

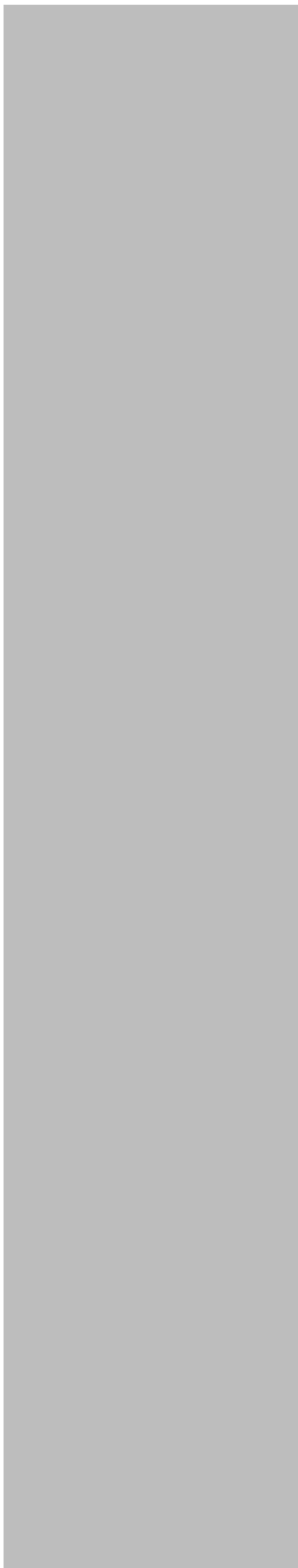
Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score	Control description	Progress
12	Economy, Regeneration & Sustainability - Increased costs and complexity for waste. Increased costs and complexity in the delivery of the Council's domestic collection service, and ODS commercial waste operations. Changes in statutory obligations in the waste and recycling system and in funding mechanisms for domestic waste services. Competition in commercial waste services.	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	Chief Executive - Partnership working. Devolution governance debate disrupts partnership work. County and Districts pursuing different options for Unitary Government.	Negative impacts on services and projects delivered in partnership with County and partners.	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.	
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	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	Planning & Regulation - Service Failure. Major service failure due to significant loss of ICT, staff etc. Major systems failure - major health pandemic etc	Reduction in staff or premises availability means a reduced service to customers and or a backlog of work to be cleared.	David Butler	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	Planning & Regulation - Regulation of the Private Rented Sector. Opportunity to embed HMO licensing across the City and to regulate the private rented sector. Systems failure/ poor delivery of service; inadequate engagement; non-compliance with regulation/ legislation	Damage to Council reputation and potentially finances; risks to occupiers and 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. 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							Budget is due on the 26th November and it will inform the regulation changes for Council Tax, Business Rates and Benefits from April 2026	Budget is due on the 26th Nov and it will inform the regulation changes for Council Tax, Business Rates and Benefits from April 2026.
18							Commence the move to the cloud based Cvica 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.	Migration has commenced and movement of the Civica OPEN Revenues system to Civica Cloud is currently in test phase. We are on target for migration to be concluded by the end of January, this will be before the annual billing process starts in February.
20	Planning & Regulation - Unplanned workload leading to reactive response and delay or omission of proactive work. Complaints, added to complexities to existing work, unplanned work demands corporate or external	Delay or omission of programmed work, impact on quality of work if it is rushed or not checked. Reduction in quality of service to customers	David Butler	3	3	9		
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%
21	Financial Services - ICT. OCC not able to deliver the improvements to ICT systems in a timely and manageable manner; Inability to deliver ICT Systems that operate in a controlled and robust manner on a timely basis. ICT 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. QL migrated in November, Open Revenues slight slippage with completion essential in January 2026. Re-procured Agresso system under a transfer of licensing arrangement and support services with new supplier from 01/01/26 for a 1+1 year term
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. QL migrated in November, Open Revenues slight slippage with completion essential in January 2026. Agresso license review and changes to be implemented in December 2025.
23	Property Assets - 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	Planning & Regulation - Project delays (service specific). Poor project management of projects such as Local Plan, 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	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	
25							Asset management system. Regular vacant unit meetings and regular inspections. Condition surveys and budget. Implementing timely repairs as required.	Ongoing
26	Financial Services - Failure to recruit and retain key staff. Insufficient quality of applicants to vacancies, current key staff leave to better opportunities. Current pay scales not attractive; reputation of Council will not attract new recruits; Local Government Reorganisation adds too much uncertainty for potential recruits	Vacant posts remain vacant, and existing posts become vacant. Further pressure is put onto remaining staff to fulfil extra tasks	Nigel Kennedy	2	4	8		
26							Development of staff internally, providing development opportunities to existing staff, and providing suitable training to all	Engagement with pay and award project. Responding to staff survey. 50% complete.
26							Ensure Team Leaders and Managers communicate with staff on a regular basis in the current remote working set-up	Ensuring 1:1s take place. Appropriate training. Monitoring by Financial Services Management Team
26							For recruitment to all vacancies, review the job content, specification and pay, exploring different markets to advertise	100%
27	Planning & Regulation - Delays to Council projects caused by outside agencies such as County Council, Consultees, National and Regional Government and other agencies	Reduced performance, missed targets	David Butler	3	3	9		
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	Property Assets - Property non-compliance. Assets becoming non-compliant resulting in Health & Safety failure. (includes trees, green spaces and the like). 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	Complete team in place
28							New AMS module - ongoing review of compliance data and processes	AMS and alternative being reviewed but now part of Central H&S not only PS
28							Monthly reporting and monitoring of compliance. Asset management system and staff recruitment. Contractor management.	
30	Financial Services - Treasury Management. Safety of investments. Current economic climate and prolonged volatility in financial markets; banks and other investment institutions not being robust enough to survive future economic changes; key staffing changes at firms cause uncertainty in the market	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 Treasury Management Strategy is robust and reduces the risk of principal investments being put at risk	100%
30				Financial provision set aside for movement in property fund price	100%
30				Management information provided to the Group Finance Director on a monthly basis	100%
30				The investment policy and counterparty list ensures all our investments have a financial limit and have a maximum investment period per counterparty	100%
31	Communities & Citizen Services - Service not delivering quality services. Lack of resources and employee deployment. Fragile procedures, process and delivery mechanisms. Internal and external monitoring and auditing principles not robust	Failure to achieve industry recognised accreditation (i.e. 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	2 3 6	
31				Monitor through service delivery, quality assurance and stakeholder meetings	Stakeholder meeting in place next planned for February 2026
31				Timely action through systematic methodology, procedures and internal and external audits	Internal audit planned for January 2026
31				Workforce planning and employee development and training regimes	New staff being inducted at East Oxford Community centre
32	Planning & Regulation - Income Targets. Non achievement of income targets. Impact of macro-economic issues - falling number of planning applications, visitor spend etc	Not meet budget estimates, Deficit in corporate budget. Ultimately impact on resources available to the council to provide services	David Butler	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	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	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	Law, Governance & 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	
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 Human Resources 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. A review is being undertaken of legal services with a view to secure a structure that will further enable recruitment and move away from reliance on locums.

