

Ref	Risk Description	Consequence	Owner	Current Probability	Current Impact	Risk Score
00012	Economy, Regeneration & Sustainability - Increased costs and complexity in the delivery of the Council's domestic collection service and ODS commercial waste operations caused by statutory obligations in the waste and recycling system, funding mechanisms for domestic waste services and 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, such as domestic waste collections, which are a statutory requirement. If the net income ODS derives from commercial waste operations reduces, this could also impact dividend payments to the Council, which underpin other service delivery.	Clive Tritton	3	4	12
00014	Chief Executive - Partnership working - The devolution governance debate disrupts partnership working with County and District Councils that are pursuing different options for Unitary Government.	Negative impacts on services and projects delivered in partnership with County and partners.	Mish Tullar	3	3	9
00015	Property Assets - Staff recruitment and retention. An inability to recruit and/or retain staff on proposed terms and conditions in Property Services, especially those with technical and specialist skills. This is because the 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.	The skills and capacity are not available to deliver the required works and statutory requirements	Malcolm PEEK	3	4	12
00016	Planning & Regulation - Service Failure. A major service failure due to a significant loss of ICT, staff etc.	A 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

00017	<p>Planning & Regulation - Regulation of the Private Rented Sector. Opportunity to embed HMO licensing across the City and to regulate the private rented sector. Failure might be caused by systems failure/poor delivery of service; inadequate engagement or non-compliance with regulation/legislation.</p>	<p>Damage to Council reputation and potentially finances; risks to occupiers and neighbours</p>	David Butler	2	2	4
00018	<p>Financial Services - Reputation Management. A failure to deliver an efficient and timely year end process for annual Council Tax and NDR bills, rents, garage and leaseholder statements. This might be caused by a 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</p>	<p>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</p>	Laura Bessell	1	4	4
00020	<p>Planning & Regulation - Unplanned workload leading to a reactive response and delay or omission of proactive work. This might be caused by complaints, added to the complexities of existing work, and unplanned corporate or external work demands.</p>	<p>Delay or omission of programmed work, impacts the quality of work if it is rushed or not checked. Reduction in the quality of service to customers</p>	David Butler	2	3	6

00021	<p>Financial Services - ICT - There is a risk that OCC is not able to deliver required improvements to ICT systems in a timely and manageable manner and will not deliver ICT Systems that operate in a controlled and robust manner on a timely basis. This might be caused by the ICT workplan not being adhered to and being delayed; ineffectual system implementation, leading to delays and / or poor system design and implementation.</p>	<p>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</p> <p>Project plans overlapping so that there is excessive work for staff over a shortened time period</p> <p>Non-compliance with contractual agreements and non-compliance with external standards such as PCN and PCI-DSS</p>	Clare Paterson	3	4	12
00023	<p>Property Assets - Income Generation - Income generation from the property portfolio is threatened, due to the Covid-19 backlog, which is almost cleared, market forces and cost of living issues. The portfolio is biased towards retail/food and beverage. The market is currently patchy, and there is a backlog of lease events, particularly on the estate shop portfolio.</p>	Reduced rent leading to budget pressure	Emma Gubbins	3	3	9
00024	<p>Planning & Regulation - Project delays (service specific) - due to poor project management of projects such as the Local Plan, a major Development management case, and change projects.</p>	Reduced performance, missed targets, and ultimately delay to the delivery of needed housing.	David Butler	2	3	6
00025	<p>Property Assets - Income reduction due to the condition of properties. This can result in an inability / delay in letting or increased incentives being required. This can be caused by stock being returned in poor condition or increased forfeiture. Failure of the landlord repairing liabilities.</p>	Reduced or delayed rent or capital receipts leading to budget pressure	Malcolm PEEK	3	3	9

