



# Place and Resources Scrutiny Committee

**Date:** Tuesday, 13 September 2022  
**Time:** 10.00 am  
**Venue:** Council Chamber, County Hall, Dorchester, DT1 1XJ

## Members (Quorum 3)

Shane Bartlett (Chairman), Andy Canning (Vice-Chairman), Rod Adkins, Jon Andrews, Piers Brown, Barry Goringe, Mark Roberts, David Shortell, David Tooke and Bill Trite

**Chief Executive:** Matt Prosser, County Hall, Dorchester, Dorset DT1 1XJ

For more information about this agenda please contact Democratic Services Meeting Contact 01305 252209 / [lindsey.watson@dorsetcouncil.gov.uk](mailto:lindsey.watson@dorsetcouncil.gov.uk)

Members of the public are welcome to attend this meeting, apart from any items listed in the exempt part of this agenda.

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## Agenda

Item		Pages
1.	<b>APOLOGIES</b>  To receive any apologies for absence.	
2.	<b>MINUTES</b>  To confirm the minutes of the meeting held on 5 July 2022.	5 - 10
3.	<b>DECLARATIONS OF INTEREST</b>  To disclose any pecuniary, other registrable or non-registrable interests as set out in the adopted Code of Conduct. In making their disclosure councillors are asked to state the agenda item, the nature of the interest and any action they propose to take as part of their declaration.  If required, further advice should be sought from the Monitoring Officer in advance of the meeting.	

#### **4. CHAIRMAN'S UPDATE**

To receive any updates from the Chairman of the Place and Resources Scrutiny Committee.

#### **5. PUBLIC PARTICIPATION**

Representatives of town or parish councils and members of the public who live, work or represent an organisation within the Dorset Council area are welcome to submit up to two questions or two statements for each meeting. Alternatively, you could submit one question and one statement for each meeting.

All submissions must be emailed in full to [lindsey.watson@dorsetcouncil.gov.uk](mailto:lindsey.watson@dorsetcouncil.gov.uk) by 8.30am on 8 September 2022.

When submitting your question(s) and/or statement(s) please note that:

- no more than three minutes will be allowed for any one question or statement to be asked/read
- a question may include a short pre-ambule to set the context and this will be included within the three minute period
- please note that sub divided questions count towards your total of two
- when submitting a question please indicate who the question is for (e.g. the name of the committee or Portfolio Holder)
- Include your name, address and contact details. Only your name will be published but we may need your other details to contact you about your question or statement in advance of the meeting.
- questions and statements received in line with the council's rules for public participation will be published as a supplement to the agenda
- all questions, statements and responses will be published in full within the minutes of the meeting.

[Dorset Council Constitution](#) Procedure Rule 9

#### **6. QUESTIONS FROM MEMBERS**

To receive questions submitted by councillors.

Councillors can submit up to two valid questions at each meeting and sub divided questions count towards this total. Questions and statements received will be published as a supplement to the agenda and all questions, statements and responses will be published in full within the minutes of the meeting.

The submissions must be emailed in full to

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[Dorset Council Constitution](#) – Procedure Rule 13

**7. HOUSING DELIVERY AGAINST TARGETS** 11 - 20

To consider a report of the Local Plan Team Leader.

**8. RISK MANAGEMENT - PLACE AND RESOURCES** 21 - 54

To consider a report of the Risk and Resilience Officer.

**9. PLACE AND RESOURCES SCRUTINY COMMITTEE FORWARD PLAN** 55 - 60

- 1) To review the Place and Resources Scrutiny Committee Forward Plan.
- 2) Monitoring of the Performance Dashboard – members of the committee to flag up any areas for potential review:

**Operational – Corporate:** Councillors Piers Brown, Barry Goringe and David Shortell

**Operational – Place:** Councillors Mark Roberts, David Tooke and Jon Andrews

**HR:** Councillors Rod Adkins, Andy Canning and Bill Trite

*The Chairman, Councillor Shane Bartlett, maintains an overview of all the above areas.*

**10. CABINET FORWARD PLAN AND DECISIONS** 61 - 74

To review the Cabinet Forward Plan and decisions taken at recent meetings.

*The Cabinet Forward Plan and decisions of recent meetings are provided to members of the Place & Resources Scrutiny Committee to review and identify any potential post decision scrutiny to be undertaken, by scheduling items into the forward plan to review after a period of implementation.*

**11. URGENT ITEMS**

To consider any items of business which the Chairman has had prior notification and considers to be urgent pursuant to section 100B (4) b) of the Local Government Act 1972. The reason for the urgency shall be recorded in the minutes.

**12. EXEMPT BUSINESS**

To move the exclusion of the press and the public for the following item in view of the likely disclosure of exempt information within the meaning of paragraph 3 of schedule 12 A to the Local Government Act 1972 (as amended).

The public and the press will be asked to leave the meeting whilst the item of business is considered.

**13. Coombe House Review of Phase 1 Business Case - Exempt** 75 - 80

*Para 3*

To consider an exempt report of the Corporate Director – Assets and Property.



## **PLACE AND RESOURCES SCRUTINY COMMITTEE**

### **MINUTES OF MEETING HELD ON TUESDAY 5 JULY 2022**

**Present:** Cllrs Shane Bartlett (Chairman), Piers Brown, Barry Goringe, Mark Roberts and David Tooke

**Apologies:** Cllrs Andy Canning, Jon Andrews, David Shortell and Bill Trite

**Also present:** Cllr Laura Beddow, Cllr Cherry Brooks, Cllr Ray Bryan, Cllr Les Fry, Cllr Simon Gibson, Cllr Nocturin Lacey-Clarke, Cllr Jane Somper and Cllr Kate Wheller

**Officers present (for all or part of the meeting):**

John Sellgren (Executive Director, Place), Jonathan Mair (Director of Legal and Democratic and Monitoring Officer), Jack Wiltshire (Head of Highways) and Lindsey Watson (Senior Democratic Services Officer)

#### **CHAIRMAN'S OPENING REMARKS**

The Chairman welcomed all to the meeting. He noted that due to a technical issue, a livestream of the meeting would not be available.

In addition, the Chairman noted that there would be an adjournment of the committee between 10.45am and 11.10am to allow committee attendees to attend an NHS, Social Care and Frontline Workers' Day Ceremony at County Hall, to show gratitude to all NHS, Social Care staff and Frontline Workers' and remembrance of those who had lost their lives during the Coronavirus Pandemic.

#### **APPOINTMENT OF VICE-CHAIRMAN FOR THE MEETING**

The Chairman noted that the Vice-chairman had sent his apologies for the meeting and therefore the committee would need to elect a Vice-chairman for the meeting.

It was proposed by M Roberts seconded by B Goringe

#### **Agreed**

That D Tooke be elected Vice-chairman for the meeting.

#### **13. Minutes**

The minutes of the meeting held on 26 May 2022 were confirmed as a correct record and signed by the Chairman.

**14. Declarations of interest**

There were no declarations of interest.

**15. Chairman's Update**

The Chairman gave an update on the Land Charges Service, as set out below, which had been provided by the Head of Legal Services:

We received an update about Land Charges Service response times at our May meeting.

I have received a further and progress update, as follows:

- During May the response times reduced to an average of 16 working days, down from 17 working days in April, and despite the impact of Bank Holidays and half term holiday staff absence.
- The response time published on the Dorset Council website is due to be reduced to from 20 to 18 average working days and will continue to be updated.
- The number of search requests received since March have increased from search numbers earlier in the year. In May numbers of search requests increased again. In February they were 721, in March 1029, in April 857 and in May 1018. These search numbers remain higher than pre-pandemic and May is at the same level as May 2020, and May 2021 when the stamp duty holiday was in place.
- With continued effort of the team and target setting the rate of improvement experienced to date is expected and planned to continue in the coming months.

**16. Public Participation**

There were no questions or statements from members of the public or local organisations.

**17. Questions from Members**

There were no questions from councillors.

**18. Maintenance of principal and non-principal roads and the approach to funding**

Following their review of information in the Council's performance dashboard, the committee had asked for a report on issues around the maintenance of principal and non-principal roads and the approach to funding in this area.

The committee considered the issues arising from the report and discussion was held in the following areas:

- Funding issues including lobbying that was taking place with Government to explain the issues linked to being a rural area and to try and improve the funding position for Dorset
- Benchmarking undertaken and sharing of best practice
- Issues around the identification and maintenance of gullies was discussed and links to flooding. It was noted that the Highways Asset Maintenance strategy provided a proportionate response to those issues
- A proactive highways maintenance team established could potentially take on areas such as road sign cleaning, where capacity was available
- Discussions were being held with town and parish councils to identify where they could support work in this area, subject to risk assessment
- The Highways Asset Maintenance strategy took traffic data into account and an inspection regime of roads was also undertaken.

At 10.44am, the Chairman announced that the committee would adjourn to allow those present to attend the NHS, Social Care and Frontline Workers' Day Ceremony.

The committee reconvened at 11.19am.

