. Support employees in preparing for future change and potential selection processes.	Work on succession planning being planned and support for employees to follow in 2026.
68	Service: People - Corporate Management - Managers not equipped to meet the changing needs of the organisation. Development of Fit for the Future Programme, gives new accountabilities and responsibilities for Leaders	If not addressed service improvements and efficiencies not delivered	Gail Malkin	2	2	4		
68							HR Support & Business Partners review processes to support organisation and deliver revised service supported by SLA	100%
68							Leadership development programme	100%
68							Review key policies and deliver relevant training	100%
69	Service: People - People team - Resources insufficient to meet the growing demands of the 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 to an end without efficiency savings having been met, partly due to the ASM 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	3	3	9		
69							We have improved resource levels in the operations team and have moved some workflows to iTrent and away from ASM.	10%
70	Service: People - People team - Loss of key talent. Reliance on individual contributors 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	3	3	9		
70							Maintain People Team as a "great place to work" where individuals are respected, trusted, have meaningful work and are well supported.	90%
71	Service: People - 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	3	2	6		
71							Plan in place to tackle data cleansing of records including electronic and paper.	50%
71							Plan in place to tackle data cleansing of records including electronic and paper. Electronic complete. Still working on paper records held in basement and M Drive records. Progress is slow because of the volume and having to fit this in around other commitments.	70%
72	Service: Communities & Citizen Services - Budget pressures - Budget pressures in Customer Services, including Customer Contact and Corporate Support teams. Increased workload Improvements not delivered to improve services and reduce resource requirement Insufficient funding for workforce	Service savings not achieved	Helen Bishop	2	2	4		
72							Tight establishment control in conjunction with Finance	80%
72							Corporate governance of CEX programme to include regular monitoring and escalation where appropriate	
74	Service: Economy, Regeneration and Sustainability - Staff Recruitment - Difficulty in recruiting on proposed terms and conditions - often FTC 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 staff turnover results in the loss of skills from the team.	Clive Tritton	2	2	4		
74							Identifying project resource needs in early stages to identify resource needs and commence recruitment early before projects or strategies are committed or pausing projects while resource is secured.	90%
75	Service: Economy, Regeneration and Sustainability - 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 particularly in Green Transport and Economic Development. Difficulty to provide project cover if regeneration manager or housing supply officer is off work or leaves at short notice.	Clive Tritton	3	3	9		
75							Teams to implement team work plans or programme of projects and make sure it is updated and discussed at team meetings so service managers can monitor pressure points	80%
75							Ensure all staff are using using OneDrive or sharepoint for file storage and the file structure agreed for the team	100%
75							Maintain links with wider services on staffing demand issues, utilise external funds, and recruitment agencies where needed	80%

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
75							Business continuity plans to be reviewed. Ensure all project managers are keeping a risk and issues log up to date and this is reported to development board. Move to sharepoint being used to ensure consistency of filing of key documents should a project need to be handed over.	80%
76	Service: Economy, Regeneration and Sustainability - Good governance - Development board and associated groups within the governance process are 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	3	2	6		
76							Project management training for project managers has been delivered and run by the PMO. Use of Boards is now established for DRG and ARG. Housing Review Group is now being incorporated into the system.	90%
76							Guidance on intranet/Sharepoint regarding development review group, Asset review group and development board. New Intranet site will include a new page for the Project Management Office (PMO).	90%
76							Advertise the development board review group to all project managers across the organisation	90%
76							Ensure consistent and appropriate personnel in PMO to enable the development process to be embedded across the organisation	80%
77	Service: Economy, Regeneration and Sustainability - 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	3	3	9		
77							Health and Safety Team & CDM team have developed training standard for project managers and implemented and then are maintaining records.	100%
77							Update and implement risk assessments for service teams	50%
78	Service: Economy, Regeneration and Sustainability - 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 in support areas cannot meet requirements of capital projects	Project delays and potentially inaccurate information reported through governance process through lack of specialist advice	Clive Tritton	3	3	9		
78							Raise awareness early with the support services on requirements during projects but also needing to build additional time into projects to reflect delays that occur	70%
78							Ensure support services are liaised with at stage one in the project and that support requirements are discussed and agreed	80%
79	Service: Economy, Regeneration and Sustainability - 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. The staff budget relies on 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	2	2	4		
