

Corporate Risk Register

Review Month:

July 2021

Ref	Date Risk Identified	Risk Owner	Inherent Risk			Existing Mitigations & Controls (What has been done to control the risk?)	Residual Risk			Further Mitigations & Controls to be put into place	Target Implementation Date	Notes
			L'hood	Impact	Risk Score		L'hood	Impact	Risk Score			
1	<p>Failure to deliver anticipated benefits of major projects (St Sidwell's Point and Bus & Coach Station)</p> <p><u>Potential Causes:</u></p> <ul style="list-style-type: none"> - Failure to procure appropriate operator for leisure centre - Adverse weather / other delays typical of such projects <p><u>Potential Impacts:</u></p> <ul style="list-style-type: none"> - Increased costs to Council from project overspends or overruns - Not realising financial and cultural benefits anticipated from project delivery - Damage to Council's reputation and reduced credibility to deliver major projects in future 											
	October 2017	JP Hedge - Director Culture & Leisure Facilities	3	3	9	<ul style="list-style-type: none"> - Recruited experienced Project Manager, Quantity Surveyor and delivery team - Established high level Programme Board to oversee progress and delivery - Contractor appointed to build the facility, following a 2 stage collaborative approach in procurement. - Fixed price Design & Build Contract, with a limited amount of Provisional Sums. 	2	3	6	<ul style="list-style-type: none"> - Ongoing reporting of progress and potential issues to Client lead. - Technical Assurance & Audit team being procured to monitor compliance with the Contract, review ongoing performance and positively challenge the build team to help promote the identification and resolution of potential issues / problems. 	Ongoing October 2020	<p>July 2021:</p> <p>The bus station is complete and has been handed over to the operator. It will start being used on July 25. SSP faces potential delays due to COVID-19 and these are being fully minimised and mitigated where mitigation is possible. The service will be run in house and the TUPE process is nearing fully completion. Pyramids will remain operational until SSP is ready to open in order to maintain a service for leisure members.</p> <p>A Technical Assurance & Audit team has now been procured to monitor compliance with the Contract, review ongoing performance and positively challenge the build team to help promote the identification and resolution of potential issues / problems</p>

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2	<p>Insufficient business continuity arrangements to recover critical services effectively</p> <p><u>Potential Causes:</u></p> <ul style="list-style-type: none"> - Critical services not identified - Insufficient plans in place to recover critical services - Lack of testing of plans to ensure arrangements suitable <p><u>Potential Impacts:</u></p> <ul style="list-style-type: none"> - Essential services not recovered in timely fashion - Adverse media and public criticism leading to lack of trust in council - Non compliance with Civil Contingency Plan 											
	April 2013	Karime Hassan - Chief Executive	3	4	12	<ul style="list-style-type: none"> - List of critical services agreed with SMB - Corporate Business Continuity Plan approved by SMB which sets out roles and responses to certain events (loss of building, loss of ICT etc.) - IT Disaster Recovery Plan in place - Business Continuity plans developed for all L10Critical services 	2	3	6	<ul style="list-style-type: none"> - Regularly review business continuity plans to ensure they are fit for purpose - Review of BCM was undertaken by Internal Audit following implementation of plans in response to the Covid19 pandemic. Review focused on what worked well and what didn't work so well with a view to ensuring the plan is fit for purpose moving forward. This report is with SMB. - Business continuity testing to be carried out in line with corporate policy. 	Ongoing Aug 2021 March 2022	<p>July 2021:</p> <p>Internal Audit report with SMB.</p>

