

**PLACE (August 2020) - Risk Management** The continual development and promotion of risk management will ensure that the Council is well placed to demonstrate that objective and informed decisions are taken and that the Council is ultimately in a strong position to successfully face and address the challenges ahead.

Score IMPACT	Financial	Legal / Compliance	Strategic	Safety, Wellbeing & Safeguarding	Reputation	Service Delivery
<b>HIGH</b>	Over £500k	Non-compliance with legislation or regulatory breach Significant regulatory impact	Complete failure of a strategic priority Major impact on a strategic priority	Fatality or life-changing injury / illness; Significant safeguarding breach Major injury / illness; moderate safeguarding breach	Complete failure in confidence (local or national) Long term media attention (local or national)	Complete failure to deliver critical services (safeguarding; urgent statutory responsibilities etc) Major impact on delivering critical services (safeguarding; urgent statutory responsibilities etc)
<b>MEDIUM</b>	£300k to £500k	Moderate regulatory impact	Moderate impact on a strategic priority	Moderate injury / illness	Medium term negative impact on public memory	Serious disruption to less critical services
<b>LOW</b>	£0k to £300k	Minimal regulatory impact No legal or regulatory impacts	Minor impact on a strategic priority Negligible impact on a strategic priority	Injury or illness requiring minimal intervention / treatment No health and safety impact	Short term negative impact on public memory Minor complaints or rumours	Minor disruption to services Negligible disruption to service delivery

Score LIKELIHOOD	LOW	MEDIUM	HIGH
Type	0 to 40%	40% to 60%	61% to 100%
Description	Unlikely	Possible	Likely

The full Place Risk Register can be viewed from this link - [HERE](#)

PLACE Service Risk Profile					
		Likelihood			High Risks 27 in total
		L	M	H	
Impact	H	25	15	5	
	M	29	33	7	
	L	19	4		

<b>PLACE - Overall</b>					
		Likelihood			<b>Commentary: High Risks currently 27</b> The new format for risk reporting was agreed by Audit & Governance Committee at its May meeting. It was requested that closer links are enabled between the risk and performance measures. Also, members wanted to be able to more clearly see what updates have been made to the risk since the last report. Both changes will be incorporated into future reports, as will links with the control environment.
		L	M	H	
Impact	H	25	15	5	
	M	29	33	7	
	L	19	4		

<b>Economy Infrastructure and Growth – PLANNING</b>					
		Likelihood			<b>Outstanding Returns:</b> 141) Changes to national planning policy lead to delays to prep of the Local Plan Review.
		L	M	H	
Impact	H	1	1		
	M	2	6	1	
	L	4			

**High Risk:** 141) Changes to national planning policy lead to delays to prep of the Local Plan Review.

**Response: No Management Update**

**High Risk:** 194) Lack of five-year housing land supply, or failure to meet Housing Delivery Test, means that policies are considered out of date and there is risk of having to allow more applications and of losing planning appeals.

**Response:** Ensure that new local plan allocates a good supply of sites against the targets, that there is a variety of sites and that they have a good chance of delivery.

Ensure local plan is progressed at intended speed. Ensure that the issue is clearly explained to planning committee members and that we allow applications where appropriate, where we do not have the five-year supply.