79							Short fixed term contracts result in a risk of losing staff. Where appropriate contracts are being extended as far in advance as possible to avoid losing staff due to uncertainty.	70%
79							Proactively review funding opportunities to sustain staff levels	80%
79							If funding lost look at whether other teams in service or wider require the skills of affected staff whilst funding is secured.	80%
79							Ensure that Project Managers time is built into the Capital budgets on future projects	95%
80	Service: Economy, Regeneration and Sustainability - Housing supply funding - Reduction in funding available impacting housing delivery targets. This is caused by limits to HRA borrowing capacity/ change to HRA business plan, borrowing cost rises 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 RRTBRs being returned with punitive interest	Dave Scholes	3	3	9		
80							Ensure appropriate resource from across the council is supporting the housing delivery programme (see support services risk)	80%
80							Prioritise funding across the programme to manage risk based on funding sources	80%
80							Work closely with finance on the programme budgets to minimise risk of loss of funding	80%
80							Work closely with Housing on HRA Business Plan review and other factors that may affect ability to secure funding	80%

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
80							Maintain regular liaison and relationships with key contacts at Homes England.	80%
80							Maintain regular liaison with RPs to ensure enabling opportunities are maximised.	80%
80							HRG and OX Place Clienting meetings to ensure programme risks affecting funding closely monitored and managed.	80%
81	Service: Economy, Regeneration and Sustainability - Housing project delays - Programme slippage puts housing delivery targets at risk. Causes could be wide ranging for example risks relating to meeting planning policies, SSEN grid capacity to 2028/ 2032; and also 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	3	3	9		
81							Improve processes with OXPLace to streamline and give more certainty - Collaboration Agreement	80%
81							Each project to follow established governance process including those relating to managing risks and issues with escalation to the responsible sponsor of the project or programme.	80%
81							Ensure the programme of work of each project is fully scoped and thorough feasibility is conducted	80%
81							Good project management with all risks managed and mitigated suitably. Ensure good reporting is conducted by project managers, escalating issues to development board	80%
81							Ensure the programme of work of each project is fully scoped and thorough feasibility is conducted with appropriately qualified professional teams	80%
81							Good project management with all risks managed and mitigated suitably. Ensure good reporting is conducted by project managers, escalating issues to development board	80%
81							Ensure financial checks on contractors as part of procurement	80%
81							Ensure that client requirements re. consultation with council and external stakeholders is happening on projects including with relevant members	80%
81							Internal meetings e.g.OXPlace Programme meetings, OXPlace Client Meetings, Development Board and its review groups to discuss strategic programme issues and identify actions to unblock engaging with relevant stakeholders where necessary.	80%
82	Service: Economy, Regeneration and Sustainability - Lack of key partner engagement - Lack of engagement from partners to deliver Council 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/staff or creates unplanned financial pressure	Rupert Waters	3	3	9		
82							Ensure formal established partnership forums e.g. Economic Growth Steering Board and City Centre Delivery Board with key stakeholders established and regular horizon scanning	80%
82							Regular more informal engagement with key local and national bodies to maintain relationships and horizon scan	80%
83	Service: Economy, Regeneration and Sustainability - Resource pressure from partners or stakeholdersKey Stakeholders or partners' projects and priorities create council resource implicationsThird party decision making result in pressure for officer or 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	3	3	9		
83							Ensure formal established partnership forums e.g. Economic Growth Steering Board and City Centre Delivery Board with key stakeholders established and regular horizon scanning	80%
83							Regular more informal engagement with key local and national bodies to maintain relationships and horizon scan	80%
84	Service: Property Assets - Investment into stock and existing properties - Under investment or lack of funding to invest into properties to maintain condition. Caused by budgets not sufficient to match property needs	Properties become poor condition to let, reduction in income and potential non-compliant or dangerous.	Malcolm PEEK	3	3	9		
84							Robust input into the Council's budget process	
84							Understanding of stock condition , developing robust programmes of work to secure budgets are adequate	
85	Service: Communities & Citizen Services - Customer Services - Applications Team KPIs may be unable to be met due to taxi licensing not resourced appropriately. Taxi licensing is not resourced appropriately by the service due to them not agreeing funding	Performance affected and KPIs unable to be achieved	Mark Chandler	2	2	4		
85							Currently temp in place funded by taxi licensing up until end of September, discussions ongoing with Finance and Richard Adams to source this resource permanently	Meeting on 8/10 scheduled to review and agree longer term budget for this post Funding has been agreed by Nigel and Richard Adams to extend this post up until the end of March25, Funding will need to be reviewed and agreed post March25
86	Service: Communities and Citizen Services - Customer Services - Customer behaviour in the Westgate library or larders 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	2	3	6		Discussions to take place in February about funding for taxi licensing post 31/3/25