Discussion continued with points raised as follows:

- The potential impact of a five-year funding deal was considered
- Issues around maintenance and liability for potholes
- Computer modelling that could be done to predict future degradation of roads and potential intervention
- Issues around skid resistance
- Reference to the impact of inflation in this area – the risk was mitigated through contingency in the budget
- The council owned most fleet and plant equipment used although may hire in equipment for specific projects – there was a programme of regular inspection and replacement of equipment
- Materials such as hardcore could be recycled into other projects so would not be disposed of into landfill
- Issues around performance monitoring were considered.

The Chairman provided a summary of the key points arising from the discussion as follows:

- The need to monitor gully clearance and that this should include liaison between the community highways officers and parish councils to ensure the location of gullies were identified
- The committee noted the funding position in this area over a number of years and highlighted the need to continue the lobbying of Government for additional funding – the committee supported the work being undertaken and discussions taking place with local MPs in this area

- Concerns expressed over bus service provision linked to the rural nature of the area and accessibility issues and the need to find a solution
- Concern expressed over the future maintenance of cycle ways and the formula used to determine
- The need to ensure the Council had the right types of vehicles for works required
- Further investigation suggested as to whether items such as the cleaning of signs could be undertaken by the Highways proactive response team, where there was capacity.

Further information was requested as follows:

- Further information to be sought relating to paragraph 4.30 'Street Lighting' in Appendix 2 to the report, and in respect of missing information on performance indicators.

The Chairman thanked officers for the report and asked that thanks be passed on to all officers working in this area.

#### 19. **Performance Scrutiny**

The committee considered issues arising from the Performance Dashboard that had been set up for the monitoring of performance for areas covered by the remit of the committee. A link to the performance dashboard is provided below for information:

[Place and Resources Scrutiny Committee Performance Dashboard](#)

The following points were noted:

- Issues around staff sickness and turnover were discussed and further information would be sought
- The committee would receive a further update on the position with the Land Charges service at their next meeting
- An item on 'Delivery of new homes across Dorset' would be considered at the September meeting of the committee
- The indicator relating to Subject Access Requests was reported on a monthly basis and therefore no data was available this month
- The position with reporting on PL22 (planning applications overturned at appeal) would be confirmed following the meeting.

#### 20. **Place and Resources Scrutiny Committee Forward Plan**

Councillors reviewed the committee's forward plan and noted items to be considered at forthcoming meetings. The Senior Democratic Services Officer noted two items that had been added to the forward plan since it had been published with the agenda:

- Delivery of new homes across Dorset – 13 September 2022

- Review of Summer demand operations 2022 – 26 January 2023 (in addition, issues around the budget in this area could be reviewed by the committee during the budget setting process)

Other points were raised as follows:

- An update was to be provided to the People and Health Scrutiny Committee at an appropriate time, in respect of Coombe House. There may be a wider piece of work for both scrutiny committees to undertake at a later date
- The Chairman asked that a report on the wider business case relating to the Coombe House site be brought to committee. The Executive Director of Place would discuss this with the Portfolio Holder for Economic Growth, Assets and Property.

**21. Cabinet Forward Plan and Decisions**

The committee noted the Cabinet Forward Plan and decisions taken at recent meetings, which the committee could use to identify potential areas for post decision review.

The Chairman noted that the committee may wish to look at areas around the Council Plan and financial monitoring.

**22. Urgent items**

There were no urgent items.

**23. Exempt Business**

There was no exempt business.

**Duration of meeting:** 10.00 am - 12.27 pm

**Chairman**

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## Place and Resources Scrutiny Committee 13 September 2022 Housing Delivery against Targets

### For Review and Consultation

**Portfolio Holder:** Cllr D Walsh, Planning

**Local Councillor(s):** All

**Executive Director:** J Sellgren, Executive Director of Place

Report Author: Terry Sneller  
Title: Strategic Planning Manager  
Tel: 01305 838224  
Email: terry.sneller@dorsetcouncil.gov.uk

**Report Status:** Public

**Brief Summary:** Factual report comparing the rate of delivery of new homes against targets in adopted local plans.

**Recommendation:**

That members consider the report, note its relevance in future decisions about the local plan, and agree whether any further information or action is required at this stage.

**Reason for Recommendation:** Information requested by members of the Committee

1. **Report**

- 1.1 At the 8 March 2022 meeting of the Place and Resources Scrutiny Committee, information on the delivery of homes against targets was reviewed as part of the consideration of the Performance Dashboard. As part of this consideration, the Committee noted *“a performance indicator relating to ‘Overall – Number of homes built in Dorset Council area’ and noted that the overall delivery of homes across Dorset does not meet the adopted local plan targets.”*

- 1.2 Committee members wished to understand the reasons for these targets not being met and explore if there were actions that the Council could take to encourage more homes to be built. This report brings further information for consideration and highlights the actions that officers are taking to try to increase the rate of delivery of homes.

### **Adopted local plan housing targets**

- 1.3 Local plans are used as the basis for making planning decisions across the Council area. They are adopted after an examination in public where the Planning Inspectorate consider whether the local plan can be found sound and therefore should be adopted.
- 1.4 Part of this examination includes detailed evaluation of the appropriate housing delivery target for the area. The examination will also consider whether the policies and allocations within the local plan will deliver sufficient homes to enable the target to be delivered.
- 1.5 The legacy Dorset local authorities, from before Dorset Council was formed, had adopted their local plans at different times, all with housing targets for their area. These targets are currently used for monitoring the relevant performance indicator.
- East Dorset and Christchurch Joint Local Plan<sup>1</sup>
    - Adopted April 2014
    - Housing Target: 566 dwellings per annum
  - North Dorset Local Plan
    - Adopted January 2016
    - Housing Target: 285 dwellings per annum
  - Purbeck Local Plan
    - Adopted November 2012
    - Housing Target: 120 dwellings per annum
  - West Dorset, Weymouth & Portland Joint Local Plan
    - Adopted October 2015
    - Housing Target: 775 dwellings per annum
- 1.6 Since the legacy authority local plans were adopted, National Policy has introduced a revised standard approach for establishing the housing target

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<sup>1</sup> The joint East Dorset and Christchurch Local Plan covered the legacy authority areas of East Dorset District Council and Christchurch Borough Council. The East Dorset District area now forms part of Dorset Council whilst the Christchurch Borough area forms part of the Bournemouth, Christchurch and Poole Council area. The housing target was a joint target covering both of these areas.

for local plans. This Standard Methodology uses household projections and affordability ratios to calculate the housing target for an area. All of the legacy local plans were in the process of being reviewed at the point that Dorset Council was formed. These reviews were aiming to reflect the Standard Methodology target.

East Dorset area

- Standard Methodology Target (2022): 458 dwellings per annum

North Dorset area

- Standard Methodology Target (2022): 377 dwellings per annum

Purbeck area

- Standard Methodology Target (2022): 186 dwellings per annum

West Dorset, Weymouth & Portland area

- Standard Methodology Target (2022): 811 dwellings per annum

**Dorset Council area**

- TOTAL Standard Methodology Target (2022): 1,831 dwellings per annum

**Delivery of homes**

- 1.7 Monitoring of delivery of new homes against these targets is undertaken on an annual basis through site surveys. These surveys are undertaken with a base date of April each year and cover all sites that create residential units, including those specific sites allocated through local plans.
- 1.8 Delivery across Dorset has been varied over recent years and is dependent upon a range of factors.

East Dorset area new homes delivered

- 2016/17 .....124
- 2017/18 .....312
- 2018/19 .....289
- 2019/20 .....499
- 2020/21 .....376

North Dorset area new homes delivered

- 2016/17 .....142
- 2017/18 .....159
- 2018/19 .....223
- 2019/20 .....96
- 2020/21 .....201

Purbeck area new homes delivered

- 2016/17 .....89
- 2017/18 .....124
- 2018/19 .....73
- 2019/20 .....148
- 2020/21 .....131

West Dorset, Weymouth & Portland area new homes delivered

- 2016/17 .....772
- 2017/18 .....633
- 2018/19 .....925
- 2019/20 .....697
- 2020/21 .....671

**Dorset Council area new homes delivered TOTAL**

- 2016/17 ..... 1,127
- 2017/18 ..... 1,228
- 2018/19 ..... 1,510
- 2019/20 ..... 1,440
- 2020/21 ..... 1,379

**Development sites in the pipeline**

- 1.9 As part of the annual monitoring of housing sites, the number of homes with planning consent or allocated in a local plan, which are not yet complete is recorded. Across Dorset, there are currently 13,007 homes on sites that have either been allocated in local plans or have planning permission, with 2,130 of these being under construction as at April 2021.
- 1.10 Delivery of housing on these sites is often difficult to predict. However, each year a five-year housing land supply report is published for each of the adopted local plan areas which seeks to predict delivery of new homes over the next five year period. These reports can be viewed on the relevant page of the council's website:

<https://www.dorsetcouncil.gov.uk/-/a-quick-guide-to-local-plans-in-dorset>

**Reasons for delivery not keeping pace with targets**

- 1.11 The housing market is complex, and the delivery of homes is dependent upon a range of factors. The housing market in different parts of Dorset have very different characteristics and different factors come in to play to

differing extents in each area. Factors that influence the delivery of homes include:

- The quantum of land available for the delivery of new homes. Making more land available for development will increase the supply of homes as more sites will be being developed at any one time.
- The characteristics of the supply of sites available for the delivery of new homes. Large development sites can take a significant time to reach the stage where homes are delivered due to site-based complexities. A mix of sites – small, medium and large helps to alleviate this issue with smaller sites often being delivered more quickly.
- The viability of development. If the costs associated with the development of a site are too great, the development won't be delivered as the return for the developer is squeezed. Higher costs can be associated with site characteristics (such as brownfield/contaminated land or the need for additional infrastructure) or associated with policy requirements (such as affordable housing requirements).
- The characteristics of the local housing market. Some parts of Dorset have a very high demand for housing with attractive rural villages and popular coastal areas often in high demand. This demand creates areas where developers are keen to develop however these are not necessarily the most suitable areas for development.