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<p>Trainee Solicitor apprentice to be recruited to in the new structure once current postholders leave thier post</p>	<p>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, this will be considered as part of the restructure.</p>
<p>Succession plan in place to ensure continuity of service provision given potential retirements amongst senior staff</p>	<p>There is a need to ensure succession planning is undertaken in relation to Electoral Services however LGR will have an impact upon this and what that looks like.</p>
<p>Level of service to be provided to Council companies agreed and monitored; demand managed and workloads monitored</p>	<p>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.</p>
<p>Continuous professional development legal training programme maintained and team participation encouraged</p>	<p>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</p>
<p>Regular service and Directorate briefings. Meetings held.</p>	
<p>AEA Forum monitoring by senior colleagues around the country. Replies to queries swift. AEA consultancy arm accessible.</p>	
<p>Future review of Election Team in line with succession planning</p>	<p>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</p>
<p>Undertake a legal structural services review</p>	<p>This is in progress and subject to the Council's overall budget</p>
<p>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</p>	
<p>Reviewing and monitoring the impact of Local Government Reorganisation work across the Strategy Team</p>	<p>Regular one to ones, on going review of workstreams and cross support in place from other teams in the directorate. There will be a need for additional resources within Legal Services to accommodate the work required and potentially Information Governance.</p>