86							Mobile phones in place to call library security for assistance as and when required, security guard on site throughout opening times, procedure in place to report and ban customers from the library who are physically or verbally abusive towards our staff, looking to develop training for staff on handling these difficult situations	

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
00087	Service: Communities & Citizen Services - Customer Services - Wellbeing of staff working from home and being able to access support as and when required. Majority of staff working from home regularly without face to face contact	Staff feeling isolated, struggling mentally and not getting the support they need	Mark Chandler	2	2	4		
00087							Duty Manager available for staff to phone at all times to gain access to support, Teams channels set up to communicate with colleagues, monthly 1-1s held with Managers, bi-monthly face to face team meetings take place	
88	Service: Communities and Citizen Services - Customer Services - Staff not following data protection processes resulting in breaches. Staff not following data protection guidelines or having the appropriate up to date training and awareness of procedures	Data protection breaches resulting in unhappy customers	Mark Chandler	2	2	4		
88							All staff ensuring data protection training is completed as per mandatory requirements, breaches reported to Managers and plans put in place to take actions to prevent further re-occurrences including re-taking training where necessary	
89	Service: ICT - Retaining skilled ICT professionals is difficult because of uncompetitive salaries in some areas.	Staff leave.	Rocco Labellarte	1	3	3		
89							Provide flexibility - output based working versus presenteeism. Review grades and salaries for key roles.	
89							Staff recognition initiatives implemented in April 2025 were intended to consolidate low probability.	
90	Service: ICT - Addressing ICT staff skills gaps. Single points of failure, in particular with the absence of business owners and super-users within the services.	Delays in resolving issues for individuals and services.	Rocco Labellarte	3	3	9		
90							Considerable work has gone into work on systems and processes across the Council. Including work on super users, user support groups and additional training. Waiting times for support have come down significantly year-on-year.	Further work remains to do and the cyber incident has increased demand.
91	Service: ICT - Resources insufficient to meet demands of service. Caused by competing priorities (BAU, Projects, non-ICT issues passed to ICT).	Demand exceeds capacity, and staff work long hours, struggling mentally (as evidenced by the H&S Survey)	Rocco Labellarte	3	3	9		
91							Appropriate management action ensuring leave, toil, employee assistant are appropriately utilised.	Leave has been taken over August and a thank you session held by the Chief Executive following the cyber incident. Vacant management post has been filled and process improvements implemented helping to manage workflow. High workloads remain, but new projects come with associated resources which need to be appropriately managed. The cyber incident has mean additional work, dedicated resource is being worked through based on the need identified in the subsequent reports.
93	Service: Economy, Regeneration and Sustainability - Capital Project Delays - Significant delays of capital projects. Caused by unforeseen consequences e.g. planning risks, external factors, competing asks on resources, contractor insolvency or supply chain issues	Reduced performance and missed targets on capital projects which affect overall expenditure, MTFP spend or grant stipulations	Clive Tritton	3	3	9		
93							Ensure the programme of work of each project is fully scoped and thorough feasibility is conducted with appropriately qualified professional teams	80%
93							Good project management with all risks managed and mitigated suitably. Ensure good reporting is conducted by project managers, escalating issues to development board.	80%
93							Undertake financial checks on contractors as part of procurement.	80%
93							Internal meetings e.g. project boards and Development Board including its review groups to discuss strategic programme issues and identify actions to unblock engaging with relevant stakeholders where necessary.	80%
93							Undertake consultation internal and external on projects including with members	80%
94	Service: Financial Services - Property Insurance - If the Council is unable to provide adequate information about the construction of existing buildings in its ownership and their valuations, its Insurers may continue to provide insurance that does not meet the full needs of the Council and exposes it to uninsured risks and financial loss. The Council has been unable to provide sufficient information to Insurers about the construction of properties and the cost of their reinstatement.	Only one Insurer quoted at the last tender and the insurance cover provided has significant weaknesses. The property valuations that the Council has may be wrong, resulting in properties being under or over insured. The Council's properties are insured on a declared value basis, they might be underinsured because of inflation. Unoccupied properties are uninsured. The Council is unable to go to tender before it improves the information that it has.	Nigel Kennedy	2	4	8		
94							The Council has secured a commitment from its Insurer that they will offer renewal terms for the 12 month period from 1 July 2025	
94							The Council has appointed a consultant that specialises in rebuild cost assessment. These will be undertaken over a three year rolling programme.	The consultant has been appointed
94							51% of HRA housing stock has been surveyed.	The progress with gathering the survey information continues

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
94							Housing losses, other than in tower blocks, are limited to £5,000,000	This remains the same.
94							Clarification on the exact requirements that Insurers have is being obtained.	Clarification of the Insurers requirements has been established.