The housing market in some areas also has a limited capacity to absorb new homes without having a significant impact on sales value which would then negatively impact on development viability.

- The ownership of developable sites. Planning consent is secured on a site for different purposes. Individuals sometimes secure consent as an investment, land promoters invest in sites in order to sell to a developer, developers hold a supply of sites as part of their business planning (maintaining a supply of sites to deliver over a 5 or 10 year business plan period).
- The capacity of active developers. The size of developers is a limiting factor in rates of delivery. A range of developers, both small scale and larger national house builders would enable delivery at different rates.

- The characteristics of developers who are active in an area.  
Developers can be reluctant to take on sites in part of Dorset as the logistics of setting up and managing a site away from their normal area of operation can result in increased costs.
  - Other external factors: Over the past two years, the delivery of homes was impacted by the Covid-19 pandemic with many building sites being mothballed for a period of time. Also changes in national policy or evidence can raise issues that can impact the development of sites – a recent example being advice from Natural England on Nutrient Neutrality.
- 1.12 Some of these factors are outside of the control of Dorset Council whereas others can be influenced by the Council.

### **Actions that Dorset Council could consider**

- 1.13 Although Dorset Council does not directly deliver homes, its actions can impact on their delivery. There are direct actions as well as indirect actions where the council can influence the delivery of homes. Some of these actions can help to ensure the rate of deliver keeps pace with targets.
- 1.14 Direct actions include:
- Granting planning consents to enable homes to be delivered – new homes cannot be delivered unless they have received planning consent.
  - Ensuring that planning processes and consultations are efficient – significant work has been undertaken to streamline the application process with a new planning database installed.
  - Ensuring that adequate pre-application engagement takes place – Dorset Council already offers a paid for pre-application process to enable early engagement on a development proposal to be given to prospective site developers. This enables any issues on a site to be considered at an early stage thereby reducing the time it takes from submission of a planning application to decision being issued.
  - Getting a local plan in place – ensuring an adequate quantum of developable housing land is available and that this supply is developable

- Building in a contingency into local plan housing provision – making an allowance for more housing than the minimum needed to meet the target increases the chances of the delivery of new housing keeping pace with the target.
- Ensuring that policy requirements are not making development unviable – range of policies which can dissuade developers from developing
- Work proactively to overcome barriers to delivery – A number of issues can hinder the development of sites and it is important to work towards the delivery of key sites to help unlock their potential – actions can include relaxing of affordable housing requirements or loan funding to support delivery.
- Working to address strategic issues – development in some parts of Dorset is restricted by environmental issues. To address these, a strategic approach to mitigation is often required. Examples of this include flood risk in Weymouth town centre, heathland mitigation, and nutrient neutrality.
- Ensuring a good mix of sites are available – Relying on a small number of large development sites is unlikely to enable the housing targets to be met. A range of site sizes and characteristics (small, medium and large, green field and brownfield) will give the best opportunities for meeting housing targets.
- Consider diversification of the development sector when releasing Council owned sites – there will be opportunities through the release of council owned development sites to encourage new entrants into the development sector. An example of this would be consideration of the self and custom build sector and specifically targeting small & medium sized builders.
- Secure planning consent on Council owned sites – securing planning consent on Council owned sites would give greater certainty as to what would be delivered on a site, speed up the development process and would deliver higher land value when sold.
- Continue to work with Community Land Trusts – working proactively with local communities to deliver housing in their area is a positive way of delivering small numbers of new homes to meet local aspirations.

#### 1.15 Indirect actions include

- Engaging with the development industry to encourage developers to operate in Dorset – having a larger number of developers working in Dorset will increase the overall supply of homes by diversifying the local market
- Work closely with Registered Providers to deliver housing sites in their control – using funds from Homes England and secured through off-site contributions to support Registered Providers in delivering affordable homes.
- Promoting new methods of home construction – off-site construction of homes and other alternative types of construction can be faster to deliver than conventionally built homes.
- Continue to work closely with Homes England – working with Homes England will enable their expertise and advice to be brought to Dorset to help deliver homes, not only on problematic sites but also potentially on large sites/new settlements.
- Communication – communicating widely with the public, agents and developers about the benefits of new homes will help with raising Dorset's profile as a place open to development.

#### **Implications**

1.16 Members of the committee have valid reasons to be concerned that the delivery of homes is not meeting the target. Despite the fact that a shortfall in the delivery of homes means that homes are not being provided for those in need in Dorset, there are implications for how planning decisions are made.

1.17 When housing delivery falls to 75% below targets, the presumption in favour of sustainable development in national policy applies<sup>2</sup>. The presumption also applies when the supply of deliverable housing land is less than the equivalent of five-years of the target.

1.18 The presumption means that the weight that can be given to the policies in adopted local plans is reduced when making planning decisions. This means that development may take place in locations where, if the supply

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<sup>2</sup> National Planning Policy Framework, 2021 – Paragraph 11.

and delivery of homes had kept place with the targets, it would normally have been refused.

**2. Financial Implications**

There are no financial implications arising from this report.

**3. Climate Implications**

There are no climate implications arising from this report

**4. Well-being and Health Implications**

There are no well-being and health implications arising from this report

**5. Other Implications**

There are no other implications arising from this report

**6. Risk Assessment**

- 6.1 There are no decisions to be made as a result of this report and therefore no risk implications.

Current Risk:

Residual Risk:

**7. Equalities Impact Assessment**

This report is for information only and therefore an equalities impact assessment has not been undertaken. There are not considered to be any equalities implications from this report.

**8. Appendices**

None

**9. Background Papers**

None

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## Place and Resources Scrutiny Committee 13 September 2022 Risk Management – Place and Resources

### For Review and Consultation

**Portfolio Holder:** Cllr S Flower, Leader of the Council

**Executive Director:** J Mair, Director of Legal & Democratic

Report Author: David Trotter  
Title: Risk and Resilience Officer  
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Report Author: Marc Eyre  
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**Report Status:** Public

**Brief Summary:** Dorset Council operates a risk register to ensure that the key risks are monitored and reviewed, with controls identified to manage risk down to an acceptable level. Risk owners (a Service Manager or Head of Service) are aligned to each.

Previously, risk update reports have been presented to the Audit and Governance Committee. However, the focus of that committee is to ensure that the risk management process is working effectively rather than scrutinise the management of the risks. The detail of the risks and proposed response will be of interest to the Scrutiny Committees, providing assurance that key risks are managed and potentially identifying future areas of focus for the forward plan.

The supporting appendix contains details of those risks identified by Risk Owners as “High” or “Extreme” and is supported by a management update statement.

**Recommendation:**

That the Committee notes and reviews the key risks identified in the risk registers.

**Reason for Recommendation:**

To ensure that the Council's risk management methodologies remain current, proportionate, and effective in enabling risk informed decisions to be made.

1. **Financial Implications**

No budget implications specifically, although unmanaged risks may pose a threat to the Council's financial stability. Identified risk improvement measures may also have direct budget implications, each of which need to be subject to a cost/benefit analysis prior to implementation.

2. **Climate Implications**

No climate implications specifically, but climate risks are addressed within the risk register framework.

3. **Well-being and Health Implications**

No well-being and health implications specifically, but well-being and health risks are addressed within the risk register framework.

4. **Other Implications**

None

5. **Risk Assessment**

Having considered the risks associated with this decision; the level of risk has been identified as:

Current Risk: High

Residual Risk: High

The risk level is identified as High as Appendix B provides an update on those High-level risks which are currently identified within the Risk Register

6. **Equalities Impact Assessment**

There are no equalities issues arising directly from this report

7. **Appendices**

Appendix A - Risk Management Exception - Quarterly Update Report

8. **Background Papers**

[Risk Dashboard - Power BI](#)

Note – currently this link is only accessible internally to Dorset Council councillors and officers

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# Place and Resources Scrutiny Committee



Risk Management Exception - Quarterly Update Report

## Extreme and High-Level Risks

August 2022

## Contents

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Why is this risk report important?	2	SUMMARY of PERFORMANCE	7
Risk Management Road Map	3	Corporate Services	8
Effective Management	3	Place Directorate	19

### Introduction

This update report is a summary that describes the potential risks that Dorset Council face. The report addresses risks, which have the potential for severe consequences, and emerging risks that may become problematic in the future. The report highlights:

- How effective Dorset Council is at handling potential risks
- What changes are necessary to keep risk at an acceptable level
- What the updated status of corrective actions is
- What the signs of trends in the incidence of risks are

### Why is this risk report important?

Risk reports are important because they help managers and officers to better understand various risks Dorset Council is taking, whilst the provision of accurate and informative report ensures that stakeholders know of existing risks and gain knowledge to help create a plan to avoid unwanted surprises and actions. Dorset Council risks are managed through SharePoint that includes actions to minimize the risk and designates an owner who is the individual responsible for the risk. Risks are updated on a quarterly basis and the reports focus on the most severe risks (Extreme and High Level) that require corrective actions. The reports should help to create focus, such as risk action plans.