## Economy Infrastructure and Growth – HIGHWAYS

		Likelihood			Outstanding Returns:
		L	M	H	
Impact	H	5	3	1	
	M	11	9		
	L		1		
<b>High Risk: 63) Inability to maintain the highways infrastructure to an acceptable standard in the face of changing circumstances (e.g. budget reductions; climate change)</b>					
<p><b>Response:</b> Service levels have reduced due to reductions in highways revenue funding which severely impacted on drainage maintenance and pothole repairs. We have assessed ourselves as Band 3 status for 2020/21, therefore secured the full allocation from the Department for Transport's Incentive Fund (£2.2million). But under investment in revenue maintenance funding has contributed to a reduction in scores for some questions, to Band 2, specifically relating to drainage and pothole repairs. To have dropped into Band 2 overall, would have resulted in a loss of £1.5million. The Highways EAP have made recommendations to Cabinet to reinstate essential maintenance funding. Further submissions for central government funding will be made as and when the opportunities arise. Further actions:</p> <ul style="list-style-type: none"> <li>• Highway maintenance revenue budget report</li> <li>• Annual business cases for capital investment in highway maintenance;</li> <li>• Develop a risk-based approach to cyclic drainage maintenance</li> <li>• Further bids for extra funds from central government, and other sources, where appropriate;</li> <li>• Deliver Action Plan to achieve full available funding from DfT incentivised funding</li> </ul>					
<b>High Risk: 73) Failure to attract funding for assets that we cannot afford to maintain in future</b>					
<p><b>Response:</b> The HAMP will help us to understand whole life cost better - Inspection regimes for cycleway schemes are needed where we are legally responsible for their upkeep - We are not going to be allowed to charge commuted sums for SUDs adoption; Further actions:</p> <ul style="list-style-type: none"> <li>• Development of the HAMP;</li> <li>• Changes to processes so future maintenance funding is considered when bidding for funds;</li> <li>• Cycleway assets - digitised in a way that allows defects to be assigned in confirm;</li> <li>• Avoid over specifying schemes;</li> <li>• Develop inspection regime for cycleways;</li> <li>• Design schemes in the most suitable/low maintenance way;</li> <li>• More robust contractual agreements where we are funding assets/equipment used by 3rd parties (so they cannot be moved out of the county);</li> </ul>					
<b>High Risk: 84) Failure to deliver a safe and suitable alternative to the current arrangements for Wareham Level Crossing</b>					
<p><b>Response:</b> Dorset Council assumed responsibility from Dorset County Council to manage the pedestrian level crossing in Wareham. The lease agreement between Network Rail and Dorset Council for the level crossing runs until 2038; this crossing will close in 2038 as per the terms of the lease. If no suitable alternative is delivered before 2038 Dorset Council would be found to be breaching Equalities legislation. In 2008/9 The Office for Road and Rail (ORR) raised safety concerns with the pedestrian level crossing in Wareham. The ORR stated that mitigating measures had to be put in place or they would force the closure of the crossing. As a result, Dorset County Council paid for the provision of security guards at the crossing to improve compliance and safety at the crossing. In more recent years, following an additional review by the ORR the crossing has been managed with electronic gates closed by security guards when a train is approaching. The crossing is currently managed between 6am and 1am (19hours) seven days a week. The provision of security staff is provided by third party contractors STM Security Ltd. The crossing is locked closed between 1am and 6am each day. Dorset Council has assumed responsibility previously held by Dorset County Council. Network Rail and the Council have tried twice before to resolve this by proposing ramped bridges adjacent to the existing footbridge but failed to obtain planning permission from the then Purbeck District Council owing to local objections. The crossing continues to be a continuing financial commitment with ongoing reputational concerns as there is no suitable alternative means for all to cross the rail lines if the crossing is closed – there is a stepped footbridge adjacent to the crossing. Footway/cycleway alternatives are being explored in the area, but these are not currently seen to closing the level crossing. There remains commitment from Dorset Council and Network Rail to finding a resolution. Commitment from central government appears secure too following a visit by the Minister for Rail to the site and meeting with key stakeholders on 23 January 2020. The Minister for Rail stated that he was committed to finding a solution and that safety and accessibility were of paramount importance which would likely mean that a degree of compromise is required when considering suitable alternatives. Network Rail have agreed to explore and exhaust all possible technological options for providing an automated level crossing, however, it is more likely that an alternative step free route over the rail lines will be the most viable solution. No definitive plans are proposed for a suitable alternative at time of writing (February 2020).</p>					

<b>Economy Infrastructure and Growth – HIGHWAYS (Cont’d)</b>
<b>High Risk:</b> 292) Winter Service budget pressures
<b>Response:</b> The legal position relating to the Highway Authority’s responsibility in respect of the winter service is set out in an amendment to Section 41(1) Highways Act 1980 (c.66) (duty of highway authority to maintain the highway). (1A) details that a highway authority is under a duty to ensure, so far as is reasonably practicable, the safe passage along a highway is not endangered by ice or snow.
The current budget provision to the Highway Service is suitable to cover the cost of normal salting operations and up to 24 hours of snow clearance. There is no budget allocation to cover the cost of snow clearance beyond this point.