00026	Financial Services - Failure to recruit and retain key staff. There is an insufficient pool of high-quality applicants to current vacancies, and key staff might leave for better opportunities elsewhere. This might be caused by current pay scales not being attractive, or the reputation of the Council not attracting 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
00027	Planning & Regulation - External Delays - Delays to Council projects caused by outside agencies such as the County Council, Consultees, national and regional government and other agencies	Reduced performance and missed targets	David Butler	3	3	9
00028	Property Assets - Property non-compliance. Assets becoming non-compliant, resulting in Health & Safety failure. (This includes trees, green spaces etc). This might be caused by a lack of monitoring and management.	Risk of hazard to people or property, unable to let properties so reduced income. Risk to the reputation of the council and action against the council and officers. Increased insurance costs.	Malcolm PEEK	2	4	8
00030	Financial Services - Treasury Management - Safety of investments could be threatened by the current economic climate and prolonged volatility in financial markets and banks and other investment institutions not being robust enough to survive future economic changes. Key staff changing at firms causes uncertainty in the market	Loss of principal investments placed	Bill Lewis	2	5	10
00031	Communities & Citizen Services - Service standards and quality of provision. The Council service not delivering quality services because of a lack of resources and employee deployment, fragile procedures, processes and delivery mechanisms and because internal and external monitoring and auditing principles might not be 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

00032	Planning & Regulation - Income Targets - Non achievement of income targets caused by the impact of macro-economic issues leading to a falling number of planning applications, visitor spend etc	Not meet budget estimates, Deficit in corporate budget. Ultimately an impact on resources available to the council to provide services	David Butler	3	3	9
00033	Property Assets - Lack of an asset management system - No asset management system is 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
00034	Law, Governance & Strategy - Resilience of service - A lack of resilience results in an inability to effectively deliver services required by the Council for critical projects and to 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. This is caused by an 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.	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
00035	Planning & Regulation - Government legislation, Democracy and Localism Bill - Substantial changes to the planning system caused by government legislation might require a redesign of processes. Relaxation of Change of Use and the Prior Approval regime being extended might impact the expectations of politicians and the local community, affecting resources and priorities.	Lack of capacity to meet changes coming from the 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 the City Council	David Butler	4	4	16

00036	Communities & Citizen Services - Insufficient revenue and capital for each proposed development, caused by the current economic climate/comprehensive spending review	Developments do not take place	Hagan Lewisman	2	3	6
00037	Property Assets - Income Targets / high costs - Non achievement of Town Hall income targets because of the impact of economic circumstances or if delays in building maintenance causes a major disruption to business e.g. fire, major repairs.	Reduction in income and revenue	Malcolm PEEK	1	1	1
00038	Planning & Regulation - Opposition to emerging statutory plans - Opposition to emerging statutory plans, and to planning applications and decisions leads to A) vocal and organised local opposition before decision; B) opposition at examination or committee stage; C) legal challenge after adoption or planning decision caused by the public, groups, organisations or political parties which 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 media attention. 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
00040	Communities & Citizen Services - Budget and Income - Trading Income from event hire could be threatened because of changes to Broad Street, COVID-19, the cost of living impacting on the events sector and targeted campaigns against event organisers	Budgeted target not met	Paula Redway	3	2	6

00042	Communities & Citizen Services - A breach in H&S might lead to an incident/injury/fatality/or closure of a leisure facility and/or service disruption.This could be caused by a 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
00045	Communities & Citizen Services - Loss of key staff members - A prolonged absence or badly planned leave may result in the service area not delivering on its objectives because the staffing structure is quite tight, meaning that there can be resource issues	Non delivery of service objectives	Helen Bishop	3	3	9
00046	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. There is unpredictability of costs which may arise. This is due to the increased demand in client departments for legal support. Capacity issues continue, which has an impact on external legal advice requirements. There is an inability to use the usual procurement route of the EM Lawshare Framework, resulting in the need to use higher priced frameworks as an alternative.	Budgetary pressure	Emma Griffiths	4	3	12