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3	Lack of leadership capacity to effectively deliver additional Council objectives and priorities											
	<p><u>Potential Causes:</u></p> <ul style="list-style-type: none"> - Significant draw on management resources following unanticipated new commitments or changes in political expectations - Medium Term Financial Plan will be under strain because of national decisions on New Homes Bonus and re-setting business rates <p><u>Potential Impacts:</u></p> <ul style="list-style-type: none"> - Higher likelihood of potential governance and performance failures due to stretched resources - Limited capacity for leading and delivering change activity impacting upon achievement of councils strategic priorities - Staff morale and burnout if over prolonged period 											
	June 2019	ECC Executive 'Karime Hassan - Chief Executive & Growth Director	4	4	16	<ul style="list-style-type: none"> - Experienced and resilient senior management team - Organisational culture with values set up to deliver - Succession planning / effective deputies - Strong record of bringing in funding to support new initiatives / agenda and additional agenda. - Director appointed for Liveable Exeter housing programme - Place Board give visibility to broader programme and access to national funding routes - A Civic university agreement will bring strategic focus from key institutions on the challenges facing the city of Exeter and the ambitions identified in the Exeter 2040 vision. - Liveable Exeter Place Board engages the leadership of the cities institutions in city wide challenges and increased leadership capacity being deployed to the cities challenges - The corporate goals could be redefined to reduce their scope so that they are more narrowly defined so that only matters that the council can control would be measured. This would make the goals more achievable but would fail to deliver the Exeter 2040 vision. - Net zero Exeter as defined by the city of Exeter will require investment of over £750m, likewise Liveable 	1	4	4	<ul style="list-style-type: none"> - Support development of political discipline regarding understanding of challenges when embarking on new initiatives and recognition of resourcing levels within the Council. - Encourage more robust peer challenge amongst Members - Review method of celebrating achievements of council - Consider leadership development of tier 3/4 managers to develop strategic capability - A Civic university agreement will bring strategic focus from key institutions on the challenges facing the city of Exeter and the ambitions identified in the Exeter 2040 vision. - Liveable Exeter Place Board engages the leadership of the cities institutions in city wide challenges and increased leadership capacity being deployed to the cities challenges - The corporate goals could be redefined to reduce their scope so that they are more narrowly defined so that only matters that the council can control would be measured. This would make the goals more achievable but would fail to deliver the Exeter 2040 vision. 	TBC	<p>July 2021:</p> <ol style="list-style-type: none"> 1. Members have taken steps to set out a strategy to manage the task of the MTFP requirement of delivering £6.1m. Work is well under way to meet the objective and therefore the level of risk has moved from red to amber. 2. Net Zero Exeter has been promoted front and centre stage in the narrative for levelling up and growth agenda based on Net Zero, skills and infrastructure. 3. The Civic University Agreement has been reported to Executive and once signed it will bring greater focus to the strategic ambitions around wellbeing, net zero and culture. 4. Funding has been secured from One Public Estate for Liveable Exeter capacity and technical studies 5. The modelling of the city fund has identified the scale of investment required for liveable Exeter. 6. Net zero Exeter as defined by the city of Exeter will require investment of over £750m, likewise Liveable Exeter will eventually constitute an investment of over £4billion. Much of this will need to come from the private sector but there will be significant asks of the public sector both in terms of direct investment and

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						Exeter will eventually constitute an investment of over £4billion. Much of this will need to come from the private sector but there will be significant asks of the public sector both in terms of direct investment and leadership. The leadership role of the city council is to act as municipal entrepreneur, ring master and story teller building a collective endeavour in pursuit of this goal. It would be possible to break down this strategic ambition into bite sized measures of success and this would look very different in terms of the risk register. Currently this risk is framed specially in relation to strategic leadership in support of the councils stated ambition not the achievement of the goals.				'- Early engagement with the challenge of MTFP, identify clear strategy to address priorities to ensure balance of efficiencies, reductions and growth to support achievement of corporate goals.		leadership. The leadership role of the city council is to act as municipal entrepreneur, ring master and story teller building a collective endeavour in pursuit of this goal. It would be possible to break down this strategic ambition into bite sized measures of success and this would look very different in terms of the risk register. Currently this risk is framed specially in relation to strategic leadership in support of the councils stated ambition not the achievement of the goals.