95	Service: Property Assets - Capital Receipts - Inability to reach capital receipts budget because of market forces, being dependant on engagement of 3rd parties. Selling from investment portfolio reduction in income	Reduced capital causes increased borrowing or reduction in capital programme	Emma Gubbins	2	3	6		
95							Constant review of lease re-gear opportunities and special purchasers	On going target - ahead for Q2
96	Service: Property Assets - Lack of legal capacity - If there is a lack of legal support, the Council will be unable to meet income, capital receipt, and project targets. Alternatively, external legal spend will be more costly and will result in an increase in financial pressure. This is caused by insufficient base budget in Law & Governance results in insufficient capacity.	Reduced income, reduced capital receipt, risk of legal challenge, reputational damage, increased complaints.	Emma Gubbins	4	4	16		
96							Increased base budget (finance/legal). Ongoing review of legal requirements. Short term more external support.	
96							Legal team to have early understanding of workloads	
103	Service: Planning & Regulation - Regulatory compliance - Failure to comply with regulations and statutory compliance. This is caused by 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. Elected Members and senior officers 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.	David Butler, Richard Adams	2	4	8		
103							Clarity about roles and responsibilities	Building Control job descriptions are in place. Being taken to HR for approval. All other teams job descriptions are appropriate and in place
103							Correct corporate processes in place to ensure that policy is translated to process	Work procedures and policies are in place.
103							Internal and external audit conduct audits and reviews of Council processes	LABC internal audit being submitted
103							Appropriate level of physical, technological (including new base system), and human resources	There is reliance on contractors. Building Control job descriptions are going through Job Evaluation. Current Building Contral role is part of market allowance scheme.
103							Ongoing training for staff on regulatory frameworks	Regular staff training with training plans
103							Ensure culture allows whistleblowing/challenge	The Council has a whistle blowing policy.
103							Ability to disseminate lessons learnt	Sharepoint sites are used as tools to spread information. Staff meetings. Tools are in place.
103							Ensure that systems are in place to monitor and control compliance and updates	Document control is in place for policy and procedures with review dates.
108	Service: Housing - 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. This is caused by 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. Financial Impact - Increase in temporary accommodation costs adding pressure to general fund. Legal Impact - Council's inability to fulfil its duty to provide or secure the provision of advice and information about homelessness and the prevention of homelessness. 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	2	4	8		
108							Enhancing the prevention offer - including sourcing and negotiating the right type of accommodation required that meets the varying client groups	The team continue to focus on Homeless prevention activities and to minimise homeless placements in Temporary Accommodation. .
108							Maintaining efforts and focus on early intervention and homelessness prevention	
108							Regular budget monitoring to scrutinise budget expenditure and taking opportunities to bid for external funding where available	

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
109	Service: Housing - Failure to meet Homeless Temporary Accommodation Demand - Inability to keep up with increasing demand as a result of government changes in eligibility assistance criteria, including those who are eligible as a result of their immigration status, resettlement, changes in priority. This also includes the wider contextual imbalances, within council's own stock and private housing. This might be caused by service delivery failure - homeless prevention activities become unable to meet a sustained increase in homelessness in Oxford leading to increased homeless placements / temporary accommodation costs due to changes in Government legislation/policy.	Reputational Impact - Inappropriate use of social media by clients to amplify their issues - these could also result in loss of trust and support from key stakeholders and wider local government community. Financial Impact - Inability to secure sufficient homelessness grant funding that meets the increasing demand. Legal Impact - The council is not obliged to house everyone who is experiencing or at risk of homelessness. However, it is required to take action depending on the circumstances of each case. It must comply with relevant legislation and have regard to the statutory code of guidance. Overall Impact - Limited impact when variables such as current Government welfare and immigration policy is considered but this is subject to review if there were Government policy changes.	Richard Wood	2	3	6		
109							Offer of early intervention and prevention that seeks to address the holistic needs of people at risk of losing their home	Homeless prevention work continues to be a prioritised.