## Risk Management Road Map 2022

The Road Map helps to provide a visual way to quickly communicate our plan of work for the coming months. We feel that this is the most effective tool to give you a bird's-eye view of everything that's planned. By being more risk aware, Dorset Council will be better placed to avoid threats and take advantage of any opportunities.



### Effective Management

The Scrutiny Committees' terms of reference also include the monitoring of performance against outcomes in the Corporate Plan. There are links between scrutiny, performance, and risk and how effectively the Council is managing risk. Effective management through risk management helps to embed a culture, process and structure that is directed towards the effective management of opportunities and threats. The Annual Governance Statement (AGS) highlighted opportunities to enhance risk management and efforts have been made to increase the level of ownership, enhance the engagement of members, and update the risk registers, and update the risk training and awareness. Risk management has consequences in terms of performance, environmental and safety outcomes, and professional reputation. Risk is anything and everything that could impact upon the successful achievement of aims and objectives. Risk management is a process to identify, assess, manage, and control potential events. It is crucial that the council can prioritise potential risks so that management attention and resources can be directed towards the high-risk items.

The two-key metrics in the measurement of risk:

- **impact (or severity)** - Impact is the measure of consequences – the severity of an event should it materialise
- **likelihood (or probability)** - Probability is the associated likelihood of an event occurring during a certain period.

The overall risk score is the product of the two metrics – **Impact x likelihood**. **Risk Ranking Matrix** is used during risk assessment to define the level of risk and increase visibility of risks.

**Risk Ranking Matrix identifies the level of risk**

Once risks have been scored using the Risk Assessment Matrix, the next step is to understand what this score means and use it to inform a suitable response.

Each risk, based on its score, will be rated as either **LOW, MEDIUM, HIGH-LEVEL, OR EXTREME** and will be colour-coded according to the Risk Assessment Matrix.

The rating will determine the approach to be taken to the management of each risk and will reflect the Council’s risk appetite i.e., the level of risk the Council is willing to accept or tolerate which then dictates the level and intensity of response required.

Impact	Catastrophic	5	10	15	20	25
	Major	4	8	12	16	20
	Moderate	3	6	9	12	15
	Slight	2	4	6	8	10
	Limited	1	2	3	4	5
		Very Unlikely	Unlikely	Possible	Likely	Certain
Likelihood						

<b>Impact</b>	<b>Catastrophic</b> Score five	Multiple deaths of employees or those in the Council's care; Inability to function effectively, Council-wide; Will lead to resignation of Chief Executive and/or Leader; Corporate Manslaughter charges; Service delivery must be taken over by Central Government; Front page news story in National Press; Monetary loss over £10m
	<b>Major</b> Score four	Suspicious death in Council's care; Major disruption to Council's critical services for more than 48hrs; Noticeable impact achieving strategic objectives; Will lead to resignation of Senior Officers and/or Cabinet Member; Adverse coverage in National press/Front page news locally; Monetary loss £5m-£10m
	<b>Moderate</b> Score three	Serious Injury to employees or those in the Council's care; Disruption to one critical Council Service for more than 48hrs; Will lead to resignation of Head of Service/Project Manager; Adverse coverage in local press; Monetary loss £1m-£5m
	<b>Slight</b> Score two	Minor Injury to employees or those in the Council's care; Manageable disruption to services; Disciplinary action against employee; Monetary loss £100k-£1m
	<b>Limited</b> Score one	Day-to-day operational problems; Monetary loss less than £100k

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<b>Likelihood</b>	<b>Certain</b> Score five	Reasonable to expect that the event <b>WILL</b> happen, recur, possibly or frequently
	<b>Likely</b> Score four	Event is <b>MORE THAN LIKELY</b> to occur. Will Happen, recur, but is not a persisting issue.
	<b>Possible</b> Score three	<b>LITTLE LIKELIHOOD</b> of event occurring. It might happen or recur occasionally.
	<b>Unlikely</b> Score two	Event <b>NOT EXPECTED</b> . Do not expect it to happen or recur, but it is possible that it might do so.
	<b>Very Unlikely</b> Score one	<b>EXCEPTIONAL</b> event. This will never happen or recur.

<b>Level of Risk</b>	<b>EXTREME</b> (20-25)	<p>Risks at this level sit above our tolerance and form the biggest risks.</p> <p>Risks at this level sit above the tolerance of the Council and are of such magnitude that they form the Council’s biggest risks. The Council is not willing to take risks at this level and action should be taken immediately to manage the risk.</p>
	<b>HIGH-LEVEL</b> (12-16)	<p>The Council is not willing to take risks at this level and action should be taken immediately.</p> <p>These risks are within the upper limit of risk appetite. While these risks can be tolerated, controls should be identified to bring the risk down to a more manageable level where possible.</p>
	<b>MEDIUM</b> (5-10)	<p>While these risks can be tolerated, controls should be identified to bring the risk down to a more manageable level.</p> <p>These risks sit on the borders of the Council’s risk appetite and so while they do not pose an immediate threat, they are still risks that should remain under review. If the impact or likelihood increases, then risk owners should seek to manage the increase.</p>
	<b>LOW</b> (1-5)	<p>These risks sit on the borders of the Council’s risk appetite and so while they do not pose an immediate threat, they are still risks that should remain under review. These are low level risks that could impede or hinder a achievement of objectives. Due to the low level, it is unlikely that additional controls will be identified to respond to the risk.</p> <p>Minor level risks with little consequence but not to be overlooked completely.</p>

The change in the overall risk profile demonstrates how action is taken to manage risks, to ensure the completeness of the risk register and to capture emerging risks.

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

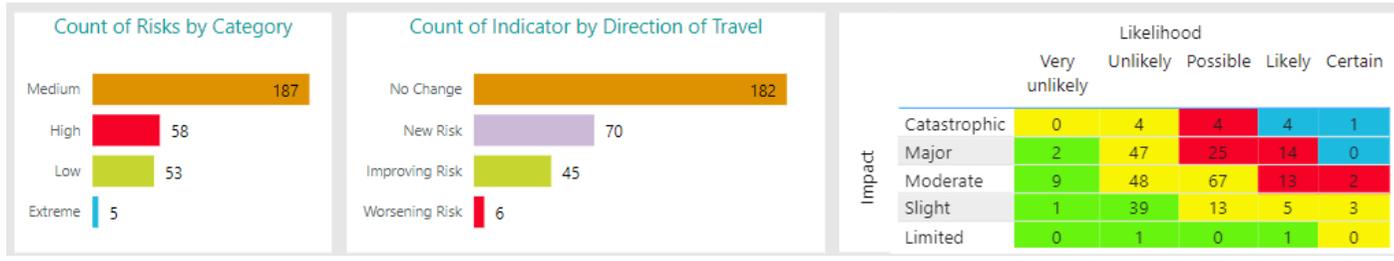
Once risks have been identified, they must be assessed in terms of how likely it is that they will materialise (likelihood) and, if they do, what might the effects be (impact).

Every risk will be considered as unique, with its own significance. Once risks have been scored using the Risk Assessment Matrix, the next step is to understand what this score means and use it to inform a suitable response.

Each risk, based on its score, will be rated as either LOW, MEDIUM, HIGH-LEVEL, OR EXTREME and will be colour-coded according to the Risk Assessment Matrix.