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4	<p>Inability to deliver carbon neutral aspirations for Exeter by 2030</p> <p><u>Potential Causes:</u></p> <ul style="list-style-type: none"> - Financial pressure and economics of carbon reduction - Behavioural challenges over influencing businesses and public - Technical capability to deliver - Lack of control over all stakeholders (businesses, visitors etc.) - Political environment and acceptance of policy changes required - Misalignment with Devon Climate Plan - Failure to engage with resident and business of Exeter to ensure solutions proposed meet real need <p><u>Potential Impacts:</u></p> <ul style="list-style-type: none"> - Reputational - Failure to deliver inclusive growth and retain vibrancy of Exeter as a great place to live - Conflict within Region - Short term changes may not be sustainable 											
08.11.19	Executive	4	3	12	<ul style="list-style-type: none"> - Strategic partnerships - 12 Goals defined for the city to provide framework for carbon neutral. Goals reflect priorities of business and residents - Plans in place to develop roadmap for carbon neutral 2030 - Other major public sector organisations have already committed to becoming carbon neutral (e.g. University of Exeter, Devon County Council)- - SWEEG have been appointed to start work on the City Council Carbon Action Plan following on from the successful carbon baseline study. This will examine our carbon production at a service level and provide practical actions and measures to reduce our production to net zero by changing the way we work or offsetting. Work is continuing on bringing forward proposals for resources to deliver the carbon net zero programme. 	4	3	12	<ul style="list-style-type: none"> - Continue to invest in supporting ECF as a partner organisation to ensure that the ambition to be net-zero is continually communicated and residents and businesses are engaged; ensuring all voices are heard and the solution being developed are benefitting the residents and business. - Improve national communication positioning Exeter as a leading sustainable City highlighting what we are doing - through ECF and Livable Exeter activities - Ensure clear alignment with DERG and national climate action plans to ensure Exeter's plan is incorporated 	Apr-30	<p>July 2021:</p> <p>The work being undertaken by SWEEG to develop the Council's carbon action plan, has stalled due to the lack of available internal staff resources to assist with the analysis. The resources problem is directly related to the lack of any available funding for Net Zero and the budgetary pressure that the Council finds itself under. Finance officers have been working hard to identify any potential funding streams and have had some partial success. A paper has been submitted to July 2021 Executive and Council, with a modest request for staff resources to restart the carbon plan work and to drive our internal ambition to become carbon neutral. The carbon plan will focus on our own services and processes and the Citywide element of the Net Zero Exeter plan will continue to be led by Exeter City Futures. The ambition for the City to become Carbon net Zero by 2030, when the County have acknowledged that this is unrealistic should be something that members should reflect upon.</p> <p>Net zero Exeter as defined by the city of Exeter will require investment of over £750m. Much of this will need to come from the private sector but there will be significant asks of the public sector both in terms of direct investment and leadership. The leadership role of the city council is to act as municipal entrepreneur, ring master and story teller building a collective endeavour in pursuit of this goal. It would be possible to break down this strategic ambition into bite sized measures of success and this would look very different in terms of the risk</p>	

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											<p>success and this would look very different in terms of the risk register. Currently this risk is framed specially in relation to strategic leadership in support of the councils stated ambition not the achievement of the goals. This is felt to be appropriate in relation to Net Zero Exeter.</p> <ul style="list-style-type: none"> The challenge with this approach is that even when exceptional work is being done it can come across as that the city council is failing. This is disheartening to those involved and does not reflect the quality of the work. It simply reflects the enormity of the task facing any place, no one has delivered a net zero city. At the beginning of the journey the scale of the task given current government policy makes the challenge appear almost unachievable. However, we know that Government policy and innovation tools and funding could be a game changer for the city and it is appropriate that the Council lobby to be the place that this innovation is supported. The city's USP is world leading climate change/environment science and naturally should be the focus of Government initiatives. 	