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	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 priorities. Government legislation leading to need to redesign processes	Lack of capacity to meet changes coming from government, undermining of the delivery of local policy objectives (e.g. 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	Communities & Citizen Services - Insufficient revenue and capital for each proposed development. Insufficient revenue and capital for each proposed development. Current economic climate/Comprehensive spending review	Developments do not take place	Hagan Lewisman	3 3 9	
36				Development board overview	East Oxford Community Centre soft launched on 25 Nov 2025
36				Solid business case developed for each development	All completed
36				Project Board overview	All completed
37	Property Assets - Income Targets / high costs. Non achievement of Town Hall income targets. Impact of economic circumstances; delays in building maintenance, major disruption to business e.g. fire, major 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	On target to achieve income targets
37				Monthly finance review and forecasting, adjust business plan accordingly.	On target to achieve income
37				Full review of town hall income and expenditure model.	On track to achieve income target
38	Planning & Regulation - 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. 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%
40	Communities & Citizen Services - Budget and Income. Trading Income from event hire. Changes to Broad Street, COVID-19, the cost of living impact on the events sector and targeted campaigns against event organisers	Budgeted target not met	Paula Redway	3 2 6	

40				Proactive advertising of the space and managing stakeholders	30%
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	Communities & Citizen Services - Breach in H&S leading to fatality/closure of building. Breach in H&S leading to incident/ injury/ fatality/ closure of leisure facility and/ or service disruption. Failure of health and safety management and monitoring	Risk of injury or death to persons. Reputational risk. Financial claims. Risk of facility closure or service disruption	Hagan Lewisman	2 4 8	
42				Health and Safety procedures and risk assessments are being implemented for East Oxford Community Centre	
42				Monitoring through both internal and external audits and regular governance meetings	Internal audit planned for January 2026
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.	Regular client audits in place
45	Communities & Citizen Services - Loss of key staff members. Prolonged absence or badly planned leave may result in the service area not delivering on its objectives. Staffing structure quite tight, meaning that there can be resource issues	Non delivery of service objectives	Helen Bishop	3 3 9	
45				Regular governance and team meetings effective attendance management	Quarterly absence management meetings at a case level.
45				Monitor through service delivery meetings	Programme delivery monitored monthly via Org Change and Communities Board. Regular one to ones and service delivery meetings.
46	Law, Governance & 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. 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	4 3 12	
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	This will be considered as part of the restructure and has been in part addressed by budget bids by Property Services.
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	This has been very tightly controlled within legal services and, in addition, there has been reallocation of spend against budgets such as capital and the HRA where there are specific budgets for the work. This will continue but relies upon staffing in legal being sufficient.

46					Active management of budget & issues of concern flagged at budget monitoring meetings	At present there are budget pressures in legal services due to inability to recruit and retain staff and insufficient resources to meet demand, resulting in a reliance on locums. To the extent possible this will be addressed in the restrucure. In addition there is no finalised budget for Policy & Strategy following the Senior Manager restructure.	
47	Communities & Citizen Services - Insufficient resource and market demand to deliver financial plan. A stringent focus is on this work, although the macro env continues to increase the challenges. There is a risk of there not being enough resource (staff time), and/or market demand to deliver the level required. Not enough staff time / insufficient demand for additional activities	Reduced delivery of efficiencies	Helen Bishop	3	3	9	
47					Regular governance and team meetings effective attendance management	Monthly budget moniotring to ensure on track with budget predictions. Weekly review of KPIs in Customer Contact, monthly programme monitoring and regular service delivery meetings.	
47					Undertake feasibility works and monitor through SPM	90%	
48	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%	
51	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 reserve balances or further reductions to be identified	Clare Paterson	2	3	6	
51					Regular capital and revenue forecast updates better enables the Council to stay on track and within budget	Forecast outturn updates are part of the monthly monitoring by service area for capital and revenue	
51					Robust challenges by Management Accounting Team during the budget monitoring process	Monthly monitoring, reporting and engagement with service areas continues, highlighting variances and actions required to address	
52	Communities & Citizen Services - 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	Law, Governance & Strategy - ICT. System failure without cloud based systems will significantly impact on the Council being able to meet staturoty obligations and will impact on the delivery of corporate prioroties and decision making. Risks genreated 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, legal services and Information Governance are now cloud based. Committee Services will be done in the coming financial year.	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	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	Law, Governance & Strategy - Legal Income. Income target not achieved placing pressure on the overall budget of legal services leading to overspend. Inability to manage or control demand of work which generates income	Budgetary Pressure	Emma Jackman	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 is being implemented, with a full review of the process and system used. This includes a review of capital projects in the corporate list vs those we have in legal to ensure we are capturing all capital. This is 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 tier capacity dictates
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	Financial Services - Management effectiveness and employee ability to deliver services. Excessive pressure placed on staff and managers. Increased workloads and increased volumes of emails and online meetings in addition to increasing demands arising from the "day job"	Staff burnout; increased incidence of stress; lack of capacity to deliver work demands	Nigel Kennedy	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	Staff away day held on 7th October
56							Team meetings and fortnightly on to ones.	
57	Communities & Citizen Services - Complaints Handling. Failure of corporate complaints process resulting in Ombudsman intervention. 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.	Additional resources identified to support reduction of backlog, approach to clearance agreed
58	Financial Services - Health & Safety. Staff are subject to volatile situations in the course of their duties and possible harm. Robust & challenging conversations held with subjects of investigation during interviews and visits leading to escalation tension and possible physical assault.	Staff subject to harm and subsequent short or long-term sickness, reduced resources.	swarner2@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	Communities & Citizen Services - Community Cohesion Erodes. The risk that social and community cohesion will be negatively affected, detracting from our aims to encourage strong and active communities. Britain's exit from the EU, shifts in national politics, and subsequent shifts in society's perceptions.	1.Uncertainty and instability in political climate leads to social and political polarisation - this in turn could lead to political 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.	Development of Locality plans using up to date insight to show need. Sharing plans with local members and partners. Working with community groups to support delivery of planning engagement, supporting economic development and giving practical support to residents and communities too through household support fund etc- to alleviate the impact of the cost of living crisis. Supporting local boards, eg Interfaith Forum.
59							This is a central theme to the Thriving Communities Strategy that has been agreed by Council in January 2023.	70%