00047	Communities & Citizen Services - Insufficient resource and market demand to deliver the financial plan - A stringent focus is on this work, although the macro environment continues to increase the challenges. There is a risk of there not being enough resource (staff time), and/or market demand to deliver the level required. Not enough staff time/insufficient demand for additional activities	Reduced delivery of efficiencies	Helen Bishop	3	3	9
00048	Planning & Regulation - Public Health Protection - Threats to public health eg., from food borne communicable disease caused by a failure to adequately control or respond to outbreaks	Uncontrolled spread of diseases; illness and possible deaths; damage to Council reputation.	David Butler	3	3	9
00051	Financial Services - Budget Management - Inability to forecast outturn effectively due to limited or incorrect information. There are significant efficiency savings and service reductions as a result of the budget process, and these may be difficult to deliver, or to understand if they will be delivered, in a timely manner.	Increased use of reserve balances or further reductions to be identified	Clare Paterson	2	3	6
00052	Communities & Citizen Services - Safeguarding - Insufficient safeguarding of vulnerable groups, including children caused by poor training of staff and recognition of safeguarding principals. Poor monitoring and compliance regimes	Risk to Council reputation. Risk of an allegation. Risk to public safety	Hagan Lewisman	2	4	8

00053	Law, Governance & Strategy - ICT - System failure without cloud based systems will significantly impact on the Council being able to meet statutory obligations and will impact on the delivery of corporate priorities and decision making. Risks come from unauthorised 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
00054	Financial Services - Corporate Fraud - Suppliers set up on the payment system 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
00055	Law, Governance & Strategy - Legal Income - Income target not achieved placing pressure on the overall budget of legal services leading to overspend because of an inability to manage or control the demand for work, which generates income	Budgetary Pressure	Emma Jackman
00056	Financial Services - Management effectiveness and employee ability to deliver services - Excessive pressure placed on staff and managers due to 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
00057	Communities & Citizen Services - Complaints Handling - Failure of the corporate complaints process resulting in Ombudsman intervention caused by a reliance on a limited number of officers	Reputational risk. Additional complaints and/or ombudsmen intervention.	Helen Bishop

	3	3	9
	2	3	6
	4	4	16
	3	4	12
	4	3	12

00058	Financial Services - Health & Safety - Staff are subject to volatile situations in the course of their duties and possible harm because robust and challenging conversations are held with subjects of investigation during interviews and visits, leading to an escalation of 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
00059	Communities & Citizen Services - Community Cohesion Erodes - The risk that social and community cohesion will be negatively affected, detracting from the Council's aims to encourage strong and active communities. This risk has been impacted by Britain's exit from the EU, shifts in national politics, and subsequent shifts in society's perceptions.	1. Uncertainty and instability in the political climate lead 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 divide 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 the risk of widening existing health inequalities across the city.	Helen Bishop	3	3	9
00060	Financial Services - Budget and Income - Failure to deliver profiled trading income caused by the reduced appetites of external clients and partners to spend on counter-fraud services, 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
00061	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 increases the risk of staff looking for alternative roles with other organisations.	Targets not achieved, trading income compromised, inability to service external contractual commitments	swarner2@oxford.gov.uk	1	1	1

00062	Law, Governance & Strategy - Budgetary issue - An increase in the cost of postage by Royal Mail causing budget pressures.	Pressure on budgets beyond what is funded	Martin John	3	3	9
00064	Law, Governance & Strategy - FOIA and DPA compliance - Failure to comply with statutory deadlines for 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
00065	Law, Governance & Strategy - Data Protection - A data protection breach and non-compliance with data protection law. A failure of the organisation to adhere to data protection law would cause capacity and work implications issues for the team. This could be caused by outside actors having unauthorised access to data and/or a failure of the Council's departments and suppliers to properly safeguard data	Increased workload on a small team. The organisation could suffer reputational damage and/or have fines levied against it by the ICO. Reputational risk for the service and Council. Financial penalties for the Council and employees. Potential litigation against the Council with damages and adverse costs	Emma Jackman	4	5	20
00066	Communities & Citizen Services - Sponsorship - Failure to achieve sponsorship income targets due to the business climate	Difficult to sustain city events and cultural activity on an annual basis.	Paula Redway	3	2	6
00067	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 the challenge, and if the decision is set aside	Annette Osborne	3	4	12