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5	<p>Failure to meet Exeter's Housing supply needs as a planning authority and meet strategic 5 years ambitions</p> <p>Potential Causes:</p> <ul style="list-style-type: none"> - Inadequate Land supply - Not granted enough planning permissions - Student development cannot be included in housing supply figures - House builders drip feeding - Political / community buy in to developments - Exeter Local Plan not progressing quickly enough, encounters delays in programme, or is delayed by external factors such as changes to the Planning system or though protracted discussions with neighbouring authorities re region wide issues. <p>Potential Impacts:</p> <ul style="list-style-type: none"> - Vulnerability to development coming forwards/gaining consent which is not in keeping with the character of the city and which may be contrary to strategic ambitions - such as the 2040 Vision or net-zero commitment. - Financial risks with increased appeals, and potentially lost income - Social outcomes - inequality, rising social service costs - significant waiting list - Reputational impact if development on not appropriate location 											
	June 2013	Bindu Arjoon - Director	4	3	12	<ul style="list-style-type: none"> - Brownfield opportunities identified and developed into the Liveable Exeter strategy. - Higher density developments being encouraged within the city centre. -Social Housing being developed following the lifting of borrowing cap- ambition for 500 homes over 10 years' - Appropriately briefing members to ensure robust decision making processes 	3	2	6	<ul style="list-style-type: none"> - A new Local plan for Exeter is now underway with a timetable established and planning underway for consultation/engagement. - Selling positive image of high quality high density brownfield developments through the Liveable Exeter programme. - using existing planning policy to resist inappropriate development proposals in order to continue to protect the character and beauty of the city. - regular updating of the 5 year land supply position in order to closely monitor land supply in the city 	Ongoing	<p>July 2021 Update:</p> <p>The 5 year land supply position has further improved since the last reports, with land supply currently at 4 years and 7 months. This is a significant improvement and is relevant in terms of the tilted balance applied when assessing planning applications.</p> <p>The Local plan is continuing to progress with a timetable now established and the statement of community involvement developing.</p> <p>The Liveable Exeter programme has secured further funding to support work on the Liveable programme and close working with the Local Plan team will seek to demonstrate that the Liveable programme/sites can be the key mechanism through which to meet the city's housing need in the forthcoming plan period.</p>

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6	Failure to adapt council workforce to ensure appropriate skills and experience											
	<p><u>Potential Causes:</u></p> <ul style="list-style-type: none"> - Ageing workforce (half of staff over 50, considerable enough) - Difficulty to recruit into key areas - professional areas (planners, lawyers) - Empowerment, skills and engagement of managers to enable this change <p><u>Potential Impacts:</u></p> <ul style="list-style-type: none"> - Loss of experience - Increased spending on agency workers - Not having cost effective council services delivering the right outcomes - Service disruption - Cost of appeals / challenges across the council services - Increased stress / pressure on workforce 											
	June 2019	Baan Al-Khafaji	3	3	9	- Market supplement scheme in place - Apprenticeship opportunities for new and existing staff - Employing part qualified staff and training them (internal and external) - procurement, planning etc. - Improvements in metric tracking (age, gender, skills profiles) - Business Partnering model allowing for greater collaboration between service areas and HR.	2	3	6	- Metrics to be reported to SMB with effect from July 2021 - Ensure robust implementation of new workforce planning process (local mgmt team led) - Utilising agile program to compliment modernisation of work environment - Review of progress against GDR.	Ongoing	July 2021: Metrics to be reported to SMB with effect from July 2021.

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7	Maintaining the Financial Sustainability of the Council											
	<p>Potential Causes:</p> <ul style="list-style-type: none"> - Fair funding review from central government involving rebaselining of business rates (income loss of £2.5m per annum) and determination of a new formula which could have funding implications. - Inability to deliver £6m savings target over three year period - Move to 75% business rate retention rather than government grant increases volatility of income and dependence upon growing local economy and business rates. - Inability to grow Exeter city centre and associated business rates etc. - Policy, regulatory or legislative changes which are not fully funded from central govt. - Failure to realise commercial ambitions of council <p>Potential Impacts:</p> <ul style="list-style-type: none"> - unable to balance budget - reduced income for council services - larger than anticipated cuts (in year or over longer term) - reduction in reserves - impacts on council services and therefore resident outcomes 											
	January 2018	Dave Hodgson - Director Finance	4	4	16	<ul style="list-style-type: none"> - Detailed MTFP assessed and agreed with Members - savings plan agreed and being implemented with suitable governance arrangements in place. - Budget for 2021-22 agreed with significant reserves to protect against Covid related income losses. - Significant investment in city centre regeneration (st sidewall's point & bus station) including developing a new vision for the rest of the site which includes mixed use - Business Development manager extended to continue to identify and grow commercial opportunities - Strong level of unringfenced general fund reserves to protect against shocks 	3	4	12	<ul style="list-style-type: none"> - Continue to respond to consultations making case for council - Lobby government for relaxation of council tax increase restrictions - Further development of role and scope of business development manager position 	Dec-21	<p>July 2021:</p> <p>The emergency budget and subsequent government support in respect of compensation schemes for income losses has enabled the Council to set aside funds to protect against further income losses as a result of continued restrictions in place to protect against Covid. The Council has a clear strategy to address the £6m savings required, although the exact timing of Government decisions around Business Rates and New Homes Bonus remains uncertain.</p>