60	Financial Services - Budget and Income. Failure to deliver profiled trading income due to external factors. Reduced appetites for external clients and partners to spend on counter-fraud services due to cost of living 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	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	1	1	1		
61							Resilience contract in place with Reigate and Banstead Council for assistance when needed. Use of master vend recruitment agency where required.	Risk controls are in place
62	Law, Governance & 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 further price increase from Royal Mail places additional strain on the elections budget in future years. This is 10% and therefore will be monitored this year and if required a budget bid will be submitted.	
64	Law, Governance & 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							The new management system is in place with reports to senior officers once a week on new and outstanding FOIAs. KPIs are reported on monthly.	This will need to be reviewed in 2027 with the retendering of the system
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 of all DPA documentation and registers has been undertaken and new ones will be finalised, for annual review thereafter, in the coming financial year.	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	Law, Governance & Strategy - Data Protection Breach and Non-Compliance with Data Protection Law. Failure of the organisation to adhere to data protection law would cause capacity and work implications issues for the 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 it needs a review following the cyber issues, and this is in progress
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	Communities & Citizen Services - Failure to achieve sponsorship income targetsBusiness climate	Difficult to sustain city events and cultural activity on an annual basis.	Paula Redway	3	2	6
66					Seek additional resource to focus on this	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	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
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	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	People - People team. Resources insufficient to meet the growing demands of service. The work demands over which we have no control, such as new starters, pension queries, employee turnover and increasing numbers of payroll transactions, is putting additional pressure on the operations work of the team. Additional temporary resource is coming 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	PeoplePeople 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%. Ongoing team development and support, with positive and inclusive work environment being maintained.
71	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% Team involved in scanning project and continue with housekeeping activity.
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%. High work demand impeding progress.
0007 2	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

0007 2				Tight establishment control in conjunction with Finance	Customer service restructure delivered and CSo savings made to meet budget targets. Other pressures have put pressure on performance. Ensuring swift recruitment following vacancies, staff training and reviewing approach to notice periods when staff successful in securing other roles in OCC.
0007 2				Corporate governance of CEX programme to include regular monitoring and escalation where appropriate	
74	Economy, Regeneration & 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.	75%
				New priorities emerging from the Oxford Growth Commission are bringing forward new opportunities but these need additional resources and skills sets.	
75	Economy, Regeneration & 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%
75				Business continuity plans to be reviewed. Ensure all project managers are keeping a risk and issues log up to date and these are reported to project boards. Move to sharepoint being used to ensure consistency of filing of key documents should a project need to be handed over.	80%
76	Economy, Regeneration & Sustainability - Good governance. Development board and associated groups within the governance process not utilised effectively as it could be across the council. Lack of knowledge of how and when to utilise development review group and development board.	Board is reactive or not utilised leading to project problems.	Clive Tritton	2 2 4	
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.	
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).	
76				Advertise the development board review group to all project managers across the organisation	
76				Ensure consistent and appropriate personnel in PMO to enable the development process to be embedded across the organisation	