109							Establishment of clear pathways for service users to access so they can get the assistance they need	
109							Offer of on-going housing support to more vulnerable clients focused on clear outcome based plans that foster independence	
109							Annual Lettings Plan Targets for the Homelessness/Review of the Allocations Scheme	The Annual Lettings Plan for 25/26 has been approved, which increases the percentage of lettings to homeless list, to help increase move on from Temporary Accommodation. A review of the Allocations Scheme is underway.
109							Planned temporary accommodation mitigations to increase supply including decants of blocks to be re-developed and more PSL units	Work on temporary accommodation mitigations is continuing to progress.
110	Service: Housing - Delayed new build developments/acquisitions - A 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. This might be caused by service delivery failure - new build completions of social housing are delayed 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 will impact on housing waiting list, but will also impact negatively, loss of trust from key stakeholders and funding partners. 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 remain in Temporary Accommodation. 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. 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	2	4	8		
110							Progress against the housing development programmer and targets are regularly monitored and tracked. See also the related risk "Housing Supply Funding" which is also monitored under Economy, Regeneration and Sustainability area.	
110							Building stronger relationships with private sector landlords, keeping under review the offer to PRS landlords to maximise supply.	
110							Maximising funding and supply opportunities - including the LAHF programmes and working with Homes England to bring in more funding for Brownfield sites.	
111	Service: Housing - Implementation of the Landlord Services 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. This might be caused by 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. Financial Impact - Inability to realise reorganization benefits such as improving efficiency and effectiveness of service delivery and achieving better outcomes for the HRA. 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 Overall Impact - Limited impact as the initial work for the re-organisation has begun and good progress has been made.	Nerys Parry	2	4	8		
111							Re-organisation of Landlord services is complete. Transitional arrangements in place pending recruitment. Significant training and development plan as part of transformation to deliver compliant service that meet tenant needs.	Update 01/10/25 - Formal consultation process closed. Transition period in place from 01/09/25 with many new roles being recruited to and staff moving into new roles/JD requirements. Decision of go-live on area based working to be taken when recruitment is more advanced and more new staff are in post. Significant training and development plan developed to support the on-going transformation of the service to ensure compliance.

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
112	Service: Housing - Failure in resident 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). Financial Impact – failure to establish efficient routes/platforms for tenants to raise their voice/concerns can be costly and also fails to capture financial efficiencies. Inefficient service delivery can be costly and lead to adding financial pressure on HRA. 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. Overall Impact - There are currently no systemic arrangements to consult 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	5	4	20		
112							Re-organisation of landlord services complete. Specific reset work underway to develop a new approach to resident involvement that will lead to a new strategy and structure for involvement.	1/10 Building on steps to embed the new landlord services structure with training and development, as well as strategy and structure now in draft and due to go to Cabinet in Dec, to improve service delivery to residents.
112							To ensure that data gathered is being used to reflect tenants' changing needs and therefore the service offer.	1/10 Building on the current work to "know our tenant, know their needs" to improve data and information, and ensure info used to better align services.
113	Service: Housing - Inspection by the Regulator of Social Housing and Inspection readiness - failure to evidence the implementation/ adherence to Social Housing Regulator's consumer standards across housing - and this resulting in a [C3] 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 tenants who will perceive they are not getting the services they need and value for money for their rent 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 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. 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	4	4	16		
113							A series of action plans are in place to ensuring the preparations and application of consumer standards - including improvements in Tenant Satisfaction Measures	Housing Board continues to track a number of workstreams focused on delivery of strategies and alignment with the consumer standards. Further work is underway to assess progress.
114	Service: Housing - 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 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 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 challenging these through the First-tier Tribunal (Property Chamber) 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	3	3	9		
114							A review of leasehold service offer is being drawn up to help understand the gaps and issues of the service	Work is now underway between the service and legal to ensure compliance
115	Service: Housing - Implementation of the Development plans for HRA Asset Management - There is a 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 a fit for purpose client team to effectively commission and oversee delivery of works and services, establish the service improvements required including around repairs, safety and compliance. The cause might be that 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. Financial Impact - Inability to realise reorganisation benefits such as improving efficiency and effectiveness of service delivery and achieving better outcomes for the HRA Legal Impact - Inability to establish a service structure that is responsive to meeting new regulatory regime - social housing regulator consumer standards Overall Impact - This risk would, if realised, have a significant impact on the operation and viability of HRA services	Nerys Parry	3	4	12		
115							Review service offer to ensure there is sufficient capacity and capability to commission and client all HRA asset work	Consultancy work delivered and being considered. Interim capacity in place to support current delivery.