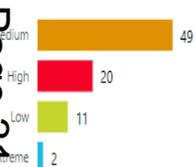
# A SUMMARY of PERFORMANCE of the risks for this reporting period August 2022

303  
No of Open Risks

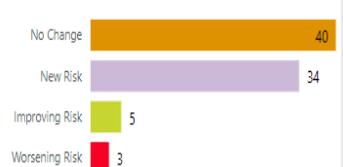


## Corporate

Count of Risks by Category



Count of Indicator by Direction of Travel

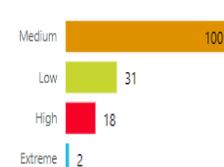


**Likelihood Matrix**

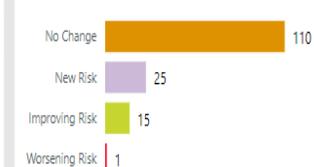
Impact	Likelihood				
	Very unlikely	Unlikely	Possible	Likely	Certain
Catastrophic	0	0	3	2	0
Major	1	12	8	2	0
Moderate	0	8	23	6	1
Slight	0	10	4	1	1
Limited	0	0	0	0	0

## Place

Count of Risks by Category



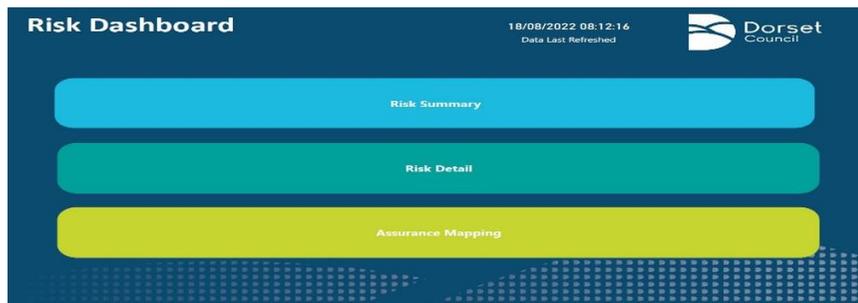
Count of Indicator by Direction of Travel



**Likelihood Matrix**

Impact	Likelihood				
	Very unlikely	Unlikely	Possible	Likely	Certain
Catastrophic	0	2	0	1	1
Major	1	30	9	5	0
Moderate	8	26	33	3	1
Slight	1	20	7	0	2
Limited	0	0	0	1	0

**Note the deadline to update risks to enable the production of this report was 4 August 2022**



**Risk Dashboard can be found [HERE](#)**

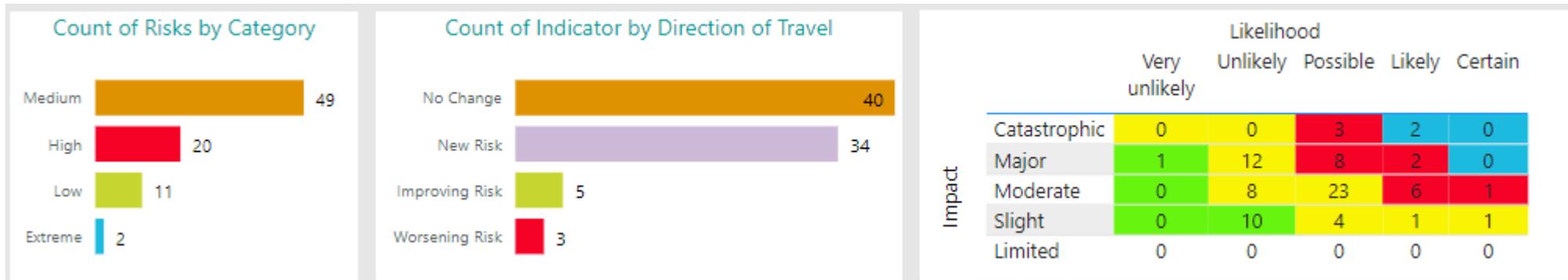
# Risk Management Update Report

## Corporate Services

### Extreme and High-level Risks

August 2022

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# Corporate Services

## **Extreme**

### **ICT Operations**

Risk 286 - Loss of ICT service or data through a cyber-attack

Risk 348 - There is a business continuity risk from delayed ICT recovery after a disruption such as a power failure

## **High-Level Risks**

### **Human Resources**

Risk 359 - There is a risk that Schools will cease buying DC HR services, leading to a reduction in income into service and associated impact on service delivery from the wider service

Risk 349 - There is a risk that the HR Manager Self-Service model is inconsistently applied across the council by managers

Risk 358 - There is a risk that the review of terms and conditions may impact on the retention of key skills within the council

### **Legal & Democratic Services**

Risk 389 - Information Compliance - Inadequate compliance with individuals rights under data protection law

Risk 393 - Information Compliance - Inadequate "data protection by design and default" culture and processes

### **Communications and Engagement**

Risk 314 - Lack of capacity to focus on core campaigns (Comms)

Risk 344 - There is a risk that teams/services/directorates breach the Equality Act 2010 by failing to assess the impact of service changes, new policies, and projects on people with protected characteristics

### Revenues and Benefits

Risk 435 - Failure to bill correctly and / or collect Council Tax

Risk 436 - Failure to bill correctly and / or collect Non-Domestic Rates

Risk 458 - BACS - failure to collect direct debits and/or make Housing Benefits payment

Risk 433 - Failure to manage the cessation of partnership with BCP council

Risk 448 - Loss of ICT service due to cyber attack

Risk 432 - Failure to recruit, train, retain key personnel

### Transformation, Innovation and Digital

Risk 326 - Failure to deliver savings from transformation - The efficiency and savings programme and associated the transformation programme are not delivered including the failure to deliver financial savings

Risk 330 - The inability to attract, retain or afford sufficient staff to deliver the organisation's ambitions

Risk 317 - Policy work slower than required (Chief Exec's)

### Corporate Management Team

Risk 377 - Failure to understand the impact of government policy changes on future service delivery

Risk 385 - Failure to deliver the medium-term financial plan leads to service cuts

## Human Resources

<b>Risk 359 - There is a risk that Schools will cease buying DCHR services, leading to a reduction in income into service and associated impact on service delivery from the wider service</b>					Direction of Travel <b>No Change</b>		Last Reviewed 27 July 2021	
Risk Owner Service Manager for HR Operations	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>						
		Impact	4	Likelihood		3	Impact	
Update - Will impact on our ability to continue to fund services delivered to DC, due to c£400k of income underpinning costs of resources in teams/roles supporting DC services. Continued increase in large MAT's, in line with Govt direction, increases likelihood that schools will convert to larger MAT's, where direct employment of HR resources is more viable/common, resulting in schools ceasing to buy into DCHR Services.								
Controls - Continued focus on service improvement and promotion of DCHR Services, including added value offered as being part of LA and specialists in supporting educational settings with people management matters.								

<b>Risk 349 - There is a risk that the HR Manager Self-Service model is inconsistently applied across the council by managers</b>					Direction of Travel <b>No Change</b>		Last Reviewed 17 August 2021	
Risk Owner Service Manager for HR Operations	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>						
		Impact	3	Likelihood		5	Impact	
Update - Will impact on individual and collective decision making leading to a range of impacts from administrative errors to lengthy and expensive employee relations disputes - Lack of clarity around role of managers in dealing with people management matters and willingness of managers to engage in this way of working, potentially influenced by experience or lack of confidence in dealing with people management matters.								
Controls - Monitoring of volume of managers working outside of current self-service model, with escalation of any patterns or areas of concern. Work underway to introduce improvements to systems and process (i.e., DES, Recruit) to simplify common tasks performed by managers.								

<b>Risk 358 - There is a risk that the review of terms and conditions may impact on the retention of key skills within the council.</b>					Direction of Travel <b>No Change</b>		Last Reviewed 27 August 2021	
Risk Owner Service Manager for HR Operations	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>						
		Impact	4	Likelihood		3	Impact	
Update - Without incurring significant additional cost to the council, it will be difficult to introduce a set of terms and conditions for all employees that will not see any reduction in terms in some areas, which may lead to employees deciding to leave the council (i.e., potential reduction in annual leave for Social Workers).								
Controls - Engagement with directorate leads to understand the potential impact of changes to terms and conditions on different elements of the workforce. Early engagement with TUs. Full consideration of different implementation options.								

## ICT Operations

Risk 286 - Loss of ICT service or data through a cyber-attack					Direction of Travel Improved		Last Reviewed 4 August 2022			
Risk Owner Head of ICT Operations	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		Extreme					High-Level			
		Impact	5	Likelihood	4		Impact	3	Likelihood	4
<p>Update - Countermeasures for this risk can be split into two categories, Likelihood reduction and Impact reduction.</p> <p>Likelihood reduction: Reducing the likelihood of an attack requires multiple layers of protection around the infrastructure and staff accounts. This is known as the 'defence in depth' principle.</p> <p>Implemented mitigations: Phishing/Social Engineering – Around 80% of successful attacks are caused by successful phishing attacks. This would usually be staff being tricked into providing their username and password or downloading malicious software to their work computer. Cyber Security awareness training helps staff identify fraudulent emails and phone calls and reduces the likelihood of being tricked into this type of attack. This control is in place and is maturing.</p> <p>Multifactor Authentication – Multifactor authentication is a technical control that requires staff to provide additional information to log into a system. This helps protect accounts from compromise even if the username and password is known. This reduces the likelihood of complete account compromise in some situations even where the account password is known. Conditional Access – Only allows account access if certain conditions are met. Defines when multifactor is required to log in. Vulnerability Management – identifies vulnerabilities in technology. Reduces likelihood by enabling ICT Operations to proactively resolve vulnerabilities before they are exploited in an attack.</p> <p>UPDATE: 04/08/2022 - The total number of vulnerabilities in the council's infrastructure has been reduced by 82% in the last 12 months.</p> <p>UPDATE: 04/08/2022 - SIEM capabilities are deployed within the council and are maturing.</p> <p>Immutable backup – This is a 'backup of last resort' and is specifically intended to provide a countermeasure to a ransomware attack. Immutable backups provide a read only copy of data that would be difficult to compromise during a ransomware attack and would enable the Council to recover data if primary systems had been compromised.</p> <p>UPDATE: 04/08/2022 - Immutable backup capabilities have been deployed in the council.</p> <p>The longer a vulnerability, cyber-attack or breach is left uncontrolled the more damage can be done. Permanent total data loss, Citizen data released on the internet, extortion. Data gathered can be used by the threat actors to launch social engineering attacks on the residents of Dorset with information stolen from the Council. Application rationalisation (Likelihood) will reduce the total number of vulnerabilities in the infrastructure therefore reducing the attack surface of the council. Target score is twelve with optimal controls in place.</p> <p>Controls - Cyber Awareness Training (Likelihood) – Awareness training is provided using a third-party service and includes content on phishing activities. The product also runs automated phishing simulation emails to all staff and provides reports indicating susceptibility to phishing emails over time. Conditional Access (Likelihood) – Conditional Access technologies are in place to protect staff account identities. Conditional Access has been implemented, Vulnerability Management (Likelihood) – Capabilities have been implemented and are being matured. Security Event and Incident Management (Impact) - Capabilities have been implemented and are being matured.</p>										