00068	People - Corporate Management - Managers are 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 might not be delivered	Gail Malkin	2	2	4
00069	People - Resources insufficient to meet the growing demands of the service. The work demands over which the team has no control, such as new starters, pension queries, employee turnover and increasing numbers of payroll transactions, is putting additional pressure on the operational 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 the team is reporting workload pressures and work-related stress. Will need to cut back on the service offered and extend service standard delivery times.	Gail Malkin	3	3	9
00070	People - Loss of key talent - Reliance on individual contributors with no cover, because the team is small. Example - one recruitment consultant. If she left, the team would have a limited and reduced recruitment service until she was replaced	difficulty filling hard-to-recruit roles and longer time to recruit times more generally	Gail Malkin	3	3	9
00071	People - 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
00072	Communities & Citizen Services - Budget pressures in Customer Services, including the Customer Contact and Corporate Support teams has been caused by increased workload and changes not being delivered to improve services and reduce resource requirements. Insufficient funding for workforce.	Service savings not achieved	Helen Bishop	2	2	4

00074	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
00075	Economy, Regeneration & Sustainability - Managing staff capacity - There is little capacity in the team to allow cover for other team members if required. Internal and external projects and programmes are running to very similar timescales across economic development, City Centre, Green Transport, Housing Delivery and Regeneration.	Staff resources 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 the regeneration manager or housing supply officer is off work or leaves at short notice.	Clive Tritton	3	3	9
00077	Economy, Regeneration & Sustainability - Health & Safety - Poor health and safety compliance due to inconsistent levels of experience and training of project managers. Lack of corporate resource and training in health and safety 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
00078	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 the governance process due to a lack of specialist advice	Clive Tritton	3	3	9

00079	Economy, Regeneration & Sustainability - Staff Budget - Lack of budget to maintain staffing levels across the service due to a failure to capitalise on the regeneration managers time and a lack of funding to maintain current levels for city centre management and economic development teams. The staff budget relies on capitalising time and external funding sources	Not being able to maintain staffing level of teams which would mean reduced resource to bring forward projects and programmes and loss of good staff that have often been difficult to recruit	Clive Tritton	2	2	4
00080	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 not meeting any of the compliance criteria/annual HE Investment Partner compliance return, and loss of awarded funding due to not meeting grant terms	Reduced delivery will further increase the backlog of housing need if we are unable secure additional affordable housing stock. There is also a risk that grant funding, including RRTBRs, may have to be returned with punitive interest	Dave Scholes	3	3	9
00081	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 and site specific issues.	Either the projects are lost from the programme or delivery is delayed, both of which add further cost risk. There is also a risk that funding is lost if the grant terms are not met, with a risk of needing to return Right to Buy receipts if not spent, with punitive interest	Dave Scholes	3	3	9
00082	Economy, Regeneration & Sustainability - A lack of engagement from partners to deliver the Council's priorities in Economic Development and City Centre. Third party decision making or capacity issues result in a lack of support financially or in kind for key initiatives/projects.	Unable to deliver on strategic actions or priorities or fund associated projects/staff. Creates unplanned financial pressure	Rupert Waters	3	3	9