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
116	Service: Housing - HRA Investment and Management Controls fail to comply with the Social Housing Act/Consumer Standards. 5 year investment programme - There is a need for the council as a landlord to set out the strategic direction for OCC's HRA capital management and investment plans, which must also form part of the medium to long term financial and service planning and budget setting process. It also risks complying with Social Housing Regulator expectations in relation to the council having the investment management and controls in place.The Council's current/planned investment activities fail to comply with the Social Housing Act /Regulator consumer standards.	Reputational Impact - Failure to plan and develop short/medium/long term investment will prove difficult 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. Financial Impact - Risk of not being able to adopt investment planning risks the council in continuing to commission works in a reactive manner which can be 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. 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. Overall Impact - Would be a significant if this risk was realised in meeting social housing targets in terms of overall delivery of the programme.	Nerys Parry	3	3	9		
116							Whilst a 5 year capital programme is established there are on-going risks on data accuracy - including outstanding data from stock condition surveys due to commence. Transitional arrangements are taking place with the supply chain.	Transitional first year underway, work progressing well for the development of the next year of the 5 year rolling programme. Interim support in place to ensure work stays on track and is robust and delivered on time to the supply chain.
116							Consultancy and interim support has been applied to assist on this to ensure the council's first 5Y programme is developed and agreed	
117	Service: Housing - HRA Asset Management Safety and Compliance - The council 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. This would be caused by the council's safety and compliance activities failing to comply with the Social Housing Act customer 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 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 its requirements to meet decent home standards 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. 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	3	4	12		
117							Development of an audit programme to ensure data accuracy	Resource in place to commence the audit imminently.
118	Service: Housing - Repairs Maintenance - The council risks being unable 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. A failure would be caused by the council's current/planned activities on property maintenance and repairs taking longer than expected and the council fails 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. Financial Impact - OCC's inability to demonstrate effective governance and management of its HRA finances. Inability to manage repairs expenditure. 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 . 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	2	4	8		
118							External consultants commissioned to review the end to end repairs process to ensure efficiency and effectiveness.	Work is pending delivery (1/10) and will contain an action plan to implement to cover efficiency, effectiveness and tenant communication.

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
119	Service: Housing - Voids - There is a risk that the council as a landlord will not comply with the Social Housing Regulator consumer standard (Safety and Quality) and provide an effective, efficient and timely voids service procedure for the homes which the council is responsible for.This would be caused by void works taking longer than expected and the council fails 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 council into disrepute. 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. Legal Impact - bringing the council into disrepute and lack confidence in council's ability to meet its landlord legislative obligations and intervention from SHR . 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	2	4	8		
119							External consultant commissioned to review the end to end voids process to provide recommendations to OCC to implement to improve performance in this area as soon as possible	Consultant report due 1/10 with action plan for implementation
120	Service: Housing - Workforce, skills and capacity for service delivery - There are risks and challenges across a range of service areas within the housing service, including recruitment, retention of staff, and skilled workforce. Experienced staff might leave the council or move to new posts. Existing and new staff will require training on existing/new processes, best practice and changes in legislation, including the Social Housing Act, Renters Rights Act and Awaab's Law.	Reputational Impact - Inability to have the right, skilled resources can impact on service delivery as well as affect the well-being of employees. In addition, restructuring may require employees to adapt to new roles, learn new skills, and cope with job loss or job hunting. Financial Impact - Inability to have the right workforce in place can lead to substantial financial burdens added to the HRA and reduce resilience of services. This can heighten the over-reliance on interim workforce which can be disruptive to service due to the instability of service, loss of skills/knowledge . Legal Impact - The council as the local housing authority has the regulatory requirement to provide free housing advice and support - ensuring that services are adequately resourced and skilled Overall Impact - Significant impact to the operation of the HRA and wider social housing programme	Nerys Parry	3	3	9		
120							Landlord services re-organisation seeks to identify the skills and resources required for a more fit for purpose service.	Re-organisation delivered and the training and development plan scoped - to apply to all staff working across landlord services
120							Training, development and upskilling will form part of ensuring staff have the tools and support to carry out roles	
121	Service: Housing - 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. This would be caused by Housing IT systems failing to support the business needs of the service, affecting 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 overall to tenants 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 Legal Impact - Council as a landlord has the obligation to ensure the integrity and security of systems it has in place Overall Impact - delays in service delivery, increased customer complaints and staff dissatisfaction/lower morale	Nerys Parry	3	3	9		
121							On-going development of the use of the current housing QL system/Versaa forms is continuing to support service delivery. Re-procurement is being considered for parts of the housing system relating to Homeless and Allocations to improve functionality available to staff/customers in this area.	Optimisation of the use of the existing Housing Needs system continues and procurement of a new housing needs system for areas of Homeless and Allocations is underway.