<b>Risk 348 - There is a business continuity risk from delayed ICT recovery after a disruption such as a power failure.</b>					<b>Direction of Travel</b> <b>No Change</b>		Last Reviewed 4 August 2022			
Risk Owner Head of ICT Operations	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>Extreme</b>					<b>Medium</b>			
		Impact	5	Likelihood	4		Impact	3	Likelihood	3
<p>Update - LGR/One Domain work has now concluded. The first major test will be conducted in Oct/Nov 2022. This will be conducted during a controlled power down of the data centre for electrical works. This exercise will mark the first major review of the council's continuity position since the formation of the new council - and provide the first indication of assurance about our ability to respond effectively which will start to reduce this risk rating. Inadequate ICT service continuity capabilities, planning, training, and testing results in delayed ability to recover ICT services supporting critical business functions in the event of a disruption.</p> <p>Controls - Current counter measures are based on the experience and previous procedures used in the former DCC. Whilst these procedures were effective, they have not been updated for Dorset Council. The principles will work however some of the specific details will be out of date.</p>										

## Legal & Democratic Services

<b>Risk 389 - Information Compliance - Inadequate compliance with individuals rights under data protection law</b>					<b>Direction of Travel</b> <b>Worse</b>		Last Reviewed 28 July 2022			
Page 37 Risk Owner Service Manager for Assurance	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>					<b>Medium</b>			
		Impact	3	Likelihood	4		Impact	3	Likelihood	2
<p>Update - Currently compliance levels for Subject Access Requests remain low. The SARs team have transferred across from Children's Services to Assurance in 2022, and as part of this review several improvements are being considered. A project is being initiated to look at more effective redaction tools. We are currently outsourcing larger more complex cases to an external provider, and the effectiveness of this will be reviewed. We are looking at our processes to reduce QA time, by early referral back to the initial reviewer. Children's Services will explore whether early discussions with the customer reduce the number of documents that need to be released. The outsourcing arrangement can be extended to other services. We are working with the Rees Foundation to provide an external and independent contact point for requestors that are leaving care, which will help to focus requests but also support the requestor in terms of the content.</p> <p>Controls - Dedicated Subject Access Request team in the Assurance Service. Outsource provider. Rees Foundation.</p>										

<b>Risk 393 - Information Compliance - Inadequate "data protection by design and default" culture and processes</b>					<b>Direction of Travel</b> <b>No Change</b>		Last Reviewed 28 July 2022			
Risk Owner Service Manager for Assurance	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>					<b>Medium</b>			
		Impact	3	Likelihood	4		Impact	3	Likelihood	2
<p>Update Work is necessary to embed a culture of Data Protection Impact Assessments for any transformational change proposals. A task and finish group has been established to look at developing a wider "Impact Assessment" tool, which would also embrace climate change and equalities impacts. This may need the assistance of service-based change champions to assist services with lower risk assessments. Higher risk impacts would be escalated to a proposed operational level information governance group.</p>										

## Communications and Engagement

<b>Risk 314 - Lack of capacity to focus on core campaigns (Comms)</b>					Direction of Travel <b>No Change</b>	Last Reviewed 11 May 2021				
Risk Owner Head of Communications and Engagement	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	3	Likelihood	4		Impact		Likelihood	
Update - Reactive, responses constantly required resulting in inability to resource full range of campaigns to support council priorities - Weekly (and sometimes daily) work prioritisation - Work with the team to identify workable solutions e.g., splitting reactive and initiative-taking work to specific individuals.										

<b>Risk 344 - There is a risk that teams/services/directorates breach the Equality Act 2010 by failing to assess the impact of service changes, new policies, and projects on people with protected characteristics</b>					Direction of Travel <b>No Change</b>	Last Reviewed 19 July 2021				
Risk Owner Head of Communications and Engagement	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	3	Likelihood	4		Impact		Likelihood	
Update - This is a risk because a) we are going through a period of significant service change and transformation b) understanding of equality legislation is inconsistent across the workforce and c) we are implementing a new process for assessing equality impacts. The risk is of a successful judicial review resulting in financial penalties and reputational damage Information Governance Action Plan - Controls - EDI training is mandatory for all employees - Controls - EDI training is mandatory for all employees and a new EQIA system is being developed.										

## Revenues and Benefits

<b>Risk 435 - Failure to bill correctly and / or collect Council Tax</b>					Direction of Travel <b>No Change</b>	Last Reviewed 26 July 2022				
Risk Owner Head of Revenues and Benefits	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	4	Likelihood	3		Impact		Likelihood	
Update - Collection rates have fallen because of Covid and the data merge and plans to restart recovery runs during 2022 have been made. Annual Billing 2022/23 was undertaken on time.										
Controls - Recruiting to vacant posts and up-scaled structure. The regular issue of reminders. Booking of courts										
Mitigation - The pandemic has impacted collection rates due the economic situation and fact that courts were closed. Courts are now open, and the economic position has improved which will allow full recovery action to be taken during 2022/23.										

<b>Risk 436 - Failure to bill correctly and / or collect Non-Domestic Rates</b>						Direction of Travel <b>No Change</b>		Last Reviewed 26 July 2022		
Risk Owner Head of Revenues and Benefits	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	4	Likelihood	3		Impact		Likelihood	
Update - Collection rates have fallen because of Covid and the data merge and plans to restart recovery runs during 2022 have been made . Annual Billing 2022/23 was undertaken on time.										
Controls - Recruiting to vacant posts and up-scaled structure. The regular issue of reminders . Booking of courts. Award of discretionary relief.										
Mitigation - The pandemic has impacted collection rates due the economic situation and fact that courts were closed. Courts are now open, and the economic position has improved which will allow full recovery action to be taken during 2022/23.										

<b>Risk 458 - BACS - failure to collect direct debits and/or make Housing Benefits payment</b>						Direction of Travel <b>No Change</b>		Last Reviewed 26 July 2022		
Risk Owner Head of Revenues and Benefits	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	5	Likelihood	3		Impact		Likelihood	
Update - BACS - failure to collect direct debits and/or make Housing Benefits payment. This risk remains high even though the likelihood remains at 3.										
Controls - Resolute staff processing BACS / Direct debit transactions . Regular training.										
Mitigation - This is a corporate risk for all departments which use BACS/Direct Debit.										

<b>Risk 433 - Failure to manage the cessation of partnership with BCP council</b>						Direction of Travel <b>No Change</b>		Last Reviewed 27 July 2022		
Risk Owner Head of Revenues and Benefits	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	4	Likelihood	3		Impact		Likelihood	
Update - Failure to manage the cessation of partnership with BCP council (bringing the legacy EDDC/NDDC work in house). Negotiations with BCP council regarding a n amicable cessation are ongoing. Some work has already returned, but the risk remains at this level until all work has migrated (partnership ends 31/03/23) .										
Mitigation - There is a will from each council to end the partnership amicably.										

<b>Risk 448 - Loss of ICT service due to cyber attack</b>					Direction of Travel <b>No Change</b>		Last Reviewed 27 July 2022		
Risk Owner Head of Revenues and Benefits	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>							
		Impact	5	Likelihood	3	Impact		Likelihood	
Update –									

<b>Risk 432 - Failure to recruit, train, retain key personnel</b>					Direction of Travel <b>No Change</b>		Last Reviewed 27 July 2022		
Risk Owner Head of Revenues and Benefits	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>							
		Impact	4	Likelihood	3	Impact		Likelihood	
Update – The service has several vacancies and is in the process of upscaling to take on the work in respect of the legacy EDDC and NDDC areas. Numerous vacancies are in the process of being filled. As of July 2022, some posts have been filled but the risk remains.									
Mitigation - The Revenues and Benefits service has advertised and appointed three roles during the pandemic and was able to successfully appoint. The ability for colleagues to work from home will widen the net for future recruitment.									