00083	Economy, Regeneration & Sustainability - Resource pressure from partners or stakeholders - Key stakeholders or partners' projects and priorities create council resource implications. Third party decision making results 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
00084	Property Assets - Investment into stock and existing properties - Under investment or lack of funding to invest into properties to maintain condition, caused by budgets not being 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
00085	Communities & Citizen Services - Customer Services - Applications Team KPIs may not be able to be met because Taxi licensing is under resourced by the service due to funding not being agreed and an uplift in applications.	Performance affected and KPIs unable to be achieved	Mark Chandler	2	2	4
00086	Communities & Citizen Services - Customer Services - Customer behaviour in the Westgate library or ladders puts Council staff at risk, either through physical or mental abuse.	Staff are physically or verbally abused	Mark Chandler	2	3	6
00087	Communities & Citizen Services - Customer Services - Wellbeing of staff working from home and being able to access support as and when required. The majority of staff work 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
00088	Communities & Citizen Services - Customer Services - Staff not following data protection processes resulting in breaches. Staff not having the appropriate up to date training and awareness of procedures	Data protection breaches resulting in unhappy customers	Mark Chandler	2	2	4

00089	ICT - Retaining skilled ICT professionals. Uncompetitive salaries in some areas.	Staff leave.	Rocco Labellarte	1	3	3
00090	ICT - Addressing ICT staff skills gaps. Single points of failure, in particular the absence of Business Owners and super-users within the services.	Delays in resolving issues for individuals and services.	Rocco Labellarte	2	2	4
00091	ICT - Resources insufficient to meet the demands of the service caused by competing priorities (BAU, Projects, non-ICT issues passed to ICT).	Demand exceeds capacity, and staff work long hours, struggling mentally (as evidenced by the H&S Survey)	Rocco Labellarte	4	3	12
00093	Economy, Regeneration & Sustainability - Capital Project Delays - Significant delays to capital projects caused by unforeseen consequences e.g. planning risks, external factors, competing asks on resources, contractor insolvency or supply chain issues	Reduced performance and missed targets on capital projects which affect overall expenditure, MTFP spend or grant stipulations	Clive Tritton	3	3	9
00094	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 over £1m are uninsured. The Council is unable to go to tender before it improves the information that it has.	Nigel Kennedy	2	4	8
00095	Property Assets - Capital Receipts - Inability to reach capital receipts budget because of market forces and being dependent on the engagement of 3rd parties. Selling from the investment portfolio reduction in income	Reduced capital causes increased borrowing or reduction in capital programme	Emma Gubbins	2	2	4

00096	Property Assets - Lack of legal capacity - If there is a lack of legal support, the Council will be unable to meet income, capital receipt, and project targets. Alternatively, external legal spend will be more costly and will result in an increase in financial pressure. Insufficient base budget in Law and Governance results in insufficient capacity.	Reduced income, reduced capital receipt, risk of legal challenge, reputational damage, increased complaints.	Emma Gubbins	4	4	16
00103	Planning & Regulation - Regulatory compliance - Failure to comply with regulations and statutory compliance because of insufficient resources, impacting the ability to ensure compliance. This might be caused by a culture that fails to enforce policies, a lack of knowledge exacerbated by staff turnover, changes in legislation, and 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
00108	Housing - Failure of homeless prevention activities - A failure to effectively manage the financial burden and demand for temporary accommodation in accordance with the individual needs of clients. A service failure might mean that homeless prevention activities become unable to meet a sustained increase in homelessness in Oxford, leading to increased homeless placements and temporary accommodation 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 were realised, it would hinder the operation of this service as its financial viability would be called into question, and related issues impacting regulatory compliance would affect OCC.	Nerys Parry	2	4	8

00109

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, or changes in priority. This also includes the wider contextual imbalances within the council's own stock and private housing.