122	Service: Housing - Data and performance - There is a risk that there will be a failure to have effective data and performance management systems in place. These are critical for making informed business decisions, both strategically and operationally. Existing processes and procedures fail to accurately record all data required on tenants (and housing applicants) - including protected characteristics, property/building information - including component data, to ensure activities and priorities for compliance, performance management/service improvement/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 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 HRA and GF 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 govt or social housing regulator Overall Impact - This is a significant risk as while the data function exists, the QL system needs to be fully operational. The need for reliable and up to the minute 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	3	4	12		
122							Significant amount of work is being applied to ensure the integrity and efficient management of asset data is in place	Additional capacity in place to support efficient management and improvement of data. Ongoing stock condition work procured.
122							Improvement in performance management systems and mechanisms across housing are being reviewed to ensure that resources and financial spend are targeted to address service issues	Recruitment of data analyst to support the further development of performance management systems and mechanisms

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
123	Service: Housing - Financial management of the Housing Revenue Account - There is a risk that the council, which has responsibility for the efficient and effective management of the HRA, fails to account and evidence the expenditure and income against the running of its housing stock. The council must provide sufficient evidence to the Social Housing Regulator of effective and efficient financial management of the HRA for OCC tenants and also compliance with expectations as a social landlord.	Reputational Impact - Failure to sufficiently evidence the efficient and transparent use of HRA can negatively impact on council's reputation and intervention from regulator. This can also lead to loss of trust from tenants - and raising concerns / complaints 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 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 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	3	4	12		
123							Council has a clear understanding of government's policy that the HRA remains a ring-fenced account within the General Fund; and within this it should still be primarily a landlord account containing the income and expenditure arising from the council's landlord functions.	Work streams including repairs and voids seek to address elements of this work
124	Service: Housing - Inadequate controls to manage HRA financial spend - result in an overspend, programme targets not being met and impacting on the ability to deliver services within the HRA. This might be caused by controls and clienting arrangements being inadequate to meet service needs.	Reputational Impact - failure to ensure effective joint working between OCC and service suppliers would impair the reliability of the maintenance and upkeep of 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. 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 effective financial controls would be brought into question as a direct consequence of the realisation of this risk profile. Legal Impact - disruptions in the working relationship between OCC and service suppliers that led to issues with maintenance and issues with budgetary controls would mean that this could lead to systemic failure with customer standards and economic governance that could necessitate 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. Overall Impact - disruptions in the working relationship between OCC and service suppliers that led to issues with maintenance and issues with budgetary controls would mean that this could lead to systemic failure with customer standards and economic governance that could necessitate 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.	Nerys Parry	2	4	8		
124							New client management arrangements will tighten and add improvements in the commissioning of works - coupled with performance management measures to ensure commissioned works are delivered to timescales and within budget. These should lead also to improving and building good working relationships with clear lines of responsibility and accountability	Arrangements of client management in place.
125	Service: Communities & Citizen Services - Leisure contract financial performance - There is ongoing contract management and a partnership approach to the external leisure provision contract, to ensure stability with its financial performance. Causes of issues could include 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	4	4	16		
125							Ensure robust contract in place	
125							Explore other options for income generation within the contract, such as agency model, fees and charges, and improved commercial options. Regular client and governance meetings.	
125							Strong, well skilled client team	
125							Work with Serco leisure to ensure options are presented to reduce/remove any pressure to the Council	
125							Quarterly monitoring	
125							Open book accounting	
125							Internal officers meeting	

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
126	Service: Communities & Citizen Services - Financial savings against community centres - Desired savings may not be achieved, because 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	4	4	16		
126							Community Centres Review Board set up	
126							PID going to Development Board	
126							Plan of action in place for year 1 including business case review, lettings, charges and other areas of revenue	

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