77	Economy, Regeneration & Sustainability - 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.	
77							Update and implement risk assessments for service teams	50%
78	Economy, Regeneration & 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	Economy, Regeneration & 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. Staff budget relies capitalising time and external funding sources	Not being able to maintain staffing level of teams which would mean reduced resource to bring forward projects and programmes and loss of good staff that have often been difficult to recruit	Clive Tritton	2	2	4		
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	Economy, Regeneration & Sustainability - Housing supply funding. Reduction in funding available impacting housing delivery targets. 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	90%
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%
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					DRG, HRG, Senior Housing Mant Team and OX Place Clienting meetings to ensure programme risks affecting funding closely monitored and managed.	50%
81	Economy, Regeneration & Sustainability - Housing project delays. Programme slippage puts housing delivery targets at risk. Issues 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 OX Place to streamline and give more certainty - Collaboration Agreement (or equivalent - i.e. Joint SOPs)	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 THIS ONE SEEMS TO BE DUPLICATE	80%
81					Ensure financial checks on contractors as part of procurement	100%
81					Ensure that client requirements re. consultation with council and external stakeholders is happening on projects including with relevant members	100%
81					Internal meetings e.g.OX Place Programme meetings, OX Place 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	Economy, Regeneration & Sustainability - Lack of key partner engagement. Lack of engagement from partners to deliver our priorities in Economic Development and City Centre. Third party decision making or capacity issues result in lack of support financially or in kind for key initiatives/projects	Unable to deliver on strategy actions or priorities or fund associated projects/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	Economy, Regeneration & Sustainability - Resource pressure from partners or stakeholders. Key stakeholders or partners' projects and priorities create council resource implications. Third party decision making result in pressure for officer 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	Property Assets - Investment into stock and existing properties. Under investment or lack of funding to invest into properties to maintain condition. Budgets not sufficient to match property needs	Properties become poor condition to let, reduction in income and potential non-compliant or dangerous.	Malcolm PEEK	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	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 Discussions to take place in February about funding for taxi licensing post 31/3/25
86	Communities & 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
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	
87	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
87					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	Communities & 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	ICT - Retaining skilled ICT professionals. Uncompetitive salaries in some areas.	Staff leave.	Rocco Labellarte	1	3	3

89				Review carried out of grades and salaries for key roles.	Grades have been reviewed and salaries adjusted.
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	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	1 3 3	
90				Management action to ensure permanent and interim staff are able to cover for one another.	Most vacancies filled, two remain, one being filled shortly.
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	ICT - Resources insufficient to meet demands of service. 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				Management action to ensure permanent and interim staff are able to cover for one another.	Additional interim resources have been brought on board following the cyber incident.
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	Economy, Regeneration & Sustainability - Capital Project Delays. Significant delays of capital projects. 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	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					66% of HRA housing stock has been surveyed.	The progress with gathering the survey information continues
94					Housing losses, other than named 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	Property Assets - Capital Receipts. Inability to reach capital receipts budget. Market forces, 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 of budget
96		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	Planning & Regulation - Regulatory compliance. Failure to comply with regulations and statutory compliance. Insufficient resources impacting on ability to ensure compliance. A culture that fails to enforce policies; a lack of knowledge exacerbated by staff turnover; changes in legislation; increased demand leading to mistakes by staff.	A loss of public trust and confidence in the Council's ability to govern effectively. Negative media attention will harm the Council's reputation. 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. Training and CPD ongoing.
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 Control 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. H&S discussed at team meetings. Case reviews 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	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. 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	The team continue to work closely with residents and partners to prevent homelessness where possible
108				Regular budget monitoring to scrutinise budget expenditure and taking opportunities to bid for external funding where available	Budgets continue to be closely monitored
109	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. 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 - 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	3 5 15	
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	Work continues to seek the best outcomes for service users.
109					Offer of on-going housing support to more vulnerable clients focused on clear outcome based plans that foster independence	Work continues to support vulnerable clients and positive outcomes.
109					Annual Lettings Plan Targets for the Homelessness/Review of the Allocations Scheme	Performance against the Annual Lettings Plan targets continues to be closely monitored to house those in the highest need. A review of the Allocations Scheme has been completed and a consultation is underway with residents/other key stakeholders on the proposals.
109					Planned temporary accommodation mitigations to increase supply including decants of blocks to be re-developed and more PSL units. Now 260 further units agreed, including 150 purchased.	Work on temporary accommodation mitigations is continuing to progress.
110	Housing - Delayed new build developments/acquisitions. Supply - failure to secure pipeline of affordable supply arising from council's housing development programme, sourcing of PRS acquisitions and maximising on supply opportunities including downsizing, securing nomination rights, empty properties and fast void turnarounds. Service delivery failure - new build completions of social housing are delayed to due to developers failing to complete on time. Planned acquisitions slow down to a lack of supply of suitable properties in Oxford. Changes to the PRS Housing Markets including the Renters Rights Bill reduces the supply of affordable PRS available. Improvements to the Void process fail to reduce Void Re-let Times.	Reputational Impact - Inability to deliver on council housing programme targets 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 programme 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.	80%
110					Building stronger relationships with private sector landlords, keeping under review the offer to PRS landlords to maximise supply.	80%
110					Maximising funding and supply opportunities - including the LAHF programmes and working with Homes England to bring in more funding for Brownfield sites.	80%