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

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00110	<p>Housing - Delayed new build developments/acquisitions - Supply - A failure to secure a pipeline of affordable supply from the 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 failure might be caused by new build completions of social housing being delayed due to developers failing to complete on time, planned acquisitions being slowed down due to a lack of supply of suitable properties in Oxford, changes to the PRS Housing Markets, including the Renters Rights Bill reducing the supply of affordable private rented sector properties and improvements to the Void process failing to reduce Void Re-let Times.</p>	<p>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 temporary accommodation is suitable and families with children do not spend over 6 weeks in B&B. Households believing they have been offered unsuitable accommodation may take legal action against the council. Overall Impact - Temporary accommodation provision appears on target but this is subject to review in the light of regular and updated data</p>	<p>Dave Scholes, Nerys Parry</p>	2	4	8
00111	<p>Housing - Implementation of the Landlord Services Re-Organisation - There is a risk of not delivering the re-organisation of Landlord Service in a timely manner, and as a consequence, Landlord Services does not deliver the changes required, including service improvements, culture change and achieve better outcomes for tenants. A failure of the Landlord Services re-organisation to be completed within the expected timelines might be due to delays in new staffing structures and processes being put in place.</p>	<p>Reputational Impact - inability to establish a service structure that is more fit for purpose, responsive to new regulatory requirements and the 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 - New SHR regulatory requirements mean 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.</p>	<p>Nerys Parry</p>	2	4	8

00112	<p>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. This would result from service failure, where the tenant Involvement governance arrangements and activities are not fit for purpose and do not allow the tenant's voice to be heard or have meaningful involvement in line with responsibilities under the SHA/Consumer Standards</p>	<p>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 mean the council, as a landlord, has a duty to comply and meet required standards. Failing to do so will be a breach, and the Council will 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.</p>	Nerys Parry	5	4	20
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00113	<p>Housing - Inspection by the Regulator of Social Housing. Social Housing Regulator inspection readiness - Failure to evidence the implementation/adherence to Social Housing Regulator's consumer standards across housing, resulting in a [C3] grading following inspection. This might happen if OCC could not demonstrate that it is complying with the Social Housing Act/regulator consumer standards.</p>	<p>Reputational Impact - A low grade will impact negatively on the 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</p> <p>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</p> <p>Legal Impact - A low-grade judgment from SHR will impact negatively on the 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.</p> <p>Overall Impact - This is a tangible risk, as while there is a body of work to ensure compliance requirements are met, the full programme is yet to be implemented.</p>	Nerys Parry	4	4	16
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00114	<p>Housing - OCC fails to follow the statutory Section 20 consultation with leaseholders and shared owners - OCC fails to deliver a compliant S20 consultation process with leaseholders over major works or services. This might happen if changes to the responsible service are not made and the correct process is not followed.</p>	<p>Reputational Impact - A failure to provide a fair and compliant service to leaseholders will negatively impact the council's reputation and perception that it is not delivering compliant services to leaseholders. Financial Impact – A flawed section 20 process reduces the 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 have information about service charges and be consulted on maintenance and running costs. The inability of the council to comply with these functions can lead to leaseholders challenging service charges 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>	Nerys Parry	2	1	2
00115	<p>Housing - Implementation of the Development plans for HRA Asset Management - A risk of not changing policies, processes and procedures for HRA property service functions in a timely manner and as a consequence it does not deliver the changes desired including a fit for purpose client team to effectively commission and oversee delivery of works and services, establish the service improvements required including around repairs, safety and compliance. This might happen if 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>	Nerys Parry	3	4	12

00116

Housing - HRA investment and management controls fail to comply with the Social Housing Act/Consumer Standards - 5 year investment programme - The Council as a landlord must set out the strategic direction for OCC's HRA capital management and investment plans, which must also form part of the medium to long-term financial and service planning and budget setting process. It also risks complying with Social Housing Regulator expectations in relation to the council having the investment management and controls in place. There would be service failure if the OCC current/planned investment activities fail to comply with the Social Housing Act /Regulator consumer standards.

Reputational Impact - Failure to plan and develop short/medium/long-term investment will make it 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 continuing to commission works in a reactive manner, which can be costly and add further financial pressure to the HRA. It also risks the Social Housing Regulator highlighting this as a failure for delivering good outcomes to tenants and effective management and governance of the HRA.
 Legal Impact - Risk of council as a landlord not meeting SHR Consumer standards - in particular the Safety and Quality Homes standard, where efficient knowledge, planning of assets and maintenance must be evidenced.
 Overall Impact - It would be significant if this risk were realised in meeting social housing targets in terms of overall delivery of the programme.

