

Corporate Risk Register

Review Month: June 2022

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
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1	<p>Failure to deliver anticipated benefits of major projects</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 and Tourism	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. - 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. 	2	3	6	- Ongoing reporting of progress and potential issues to Client lead.	Ongoing October 2020
<p>Tracking Notes and Monitoring:</p> <p>June 2022:</p> <p>As St Sidwell's point has now been delivered, proposed by JPH that this risk be removed to be agreed by SMB.</p>											

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2	Insufficient business continuity arrangements to recover critical services effectively										
	<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 & Growth Director	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 - Review of BCM 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. - The Corporate Business Continuity Plan has been reviewed and an updated version will be published shortly. 	2	2	4	<ul style="list-style-type: none"> - Updated Corporate Business Continuity Plan to be brought to the attention of all managers who will be required to review and update the business continuity plans for their services. - Regular updating and review of service plans has been happening as part of the response to the Covid pandemic - Business continuity testing to be carried out in line with corporate policy - Working with Teignbridge District Council we have been working with an external company to review our cyber security, information security and ICT disaster recovery plans. The outcome of this review is due by the autumn. 	September 2022 October 2022
<p>Tracking Notes and Monitoring:</p> <p>July 2022:</p> <p>The updates to this item in red above have been provided by the Corporate Manager Executive Support, who now feels that this item has been mitigated to low risk and can therefore be removed from the CRR to be managed as part of the Executive Support Operational Risk Register to be approved by SMB</p>											

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3	<p>Inability to deliver Carbon Net Zero aspirations for Exeter by 2030 (External)</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 net zero. Goals reflect priorities of business and residents - Plans in place to develop roadmap for carbon net zero 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>Tracking Notes and Monitoring:</p> <p>June 2022: A greenhouse gas emissions inventory sector by sector has been produced by SWEEG and reported to Scrutiny Committee on 16th June 2022. This identifies the detailed actions required to deliver Net Zero 2030. The scale of the task is massive and there is presently no indentified resource plan to support the necessary actions. Many of the installations, such as: expansion of district heat networks, PVs, cavity and solid wall installations, electric charging infrastructure for vehicles, the pace of up take for Electric vehicles require financial, legal and and policy support. Some sectors do have support for the type of changes required but presently it is not possible to state with confidence that the required tools will be available to delive ron the 2030 timeline. In particular owner occupied residential stock and commercial buildings will need a financial mechanism to be identified. Policy measures are being rolled out and often with financial incentives and the picture could change quickly in support of a net zero goal. based on the trajectory idetified in the Greenhouse gas emissions report a red flag would be appropriate.</p>											

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4	Failure to meet Exeter's Housing supply needs as a planning authority and meet strategic 5 years ambitions										
	<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	Ian Collinson-Director City Development	4	3	12	<ul style="list-style-type: none"> - Brownfield opportunities identified and developed into the Liveable Exeter strategy - The Liveable Exeter programme has secured further funding to support work on the Liveable programme - 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 - The Council is currently able to demonstrate a housing land supply of 4 years and 8 months against the 5 year requirement 	3	2	6	<ul style="list-style-type: none"> - The Local plan is continuing to progress with a timetable now established and the statement of community involvement developing. The first statutory stage of public consultation on the Local Plan was completed in November 2021 (Regulation 18 Issues Consultation) - 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>Tracking Notes and Monitoring:</p> <p>March 2022:</p> <p>The Planning Inspector for the Pennsylvania Road appeal (held November 2021) has concluded that the Council is able to demonstrate a housing supply of 4 years and 8 months. Since that appeal decision was received, a further appeal has been held for Land at Redhills. At that appeal hearing, the Council argued that it is now able to demonstrate a 5 year housing supply due to the granting of planning consents since November 2021. However, until the Redhills appeal decision is received, the Council must accept that it cannot demonstrate a 5 housing supply for development management purposes."</p> <p>June 2022: No update</p>											

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5	<p>Failure to adapt council workforce to ensure appropriate skills and experience</p> <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 Director Corporate Services	3	3	9	<ul style="list-style-type: none"> - 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 - Metrics reported to SMB 	2	3	6	<ul style="list-style-type: none"> - 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
<p>Tracking Notes and Monitoring:</p> <p>March 2022: No further update received</p> <p>June 2022: No further update received</p>											