<b>Economy Infrastructure and Growth – TRAVEL DORSET</b>					
		Likelihood			Outstanding Returns:
		L	M	H	
Impact	H	1	1		
	M			4	
	L				
<b>High Risks:</b> 151) Major safeguarding incident (including death or serious injury) arises on adult transport due to lack of supervision					
<b>Response:</b> Passenger Assistants (PAs) on all or selected adult social care transport. Address this matter in future commissioning strategy for adults					
<b>High Risk:</b> 203) Loss/severe reduction of key public transport route(s) - e.g. no longer commercially viable, change to bus operator strategic direction					
<b>High Risk:</b> 204) Dorset Travel fails to procure and implement a suitable replacement for its core transport management system (Trapeze) by Nov 2020					
<b>Response:</b> Procuring a more effective replacement for is key to any service efficiencies, savings and improvements in future. We have no further options for extending the current contract.					
<b>High Risk:</b> 205) Unviability of school bus services caused by failure to cut back overhanging trees and vegetation along routes (e.g. those operated by First Wessex)					
<b>Response:</b> Facilitate communication and cooperation between the provider and DC’s Highways and Arboriculture teams					
<b>High Risk:</b> 206) Changes to legislation around community transport groups operating under Section 19 and Section 22 licences could significantly affect the viability of community transport in future					
<b>Response:</b> Difficult to define clearly now until the results and timeframes from the judicial review are made public					

<u>Place Based Services – ENVIRONMENT &amp; WELLBEING</u>					
		Likelihood			<b>Outstanding Returns:</b> 140) Failure to adapt services and communities to the impacts of a changing climate
		L	M	H	
Impact	H	4	1		
	M	2			
	L	1			
<b>High Risk:</b> 140) Failure to adapt services and communities to the impacts of a changing climate					
<b>Response: No Dorset Council Management Update</b> Dec 2019 - Response to the comprehensive climate change risk assessment has not been significantly responded to, other than within Dorset Highways and Public Health. The Dorset Low Carbon Economy Programme (DLCEP, worth £6.4m Jan 2018 - Dec 2020, funded from EU European Structural & Investment Funds) has begun. DCC had major role to play in developing LNP's Climate Change Position Statements on both Climate Change Adaptation and Mitigation in 2017. As a result of this DCC is now working closely with the Dorset LNP to develop and deliver a Climate Change Adaptation Seminar in early 2018 to get buy in from key partners to develop a Climate Change Adaptation Framework for the County (and B & P) which will look at the latest UKCP 18 scenarios for Dorset, the latest recognised national climate change risks as they apply to Dorset, other local risks and highlight the key adaptation actions required by different players across the Dorset sub region.					

<u>Place Based Services – COMMUNITY &amp; PUBLIC PROTECTION</u>					
		Likelihood			<b>Outstanding Returns:</b>
		L	M	H	
Impact	H	6	1		
	M	6	10		
	L	12	1		
<b>High Risk:</b> 190) Significant Health and Safety incident / accident investigation and subsequent prosecution taking significant officer time away from normal duties resulting in lack of resource and risk to public health along with significant legal costs for the council.					
<b>Response:</b> As required staff who are managing a significant case will have other statutory duties passed to team members who will prioritise work to concentrate on high risk premises. Further Action - Ensure that staffing numbers and capacity is enough to carry out significant investigation work without impacting on other statutory work. Working with Trading Standards on proceeds of crime action. Ensure enough resource for legal support as appropriate.					