Nerys Parry

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00117	<p>Housing - HRA Asset Management Safety and Compliance - 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 may happen if OCC's current/safety and compliance activities fail to comply with the Social Housing Act/regulator consumer standards.</p>	<p>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 raise questions about the 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 a lack of confidence in the 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 are 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.</p>	Nerys Parry	3	4	12
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00118 Housing - Repairs Maintenance - The inability of the 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. This might happen if OCC's current/planned activities on property maintenance and repairs take longer than expected/fail an inspection by the Regulator of Social Housing.

Reputational Impact - OCC's inability to effectively manage repairs can lead to an increase in complaints and escalating costs, loss of rent and spending 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 repair expenditure.

Legal Impact - bringing the council into disrepute and a lack of confidence in the 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 it. 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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00119	<p>Housing - Voids - The inability of the 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. This might happen if OCC void works take longer than expected/fail an inspection by the Regulator of Social Housing.</p>	<p>Reputational Impact - OCC's inability to effectively manage voids could lead to an 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.</p> <p>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 the income to HRA.</p> <p>Legal Impact - bringing the council into disrepute and a lack of confidence in the council's ability to meet its landlord legislative obligations, and intervention from SHR.</p> <p>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
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00120

Housing - Workforce, skills and capacity for service delivery - There are risks and challenges across a range of service areas within the housing service, including recruitment, retention of staff, and a skilled workforce. This is caused by 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.

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 could lead to substantial financial burdens being added to the HRA and reduce the resilience of services. This can heighten the over-reliance on an 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 on the operation of the HRA and wider social housing programme

Nerys Parry

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00121 Housing - Housing IT and Systems - The ineffectiveness and transition of new and legacy systems can significantly impact the efficiency and effectiveness of service delivery across housing and ultimately tenant customer satisfaction. Housing IT systems fail to support the business needs of the service and this impacts on service delivery times and customer satisfaction levels

Reputational Impact - Inefficient systems, software, and hardware can slow down daily tasks, leading to a decrease in staff productivity and an 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 the systems it has in place
Overall Impact - delays in service delivery, increased customer complaints and staff dissatisfaction/lower morale