## Transformation, Innovation and Digital

<b>Risk 326 - Failure to deliver savings from transformation - The efficiency and savings programme and associated the transformation programme are not delivered including the failure to deliver financial savings.</b>					Direction of Travel <b>No Change</b>		Last Reviewed 19 July 2022		
Risk Owner Corporate Director – Transformation, Innovation & Change	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>				<b>Low</b>			
		Impact	4	Likelihood	3	Impact	2	Likelihood	2
Update - Transformation Programme in place focussed on delivering agreed financial targets. Financial monitoring arrangements strengthened and integrated into budgetary control. Governance arrangements in place to report and monitor the realisation of savings. Review of financial forecasts at MTFP - effective project management to realise savings and ensure appropriate staffing levels within projects.									
Treat – continue with the activity and bring the risk to an acceptable level.									
Financial savings deep dive in place annually, undertaken by Dartboard and reported to the Transformation and Performance Board. Benefits profiling across all directorates in place with clear action leads for delivery of the savings.									
Highlight reporting in place via the transformation hub for monthly review alongside CPI reporting to the MTFP.									

<b>Risk 330 – The inability to attract, retain or afford sufficient staff to deliver the organisation’s ambitions</b>					<b>Direction of Travel Worse</b>		Last Reviewed 19 July 2022		
Risk Owner Corporate Director – Transformation, Innovation & Change	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>					<b>Low</b>		
		Impact	4	Likelihood	4		Impact	3	Likelihood
<p>Update - Successful bid to the transformation fund to fund new posts in 2021 until 2023. However, as these fixed terms enter their last 9 months, employees are already seeking new opportunities in the event their contracts end. This places greater risk to the delivery of year 2 transformation. Prioritisation of work via the pipeline to best manage capacity of change within the business continues.</p> <p>Treat – continue with the activity and bring the risk to an acceptable level .</p> <p>SWAP audit undertaken to review organisational capacity to deliver change. Leadership and management programme continues to be developed to support managers to lead through change. Transformation bid being developed to seek extension of this temporary resource for a further two years.</p>									

<b>Risk 317 - Policy work slower than required</b>					<b>Direction of Travel No Change</b>		Last Reviewed 11 May 2021		
Risk Owner Service Manager for Business Intelligence & Performance	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>							
		Impact	3	Likelihood	4		Impact		Likelihood
<p>Update - Resource issues. Results in lack of corporate oversight of key council policies, horizon scanning and funding opportunities.</p>									

**Corporate Management Team**

<b>Risk 377 - Failure to understand the impact of government policy changes on future service delivery</b>					<b>Direction of Travel No Change</b>		Last Reviewed 4 August 2022		
Risk Owner Senior Leadership Team	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>					<b>Medium</b>		
		Impact	4	Likelihood	4		Impact	3	Likelihood
<p>Update - There is currently a vacancy for the Policy and Strategy Business Partner within the BI &amp; Performance Service. The central Policy team remains under-developed, and work is currently underway to build-out this model. The central team continues to have links with devolved policy officers in the People Directorates.</p> <p>Controls - Working closely with our MPs. Continue monitoring all government consultations. Publish a weekly bulletin providing updates on key activities that may impact DC. This is sent via an automated email to all subscribers. Publish a monthly MP Briefing covering all MP's activity throughout each month. This is sent via an automated email to all subscribers.</p> <p>Publish a weekly Engagement Tracker providing the latest policies, guidance, consultation, funding, and news, allowing Services to identify relevant documents. This is sent via an automated email to all subscribers. Engage with CCN's Policy and Strategy Group.</p>									

<b>Risk 385 - Failure to deliver the medium-term financial plan leads to service cuts</b>					Direction of Travel <b>No Change</b>		Last Reviewed 24 November 2021				
Risk Owner Corporate Service Management Team	<b>Inherent risk</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		<b>High-Level</b>									
		Impact	5	Likelihood	3			Impact		Likelihood	
Update – To be updated											

**New risks identified by Corporate Services Management Team – to be reviewed and developed:**

- Inflation and thus prices across various services remain a concern - As does cost of living for both residents and our employees
- Delivering against our Capital projects
- Recruitment and retention within Corporate Services

# Risk Management Update Report

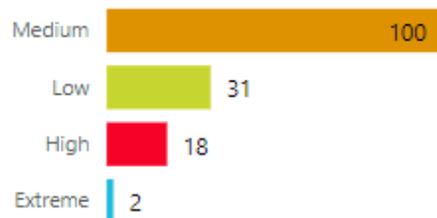
## Place Directorate

### Extreme and High-level Risks

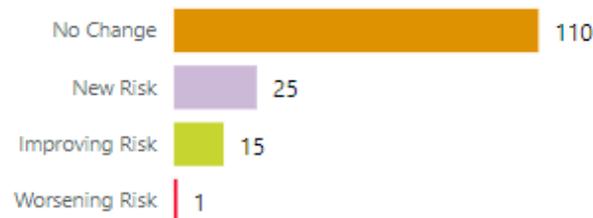
August 2022

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Count of Risks by Category



Count of Indicator by Direction of Travel



Impact	Likelihood				
	Very unlikely	Unlikely	Possible	Likely	Certain
Catastrophic	0	2	0	1	1
Major	1	30	9	5	0
Moderate	8	26	33	3	1
Slight	1	20	7	0	2
Limited	0	0	0	1	0

## Place

### **Extreme**

#### ASSETS & PROPERTY

Risk 463 - Risks surrounding the cost of construction resources due to main provider being in Belarus. Linked to this is the soaring cost of resources and only being able to get 30-day quotes

#### Place Based Services – COMMERCIAL WASTE & STRATEGY

Risk 381 - Cost of contracted services (HRCs operation, transportation) increases when retendered

### **High-Level**

#### ASSETS & PROPERTY

Risk 138 - Breach of health and safety at an occupied premise

Risk 228 - Changing funding landscape and ability to secure investment funding for Dorset

Risk 231 - Securing sufficient and appropriate skills and resources through restructuring of service to deliver DC economic growth strategy

#### Economy Infrastructure and Growth – DORSET TRAVEL

Risk 362 - LOSS OF STRATEGIC PUBLIC ROUTE Loss/severe reduction of key public transport route(s) - e.g., no longer commercially viable, change to bus operator strategic direction - now made worse by COVID

Risk 364 - OVERHANGING TREES Unviability of school bus routes caused by failure to cut back overhanging trees and vegetation (e.g., those operated by First Wessex and others)

Risk 365 - MARKET FORCES Failure to understand and influence factors affecting DCs spend on contracted-out transport services - resulting in significant overspend

#### Economy Infrastructure and Growth – HIGHWAYS

Risk 84 - Failure to deliver a safe and suitable alternative to the current arrangements for Wareham Level Crossing

Risk 73 - Failure to attract funding for asset maintenance

Risk 292 - Winter Service budget pressures

Risk 63 - Inability to maintain the highways infrastructure to an acceptable standard in the face of changing circumstances (e.g., budget reductions, climate change)

Risk 469 - Failure of parking machines due to mechanical issues or technology becoming out of date

### Economy Infrastructure and Growth – PLANNING

Risk 141 - Changes to national planning policy led to delays to prep of the Local Plan Review

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

### Management Team

Risk 375 - Gap exists between amount of available resource and ability to deliver statutory demand

Risk 373 - An inability to recruit into key / critical posts

### Commercial Waste & Strategy

Risk 293 - Failure to secure capital to develop and maintain waste infrastructure

Risk 382 - Change of regulations leads to higher cost of waste treatment

Risk 208 - Gaining sites and planning to provide infrastructure leads to failure to deliver service

Risk 211 - Failure to maintain high recycling and therefore waste diverted to more expensive disposal

### Place Based Services – ENVIRONMENT AND WELLBEING

Risk 201 - Climate change effects on sea level rise and uncertainty could lead to low lying areas such as Weymouth being uneconomic to defend

## Assets and Property

<b>Risk 138 - Breach of health and safety at an occupied premise (Directorate Duty Holder)</b>					Direction of Travel <b>No Change</b>		Last Reviewed 4 August 2022	
Risk Owner Corporate Director of Assets & Property	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>				<b>High-Level</b>		
		Impact	4	Likelihood		3	Impact	4
Update - 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. An internal audit currently being undertaken by SWAP and the results are due by the next reporting period. The audit focuses on a review on policies and procedures for the council that affect and relate to all council buildings and a check with national legislation.								

<b>Risk 463 - Risks surrounding the cost of construction resources due to main provider being in Belarus. Linked to this is the rising cost of resources and only being able to get 30-day quotes</b>					Direction of Travel <b>New Risk</b>		Last Reviewed 4 August 2022	
Risk Owner Corporate Director of Assets & Property	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>Extreme</b>				<b>High-Level</b>		
		Impact	5	Likelihood		5	Impact	4
Update – The organisation is engaging with its principal contractors and their supply chain to identify alternative material suppliers to seek to minimise any increase in costs and time delays by alternative material suppliers. The team are forward planning for any resources that may be needed and are factoring this into project management, contingency plans are being used to minimise risk, but we can only work within the availability of resources available.								