111 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. 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



111

Re-organisation of Landlord services is complete. Transitional arrangements in place, recruitment needed. Significant training and development plan as part of transformation to deliver compliant service that meet tenant needs.

Update 15/12/25 - Majority of new posts recruited to with new starters undertaking training. Two new Area Housing Managers to start in January 2026. Area Based Working model to be implemented in January 2026. Broad communication to tenants, members and staff groups mid December. Intensive training in December and January with launch of increased visibility.

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.

112 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



112					<p>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.</p>	<p>Update 15/12/25 - Restructure of Landlord Services complete. The majority of posts have been recruited to or are awaiting new staff to start in post. Area Based working for Tenancy Management to begin in January 2026. RI strategy approved by Cabinet in Dec 2025</p> <p>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.</p>
112					<p>To ensure that data gathered is being used to reflect tenants' changing needs and therefore the service offer.</p>	<p>Update 15/12/25 - Building on the current work to "know our tenant, know their needs" to improve data and information, and ensure info used to better design services. The Data Team are now in place will lead in progressing this work going forward.</p>
113	<p>Housing - Social Housing Regulator 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.</p>	<p>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.</p>	<p>Nerys Parry</p>	<p>4 4 16</p>		
113					<p>Self - assessment undertaken to ensure clarity on position, with a clear, prioritised improvement plan over seen by Task Force.</p>	<p>Update 15/12/25 - Creation of the new Task Force to oversee the progress of improvement plans to ensure compliance with standards.</p> <p>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.</p>
114	<p>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</p>	<p>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</p>	<p>Nerys Parry</p>	<p>3 3 9</p>		
114					<p>A review of leasehold service offer is being drawn up to help understand the gaps and issues of the service</p>	<p>Work is now underway between the service and legal to ensure compliance. A new leasehold management policy is being developed, Cabinet report on S20 due in January 2026</p>

<p>115 Housing - Implementation of the Development plans for HRA Asset Management. Risk of not changing policies, processes and procedures for HRA property service functions in a timely manner and as a consequence it does not deliver the changes desired including a fit for purpose client team to effectively commission and oversee delivery of works and services, establish the service improvements required incl around repairs, safety and compliance. Service Delivery Failure - the HRA Asset Management re-organisation is not completed within the expected timelines due to delays in new staffing structures and processes being put in place.</p>	<p>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</p>	<p>Nerys Parry</p>	<p>3 4 12</p>	
<p>115</p>				<p>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.</p>
<p>116 Housing - HRA Investment and Management Controls fail to comply with the Social Housing Act/Consumer Standards. 5 year investment programme - risks the need for 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 medium to long term financial and service planning and budget setting process. It also risks complying with Social Housing Regulator expectations in relation to council having the investment management and controls in place. Service Failure - OCC current/planned investment activities fail to comply with the Social Housing Act /Regulator consumer standards.</p>	<p>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.</p>	<p>Nerys Parry</p>	<p>3 3 9</p>	
<p>116</p>				<p>Whilst a 5 year capital programme is established - ongoing risk due to further stock condition work needed. Work procured and underway. 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.</p>
<p>116</p>				<p>Consultancy and interim support has been applied to assist on this to ensure the council's first 5Y programme is developed and agreed Work is ongoing</p>

117 Housing - HRA Asset Management Safety and Compliance. Safety and compliance - risks inability to comply with legislation and on-going changes relating to safety which form part of the new regulatory regime that bring increased scrutiny of council's approach to meeting all applicable fire, health and safety obligations to ensure the safety of all tenants. Service Failure - OCC current/safety and compliance activities fail to comply with the Social Housing Act / regulator consumer standards.