Nerys Parry

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00122	<p>Housing - 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. This might happen if existing processes and procedures fail to accurately record all data required on tenants (and housing applicants), including protected characteristics, property/building information, including component data, to ensure activities and priorities for compliance, performance management/service improvement/risk management are all data led.</p>	<p>Reputational Impact - As the local housing authority, the council is required and responsible for ensuring the integrity of data, how it uses this 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</p> <p>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 the council's ability to demonstrate its value for money duty across both HRA and GF</p> <p>Legal Impact - OCC, as a landlord, has the obligation to ensure the integrity and security of the systems it has in place. It has a duty to ensure the integrity of any data returns to the government or the Social Housing Regulator</p> <p>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	3	4	12
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00123	<p>Housing - Financial management of the Housing Revenue Account - There is a risk that the council, with responsibility for the efficient and effective management of the HRA, fails to account for 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. This might happen if 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.</p>	<p>Reputational Impact - Failure to sufficiently evidence the efficient and transparent use of HRA can negatively impact the council's reputation and lead to intervention from the regulator. This can also lead to a loss of trust from tenants, and raise concerns/complaints</p> <p>Financial Impact - Failure to evidence and satisfy the SHR regulator inspection criteria "financial resilience" - which covers the extent to which HRA funds generated from tenants' rent collection are invested back into the HRA for asset and service improvements, and secure good tenant outcomes</p> <p>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</p> <p>Overall Impact - This is a significant risk as there is data to suggest cost overruns have occurred that are not in line with budgetary expectations. The risk has been mitigated, to a limited extent, by internal cost control mechanisms.</p>	Nerys Parry	3	4	12
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00124	<p>Housing - Inadequate controls to manage HRA financial spend - This might result in an overspend, and programme targets not being met and an impact on the ability to deliver services within the HRA. This could result in service failure if controls and clienting arrangements are inadequate to meet service needs.</p>	<p>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 the Social Housing Regulator, which could lead to infringement actions taken by the regulator.</p> <p>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.</p> <p>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.</p> <p>Overall Impact - disruptions in the working relationship between OCC and service suppliers that led to issues with maintenance and budgetary controls would mean that this could lead to systemic</p>	Nerys Parry	2	4	8
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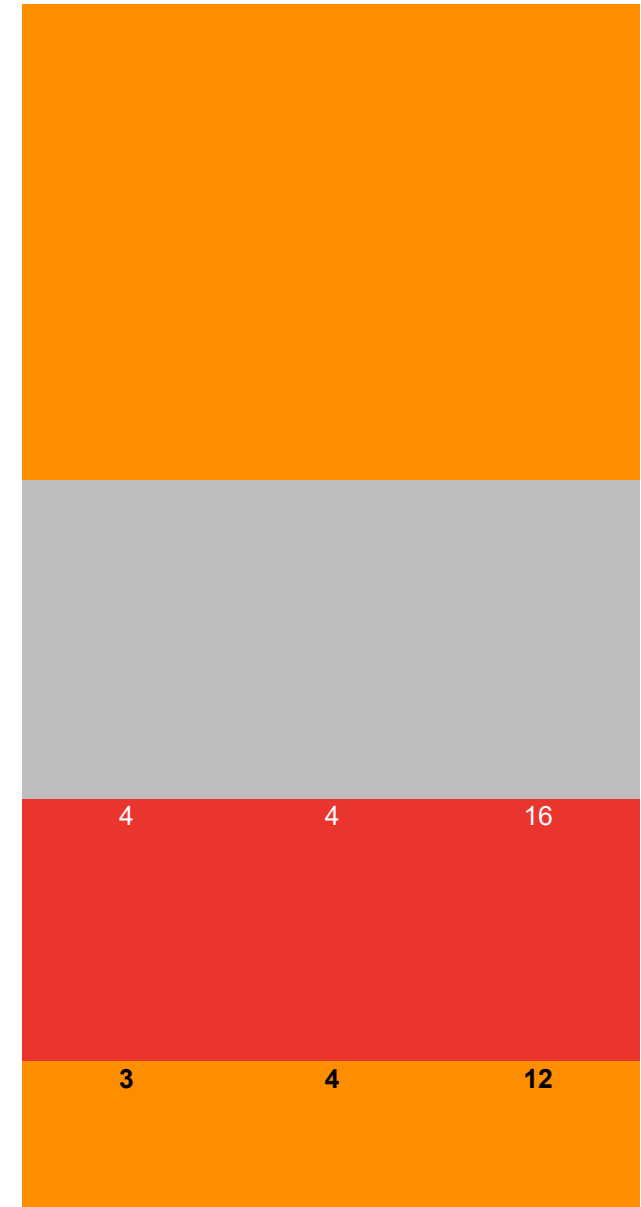


controls would mean that this could lead to systemic failure with customer standards and economic governance that could necessitate Social Housing Regulator action against OCC. Tenants could potentially take legal action via a class action in reference to various housing statutes in such an extreme scenario.

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000125	Communities & Citizen Services - Leisure contract financial performance - Ongoing contract management and partnership approach of the external leisure provision contract, to ensure stability with its financial performance. Threats are external factors such as pandemics, utility pricing or a bid that was unrealistic.	Financial impact to OCC and/or service reduction to cut costs that impact service quality	Hagan Lewisman
00126	Communities & Citizen Services - Financial savings against community centres - Desired savings may not be achieved if savings were developed without the input of the service area.	Financial impact to OCC and or service reduction to cut costs. Service quality would be impacted.	Hagan Lewisman



00127	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 may 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 proposed 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
00164	Financial Services - Succession planning - Loss of statutory financial leadership (Section 151 Officer) caused by the retirement of the 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



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