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8	<p>Inability to deliver carbon neutral operations for Exeter City Council by 2022</p> <p>The Council have committed to make their own operations carbon neutral ahead of 2030 in order to lead the City by example. There is a risk that this is not achieved.</p> <p><u>Potential Causes:</u></p> <ul style="list-style-type: none"> - Failure to establish a clear target and trajectory to reduce carbon impact from Council operations - Failure to communicate and engage with staff at all levels to understand the changes required and to identify solutions - Inability to establish baseline and indicators that can measure progress - Unclear ownership of cross-directorship activity and failure to identify/deliver efficient action - Conflicts between carbon reduction and other strategic priorities e.g. cost savings - Failure to balance need for immediate practical action with need for analysis of baseline - Failure to understand the scale of resources (human and financial) required to deliver change - Financial pressures mean resources are not available <p><u>Potential Impacts:</u></p> <ul style="list-style-type: none"> - Reputational - Carbon reduction targets will become harder as we approach 2030 which mean the financial investment will increase -Central government may mandate changes that are costly to implement and don't meet local needs 											
08.11.19	David Bartram - Director Net Zero Exeter & City Management	4	3	12	<p>Full Council have agreed to make operations of Exeter City Council carbon neutral</p> <p>Corporate Energy team has already delivered impactful projects linked to energy reduction and renewal energy generation.</p> <p>Passive Haus projects demonstrating commitment to energy efficient council housing stock.</p>	4	3	12	<p>- Develop cross-directorship sustainability plan that includes: 1.energy (reduction and generation); 2. mobility (Council fleet and staff travel); 3.Sustianability (air quality, biodiversity, resource management); 4. capability (skills, data, operational processes)</p> <p>- Appointment of Director/Senior Officer to assess cross-directorship sustainability performance and identify areas for improvement as well as tracking and reporting progress on carbon performance</p> <p>- Undertake full review of internal policies and processes that are in conflict with carbon neutral aspirations and highlight opportunities for change</p> <p>- Improve communications of Council activities to make own operations carbon neutral and showcase as exemplar to other organisations</p>	Apr-22	<p>July 2021 :</p> <p>The last 18 months has been an extraordinary period for all of us, and Covid has had an impact on activities, strategic capacity has been diverted, organisational focus has necessarily been directed to the crisis and recovery, income has come under threat and emergency budget has required in year changes. Leisure services have been brought back in house and officers have been busy working on a broader campaign in support of net zero. This particular risk focuses on the council's own footprint and the target date is earlier than the net zero 2030 date, itself challenging. The target was set when the council was pursuing a low carbon agenda. The Net Zero commitment in advance of a road map and clarity on resources effectively has spread strategic capacity. It is unlikely that the city council can achieve the goal within the next 12 months. The additional capacity that will be released by Council will support a more focused programme based on the council's carbon footprint and it is suggested that work is done on defining the plan and target date when officers are in post.</p>	

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9	<p>Increased cost of St Sidwell's Point and Bus & Coach Station</p> <p><u>Potential Causes:</u> - There will be increased costs as a direct result of actions required to manage the new risks associated with COVID 19 risk</p> <p><u>Potential Impacts:</u> - Increased costs to Council - Not realising financial and cultural benefits anticipated from project delivery - Damage to Council's reputation and reduced credibility to deliver major projects in future</p>											
	October 2020	JP Hedge - Director Culture & Leisure Facilities	4	4	16	- commissioned expert legal advice - Agreed a set of principles with the contractor - Agreed a risk share ratio against each principle - Agreed a negotiation process and timeline	4	3	12	- Accepted the time extension to the contract - Agree more frequent payments to enable supply chain - Process agreed with main contractor and legal advisers for agreeing additional costs in relation to increased expenditure incurred in relation to COVID19. - Report to Council will be prepared Jan/Feb 2021		<p>July 2021: This remains a significant risk due to the continuing impacts of Covid-19</p> <p>A Technical Assurance & Audit team has been procured to monitor compliance with the Contract, review ongoing performance and positively challenge the build team to help promote the identification and resolution of potential issues / problems.</p>