Reputational Impact - Failure to evidence and satisfy the Social Housing Regulator that OCC is complying with its Safety requirements will bring the council into disrepute, result in a loss of confidence and concerns from tenants about their safety
 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

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117

Development of an audit programme to ensure data accuracy

Resource in place to commence the audit imminently.

111

118 Housing - Repairs Maintenance. Repairs - risks inability for council as a landlord to comply with Social Housing Regulator consumer standard (Safety and Quality) to provide an effective, efficient and timely repairs, maintenance and planned improvements service for the homes and communal areas for which the council is responsible for. Service Failure - OCC current/planned activities on property maintenance and repairs take longer than expected/fail an inspection by the Regulator of Social Housing that as a social landlord OCC is complying with the Social Housing Act / regulator consumer standards.

Reputational Impact - OCC's inability to effectively manage repairs can lead to increase in complaints and escalating costs, loss of rent and spend on HRA. This in turn will bring Ombudsman / Social Housing Regulator involvement and bring the council into disrepute.
 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

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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.

119	<p>Housing - Voids - risks inability for council as a landlord to comply with the Social Housing Regulator consumer standard (Safety and Quality) to provide an effective, efficient and timely voids service procedure for the homes which the council is responsible for. Service Failure - OCC void works take longer than expected/fail an inspection by the Regulator of Social Housing that as a social landlord OCC is complying with the Social Housing Act / regulator consumer standards.</p>	<p>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</p>	Nerys Parry	<table border="1"> <tr> <td style="background-color: #f4a460;">2</td> <td style="background-color: #f4a460;">4</td> <td style="background-color: #f4a460;">8</td> </tr> </table>	2	4	8		
2	4	8							
119					<p>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</p>	<p>Consultant report recieved, action plan being pulled together</p>			
120	<p>Housing - Workforce, skills and capacity for service delivery. Workforce, skills and capacity - risks and challenges across a range of service areas within the housing service including recruitment, retention of staff, and skilled workforce. Experienced staff leaving OCC, moving to new posts and/or existing and new staff requiring training on existing/new processes, best practice and changes in legislation including the Social Housing Act, Renters Rights Act and Awaabs Law.</p>	<p>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</p>	Nerys Parry	<table border="1"> <tr> <td style="background-color: #f4a460;">3</td> <td style="background-color: #f4a460;">3</td> <td style="background-color: #f4a460;">9</td> </tr> </table>	3	3	9		
3	3	9							
120					<p>Work underway to review the new structure required.</p>	<p>Update 15/12/25 - Re-organisation delivered and the training and development plan scoped - to apply to all staff working across landlord services</p>			
120					<p>Training, development and upskilling will form part of ensuring staff have the tools and support to carry out roles.</p>	<p>Work on this is ongoing</p>			

121	<p>Housing - Housing IT and Systems. Housing IT and Systems - the ineffectiveness and transition of new and legacy systems can significantly impact the efficiency and effectiveness of service delivery across housing and ultimately tenant customer satisfaction. Housing IT systems fail to support the business needs of the service and this impacts on service delivery times and customer satisfaction levels</p>	<p>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</p>	Nerys Parry	<p>3 3 9</p>		
121					<p>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.</p>	<p>Progress towards procurement will commence ahead of the contract end date for the existing Housing & Asset Management systems in February 2028. 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 and moving forward.</p>
122	<p>Housing - Data and performance. Data and performance - Failure to have effective data and performance management systems in place - as these are critical for making informed business decisions - strategically and operationally. Service failure - existing processes and procedures fail to accurately record all data required on tenants (and housing applicants) - incl. protected characteristics, property/building information - incl. component data, to ensure activities and priorities for compliance, performance management/service improvement/risk management are all data led.</p>	<p>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.</p>	Nerys Parry	<p>3 4 12</p>		
122					<p>Significant amount of work is being applied to ensure the integrity and efficient management of asset data is in place. Resource deployed to capture outstanding tenant information.</p>	<p>Additional capacity in place to support efficient management and improvement of data. Ongoing stock condition work procured. Resources identified to capture remaining tenant information</p>
122					<p>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</p>	<p>The new Data Team are now in place to support the further development of performance management systems and mechanisms</p>

123 Housing - Financial management of the Housing Revenue Account. Housing Revenue Account [HRA] - risk that the council with 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 which are provided primarily for the benefit of the council's own tenants. OCC fails to provide sufficient evidence to the Social Housing Regulator of effective and efficient financial management of the HRA for OCC tenants and 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

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123

Council has a clear understanding of government's policy Work streams including repairs and voids seek to that the HRA remains a ring-fenced account within the address elements of this work 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.