<u>Place Based Services – WASTE &amp; OPERATIONS</u>					
		Likelihood			<b>Outstanding Returns:</b>
		L	M	H	
Impact	H	3	1	1	
	M	2			
	L				
<b>High Risk:</b> 62) Traffic Commissioner Revoking, Curtailing, Suspending or Restricting DCC's Operators Licence (Goods and/or Passenger Carrying Operators Licence)					
<b>Response:</b> Whilst the Council's Risk Compliance Score remains Green, a targeted inspection from the Traffic Commissioners has highlighted several improvements required. This has prompted an audit of our fleet operations (undertaken by the Freight Transport Association) and a resulting action plan which has been submitted to the Traffic Commissioner. A failure to demonstrate improvement risks the O Licence being revoked, curtailed, suspend or restricted, which would impact significantly on our ability to deliver critical services as well as severe reputational damage. The Executive Director for Place is receiving monthly compliance reports. Further actions -Action plan has been submitted and accepted by the Office of the Traffic Commissioner for the Goods licence. The Office of the traffic Commissioner has granted a period of 3 months grace on the PSV licence for a named transport manager to be added to the licence. "					

<b>Place Based Services – WASTE &amp; OPERATIONS (Cont'd)</b>			
<b>High Risk:</b> 83) PUWER Regulations - non-compliance of PUWER Regulations (H&S Provision and Use of Work Equipment Regulations 1998)			
<p><b>Response:</b> There is a clear visual view to identify if individual plant items comply with the control measures. Each depot has a tagging colour scheme poster available to all operators. The system is simple and effective. Fleet will continue to monitor and audit the process to ensure compliance is consistent and maintained, with support from H&amp;S;</p> <ul style="list-style-type: none"> <li>• Countryside service is to start the first round of PUWER checks in February using the new process;</li> <li>• Highways have completed the first round of 6 monthly checks in October and no items are outstanding;</li> <li>• Highways compliance is excellent and is totally compliant. Countryside are struggling currently, but Fleet are aware of additional resources to catch up with the situation. Admin resources have been trained to implement the documents that are currently sat on desks. Fleet wave is showing 299 records from the Countryside service awaiting completed PUWER inspection sheets.</li> <li>• Emails sent out explaining the current risk to the authority;</li> <li>• Countryside and grounds are increasing the number of staff to carry out PUWER checks. Fleet Service to instruct on the practical checks and supply training on the Fleet Wave system to the nominated staff;</li> <li>• The risk has changed to red due to the current situation. Audit of the system has resulted in 381 items of Countryside plant waiting for a PUWER sheet and the Fleet wave system to be updated. 80 items for Highways also in the same situation. The system was 95% compliant, but due to the current situation this has greatly reduced to 55% compliant. Update - the outstanding PUWER inspections have been completed from the previous scheduled programme. The next programmed 6-monthly PUWER inspections is currently in operation and will report on outstanding items not actioned next month.</li> </ul>			

<b>Place Based Services – COMMERCIAL WASTE &amp; STRATEGY</b>					
		Likelihood			<b>Outstanding Returns:</b>
		L	M	H	
Impact	H	2	4	2	
	M	1	1	1	
	L				
<b>High Risk:</b> 154) Failure to achieve capital and revenue budget / savings targets for the MTFP					
<p><b>Response:</b> Continue to promote educational campaigns, such as, 'Right Stuff, Right Bin' to maintain and increase material capture rates for recycling and composting. Use the new in-cab BARTEC system to help further drive efficiencies from the existing Recycle for Dorset Service. Maintain project register and continue to work on savings projects, such as changing collection points, working patterns and infrastructure (invest to save). Move ahead with the development of a central strategic waste transfer station to avoid an uncompetitive situation for disposal/treatment prices in Dorset. This will also build in contingency for DWP as our landfill sites close and our disposal options become increasingly limited. Ensure greater transfer capacity is at the heart of infrastructure programme. Work to reduce waste arisings and residual waste through educational campaigns (Right Stuff, Right Bin). Work with contractors to ensure contingency plans in place for Brexit. Risk of second wave or local lockdown of Covid-19. Not being able to deliver campaigns</p>					
<b>High Risk:</b> 208) Gaining sites and planning to provide infrastructure leads to failure to deliver service					
<b>Response:</b> Further action - Strategic case business planning being developed for infrastructure					
<b>High Risk:</b> 209) Change of government policy through the new DEFRA national waste strategy could impact what, and how, waste is collected and increasing costs					
<b>Response:</b> Need to respond to further consultations when they are published- next consultations have been delayed until early 2021. These documents will give more details of minimum collection standards which will be enforced nationally.					