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6	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 £6.6m savings target over four year period. - 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 - One Exeter plan agreed and being implemented with suitable governance arrangements in place. - Budget for 2022-23 agreed with significant reserves to protect against Covid related income losses. - Significant investment in city centre regeneration (St Sidwell'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 	2	4	8	<ul style="list-style-type: none"> - Continue to respond to consultations making case for council - Lobby government for relaxation of council tax increase restrictions - 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. - Significant funding in an earmarked Reserve to protect against income shortfalls or timing issues with reductions. 	Dec-22
<p>Tracking Notes and Monitoring:</p> <p>June 2022:</p> <p>Still uncertainty over the timing of Government decisions, but the fragile state of the Global Economy and inflationary pressures mean that costs are rising faster than predicted. This will result in reductions being required regardless of Government decisions.</p>											

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7	Increased cost of all capital building Projects										
	<p>Potential Causes:</p> <ul style="list-style-type: none"> - Shortages of materials and labour causing delay and increased costs across the capital programme. - Interest Rate rises causing the cost of borrowing to rise significantly. <p>Potential impacts</p> <ul style="list-style-type: none"> - Increased costs to Council - Delay in all projects, predominantly the condition survey projects and HRA programme, leading to prolonged periods of buildings being below the standard the Council is aiming for. 										
	August 2021	Dave Hodgson - Director Finance	4	4	16	The global economic impacts are difficult to mitigate. Members may need to reprioritise, accept higher tender costs or delay the capital programme. Those projects already underway will see additional costs arising.	4	4	16	Review existing capital programme with a view to deferring and removing schemes	Dec-22
	<p>Tracking Notes and Monitoring:</p> <p>July 2022: Interest rates have increased by more than 1% since the turn of the year adding over £10,000 per million borrowed. This will have a negative impact on the revenue position of the Council.</p>										

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8	Failure to deliver the Liveable Exeter Programme										
	<p>Potential Causes:</p> <ul style="list-style-type: none"> - a challenge to the viability of development - inadequate funding for brownfield land regeneration - lack of staff resources to support the work - inability to address complex land assembly and infrastructure challenges - significant abnormal costs associated with this type of programme <p>Potential impacts</p> <ul style="list-style-type: none"> - increased costs to the Council - carbon neutral not achieved by 2030 - city housing needs not met by 2040 - new communities not created - active and accessible city aspirations not met - new homes do not meet Garden City principles - housing built in locations the council is seeking to avoid 										
	Nov 21	Ian Collinson-Director City Development	4	4	16	<ul style="list-style-type: none"> - Brownfield land release fund: <ul style="list-style-type: none"> - project management capacity brought in - sites included in ECL business case - Director of Planning & Development appointed - examples of the strategic investment required are the housing infrastructure fund (HIF) and other strategic investment funds such as administered by One Public Estate and the Department for Levelling Up, Housing and Communities - some funding has been secured on an annual basis from Homes England - LDA design commissioned to produce Marsh Barton Development framework - DCC & ECC progressing work on development brief for Southgate 	3	3	9	<ul style="list-style-type: none"> work to be undertaken with One Public Eestate on the Exeter City Fund concept - there needs to be a willingness to acquire land and property to move forward in a sensible phased programme including a willingness to compulsory purchase land - need to step up the support commensurate with the scale and pace of development required - new local plan that includes the vision and principles as part of the formal planning policy - the Council adopts an enabling culture rather than relying on a regulatory culture - Exeter City Living to lead by example - Exeter Place Board to bring together the city's institutions to take ownership of the vision and aspirations and to work collectively on obstacles to delivery - draft tender for parking strategy - City Fund outline business case in draft with Scrutiny Committee - Officer to continue to approach landowners in key locations to bring forward key sites in the programme 	Nov-24

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<p>Tracking Notes and Monitoring:</p> <p>June 2022: Joint Scrutiny Committee has held three meetings to better understand the city development fund concept. This has identified the outline business case, the failings with the current business as usual model, the opportunities with development corporation models of delivery, and the challenges to viability as a consequence of the current approaches to funding development. Two more sessions are scheduled for scrutiny to conclude its consideration of the concept prior to Executive considering the proposal. The level of resources required to support an ambitious regeneration programme is significant and the development corporation model, could be a means to secure greater resources to the programme. There are tangible examples of progress being made with the programme and progress with the local plan preparation. Developer interest in Water Land area is encouraging and points to progress. However, strategic uncertainty is hitting confidence in the construction sector where inflation is hurting viability.</p>											

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9	Inability to deliver Carbon Net Zero aspirations for Exeter City Council operations by 2030 (Internal)										
	At the request of members, with effect from June 2022 this risk is now the subject of a separate risk register to be present half yearly to the Audit & Governance Committee by the Corporate Energy Manager, Net Zero Team										