124 Housing - Inadequate controls to manage HRA financial spend. Inadequate financials controls in place - resulting in an overspend, programme targets not being met and impacting on the ability to deliver services within the HRA. Service failure - controls and clienting arrangements inadequate to meet service needs.

Reputational Impact - failure to ensure effective joint working between OCC and service suppliers would impair the 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

Nerys Parry

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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	Communities & Citizen Services - Leisure contract financial performance. Ongoing contract management and partnership approach to the external leisure provision contract, to ensure stability with its financial performance. External factors such as pandemics, utility pricing or a bid that was unrealistic.	Financial impact to OCC and/or service reduction to Hagan Lewisman cut costs that impact service quality	4	4	16		
125						Ensure robust contract in place	
125					0	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 80%	
125						Quarterly monitoring	
125						Open book accounting 60%	
125						Internal officers meeting 85%	
126	Communities & Citizen Services - Financial savings against community centres. Desired savings may not be achieved. Savings were developed without the input of the service area	Financial impact to OCC and or service reduction to Hagan Lewisman cut costs. Service quality would be impacted.	3	4	12		
126						Work ongoing to drive up revenue including induction of staff at east Oxford Community Centre	
126						Community Centres Review Board set up 100%	
126						PID going to Development Board 100%	
126						Plan of action in place for year 1 including business case review, lettings, charges and other areas of revenue 100%	
127	Property Assets - Property Non Compliance - Minimum Energy Efficiency Standards. If a Council commercial property does not achieve an EPC B rating by 2030 the Council will be unable to let the property to a commercial tenant. The current minimum UK legal energy efficiency rating is E, but the UK Government has set a target of B by 2030 in order to achieve net zero carbon emissions by 2050	A considerable investment in properties is required. If this does not take place the Council will be unable to let properties and income to the Council will be reduced. Businesses must find alternative property causing considerable disruption.	Malcolm PEEK	3	3	9	
127						Audit property portfolio and review EPC ratings. 50%	
127						Plan retrofit strategies. Upgrading of insulation in walls, roofs and floors, replacing lighting with efficient LED systems, smart controls for heating and cooling, improved glazing and low carbon heating systems 10%	
127						Explore funding options and Government support	
127						Communicate and collaborate with tenants to raise awareness of Retrofit and encourage take up. 20%	

164 Financial Services - Succession planning. Loss of statutory financial leadership (Section 151 Officer). Retirement of Group Finance Director (Section 151 Officer)

The retirement of the Group Finance Director creates financial governance and leadership risks including 1) Increased likelihood of delays in closing and signing off the annual accounts, risking breach of statutory duties 2) Reduced capacity to provide a clear financial strategy, and direction for the Council 3) Lower probability of achieving planned savings targets 4) Potential loss of Member confidence in the robustness of the Council's financial management and reporting 5) Diminished scrutiny of major financial decisions

Caroline Green



164

The appointment of a fully qualified and experienced Section 151 Officer

An appointment has been made

164

Knowledge transfer between the current Section 151 Officer and his replacement.

164

Second tier empowerment so that they have the authority to ensure that day to day operations continue effectively

The Council has an effective second tier team and an experienced Deputy Section 151 Officer

165 Planning & Regulation - Software renewal (IDOX/Uniform). Service failure. Major software renewal, risks to deliver services if migration fails

Inability to receive or process applications related to Uniform (including planning, business regulation and licensing applications) due to failed migration. Potential loss of data or inability to retrieve historic data.

David Butler



165

Ensure project board set up

Project board in place and meeting regularly

165

Robust procurement exercise

Procurement exercises completed

165

Regular supplier meetings

Weekly meetings

165

Extensure User Acceptance Testing

UAT now complete

165

Project risk register created and regularly reviewed

165

Ensure back up systems secure in event of migration failure