<b>Place Based Services – COMMERCIAL WASTE &amp; STRATEGY (Cont'd)</b>
<b>High Risk:</b> 210) Commodity prices for recycle leads to increase in costs
<b>Response:</b> Ensure continued investment in communication and educational resources. Focus on reducing contamination to improve basket price.
<b>High Risk:</b> 211) Failure to maintain high recycling and waste therefore diverted to more expensive disposal
<b>Response:</b> Ensure continued investment in communication and educational resources.
<b>High Risk:</b> 293) Failure to secure capital to develop and maintain waste infrastructure
<b>Response:</b> Development of waste management centre (HRC and transfer facility) in Blandford and the need to address the lack of waste management infrastructure in the East. Improvement in depot infrastructure to enable further income generation activities and services.
<b>High Risk:</b> 294) Increase in cost of residual waste from HRC's
<b>Response:</b> Recent market testing indicates that there's a large gap in what we're currently paying in our contract and the market rate. ~£40-£50/tonne difference on 13,000 tonnes of waste. Short term risk in contract and long-term risk out of contract. Contract ends August 2024.

<b>CUSTOMER SERVICES, LIBRARIES &amp; ARCHIVES</b>					
		Likelihood			<b>Outstanding Returns:</b>
		L	M	H	
Impact	H	2			
	M	3	1		
	L	2	1		
<b>High Risk:</b> No High Risks					

<b>GROWTH &amp; ECONOMIC REGENERATION</b>					
		Likelihood			<b>Outstanding Returns:</b>
		L	M	H	
Impact	H	1	1		
	M	1	4	1	
	L				
<b>High Risk:</b> 228) Changing funding landscape and ability to secure investment funding for Dorset					
Response: Further actions - Collation and evaluation of evidence and preparation of schemes and business cases					
<b>High Risk:</b> 231) Securing enough and appropriate skills and resources through restructuring of service to deliver DC economic growth strategy					
<b>Response:</b> Informed restructuring process					

## ASSETS & PROPERTY

		Likelihood			Outstanding Returns:
		L	M	H	
Impact	H		2	1	
	M	1	2		
	L		1		
<b>High Risks:</b> 138) Breach of health and safety at an occupied premise (Directorate Duty Holder)					
<p><b>Response:</b> Many sites now have a nominated Premises Responsible Person. However, restructuring of services and adoption of Corporate Landlord model has reduced local understanding of the Directorate Duty Holder Strategy. The strategy is ratified and DDH nominees have been identified. Grenfell Tower fire has implicated the need for a review of fire safety and specific review of individual property risks. Comply with DCLG/DFES requests for information/ complete our own fire risk reviews additionally and implement actions arising.</p>					
<b>High Risk:</b> 201) Climate change effects on sea level rise and uncertainty could lead to low lying areas such as Weymouth being uneconomic to defend					
<p><b>Response:</b> Latest inter-governmental guidance is used when designing coast defences, design life of 50 years. Shoreline Management plan review – agree to use managed realignment of coastline in areas. May have to design coastal defences for 100 years life and accept increased costs of doing so. May have to relocate coastal communities. Work with, not against, nature. Further bids to Defra and others to increase funding above EA thresholds for erosion management and flood defence works. EA grant calculator update expected spring 2020, potential for increased funding to protect infrastructure and economic activity. Funding currently mainly based on numbers of homes protected”</p>					
<b>High Risk:</b> 202) Loss of professional engineering staff who provide advice could lead to poor decision making and potentially leave the Council liable for insurance claims if assets are not maintained or the appropriate response to emergency situations given					
<p><b>Response:</b> There are many long serving staff currently retained within DC who enjoy the work and are committed to providing a service. Recruitment methods ensure that appropriate candidates are recruited – although there is a national shortage of qualified Chartered Engineers. Further actions - Increase resilience by formation of coastal partnership with BCP Council to share and grow staff resources with ability to source greater grant income. DC recognise importance of professional qualifications and need for staff to be members of appropriate institutions – pay for relevant subscription fees, allow qualifications on email signatures etc</p>					