<b>Risk 228 - Failure to secure investment funding for Dorset results in inability to enable economic growth needed for Dorset residents to thrive.</b>					Direction of Travel <b>No Change</b>		Last Reviewed 4 August 2022	
Risk Owner Service Manager for Growth & Economic Regeneration	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>				<b>Medium</b>		
		Impact	3	Likelihood		4	Impact	3
Update – Further actions - Collation and evaluation of evidence and preparation of schemes and business cases. Controls - Establish economic growth strategy and priorities for Dorset, aligned with Dorset LEP and BCP.								

<b>Risk 231 - Securing sufficient and appropriate skills and resources through restructuring of service to deliver DC economic growth strategy</b>					Direction of Travel <b>No Change</b>		Last Reviewed 4 August 2022	
	<b>Inherent risk (Current)</b>	Risk Rating			<b>Residual risk (Target)</b>	Risk Rating		

Risk Owner Service Manager for Growth & Economic Regeneration	The natural level of risk before applying controls to prevent and mitigate the risk	High-Level				The level of risk that remains after implementing a set of controls to reduce the inherent risk	Medium			
		Impact	4	Likelihood	3		Impact	3	Likelihood	3
Update – Further actions - Collation and evaluation of evidence and preparation of schemes and business cases. New head of service has been appointed and works are currently being undertaken with '31 ten' to undertake a review of service in achieving positive outcomes. Controls - Establish economic growth strategy and priorities for Dorset, aligned with Dorset LEP and BCP.										

## Economy Infrastructure and Growth – DORSET TRAVEL

<b>Risk 362 - LOSS OF STRATEGIC PUBLIC ROUTE</b> Loss/severe reduction of key public transport route(s) - e.g., no longer commercially viable, change to bus operator strategic direction - now made worse by COVID					Direction of Travel <b>Worse</b>		Last Reviewed 11 July 2022			
Risk Owner Service Manager for Travel Operations	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					Medium			
		Impact	4	Likelihood	4		Impact	2	Likelihood	3
Update - Providing revenue support to a public route beyond our current position would have significant financial implications – not just for one route, but for others in the network. This would need careful consideration and support from Cabinet. The Government's National Bus Strategy raised the profile and commitment to public transport in Dorset, but we have not received any of the expected funding associated with this initiative. This lack of funding, allied to the slow recovery of passenger numbers following COVID has meant operators are now seeking reductions in service frequencies or cancelling routes altogether. There is still some COVID funding support from Government, but this is well short of the additional funding required to prop up services and it runs out in September. We urgently need agreement on an uplift for these supported public service routes. No available transport for children, so they cannot get to school (if using this route); General public cannot get to employment or key services; Financial cost if we must support continuation of the route; Reputational damage to the Council if we fail to react. The public transport network in Dorset has been stripped back to a bare minimum since 2017. There is little or no scope to reduce it further.										
Controls - Lobbying government for more funding support for public transport in Dorset through Portfolio Holder. Make use of the last tranche of Covid financial support (ends in Sept 2022). Mitigation - Seek out sources of additional developer funding that may support the route. Tender route through Dynamic Purchasing System (DPS). Explore options to increase operator re-imburement rate for CTS. Work closely with operator and other key stakeholders to assess viable options for maintaining a viable public transport network in Dorset. Seek additional funding support from within Dorset Council.										

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<b>Risk 364 - OVERHANGING TREES</b> Unviability of school bus routes caused by failure to cut back overhanging trees and vegetation (particularly affects larger school buses such as double decker's)					Direction of Travel <b>No Change</b>		Last Reviewed 11 July 2022			
Risk Owner Service Manager for Travel Operations	Inherent risk (Current) The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				Residual risk (Target) The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		High-Level					Medium			
		Impact	3	Likelihood	4		Impact	2	Likelihood	3
Update - Other bus companies are also experiencing problems on routes - Yellow Bus and Damory. The Arb team have a backlog of six hundred incidents to deal with. In recent years response times to tree problems have been slow for a whole variety of reasons.										
First Wessex may withdraw from the contract if they deem the costs of additional vehicles is too high - service delivery, financial and reputational risk; Retendering these routes may result in a sharp increase in costs of school transport; School children may be put at risk from vehicles impacting with branches if they insist on using double decker's on unsuitable routes - safety and reputational risk; Children may be late to school if there is damage and other problems arising from tree damage - delivery and reputational risk; Legal challenge from other operators if DC are seen to be subsidising First Wessex to mitigate the impact on their operation; Tree problems are no longer limited to First Wessex - they are affecting other operators such as Damory and Yellow Buses.										
Controls - Dorset Travel have procured a specialist tree cutting vehicle. We need maps from operators detailing most critical locations for tree cutting. Dorset Travel has been in touch with Highways colleagues and agreed that an annual planned programme of tree cutting works is required to keep on top of this problem. This will have significant financial and other resource implications for the Council.										

Mitigation - Facilitate communication and cooperation between First and DC's Highways and Arboriculture teams. Establish clear understanding amongst all parties of the problem tree locations and the scale of work and timeframes involved. Get a detailed and practical back up plan from First Wessex on how they will deliver their routes using alternative vehicles at the start of the school term. Instigate emergency tree cutting where necessary. Provide additional financial support for extra vehicles on routes affected. Implement and fund planned programme of tree cutting works across Dorset (action for Highways).

<b>Risk 365 - MARKET FORCES Failure to agree a realistic uplift in contract prices, caused by rising market costs, will result in cancellation of contracts and much higher retender prices</b>						Direction of Travel <b>New Risk</b>		Last Reviewed 11 July 2022			
Risk Owner Service Manager for Travel Operations	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		<b>High-Level</b>					<b>Medium</b>				
		Impact	4	Likelihood	4		Impact	3	Likelihood	3	
<p>Update - A forecast overspend of 20% has been built into the budget. Recent tenders suggest price increases running at &gt;70% for routes that have been handed back and retendered. Fuel cost rises, lack of drivers, high driver wages, increased vehicle maintenance costs are all contributing to this. The biggest risk is the likelihood of huge price increases if we do not agree an uplift. This in turn will result in major budget overspends. In addition, this uncertainty is causing a lot of extra work and delays for Dorset Travel and a lot of anger and uncertainty amongst our suppliers. We may not be able to get transport contracts set up in time.</p> <p>Controls - A programme of contractor meetings is underway to gain a better mutual understanding of the current position and we have surveyed many operators to gather data about their cost pressures. Routes need to be reviewed for rationalisation. Perhaps make more use of Personal Travel Budgets (PTBs) for parents - this will require a more flexible approach. Lobbying of government through ATCO and other bodies.</p> <p>Mitigation - At least 10% uplift on current contracts recommended. Tendering in blocks to allow contractors to optimise their bids. Limiting lengths of contract to minimise financial liability on Council. Ensure that we have maximised the number of companies on our DPS to improve competition (but without sacrificing quality). Working with Children's and Adult Services on a rational commissioning strategy. Meeting regularly with contractors to improve our understanding of the market and their understanding of DC's needs. Review costs and practicalities of providing transport services in-house. Better training and resourcing of contract management within the team. Work closely with colleagues in Finance and Procurement on market changes. Expanding resource within contracts team.</p>											

## Economy Infrastructure and Growth – HIGHWAYS

<b>Risk 84 - Failure to deliver a safe and suitable alternative to the current arrangements for Wareham Level Crossing</b>						Direction of Travel <b>No Change</b>		Last Reviewed 5 August 2022			
Risk Owner Service Manager for Infrastructure & Assets	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		<b>High-Level</b>									
		Impact	4	Likelihood	4		Impact		Likelihood		
<p>Update - Dorset Council assumed responsibility from Dorset County Council (DCC) 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, DCC 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 (19 hours) seven days a week. The provision of security staff is provided by third party contractors STM Security Ltd.</p> <p>The crossing is locked closed between 1am and 6am each day. 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 financial commitment with ongoing reputational concerns as there is no suitable</p>											

an alternative means for all to cross the rail lines if the crossing is closed – there is a stepped footbridge adjacent to the crossing. A parallel footway/cycleway along the A351 is being explored in the area to address an existing network deficiency. There remains commitment from Dorset Council and Network Rail to finding a resolution. Commitment from central government appeared more likely 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 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. Nov 2021 - No definitive permanent plans are proposed, or funding secured for a suitable alternative. Michael Tomlinson MP is lobbying Network Rail and Transport Minister for a solution and funding. Procurement of level crossing security contract in August 2021 has made revenue savings for council to continue to deliver the service to provide security at the crossing. Aug 2022 - Covid has delayed the lobbying, but Michael Tomlinson MP is now once again lobbying Network Rail and Transport Minister for a solution and funding.

- \* This has been an ongoing issue for 25 years. Network Rail have tried twice before to resolve this but failed due to planning issues.
- \* Currently costing the authority £100,000 per year for security guards.
- \* Tried to introduce ramps, with crossing fenced off, and removal of security guards - community objection to removal of level crossing.
- \* Continued lobbying and negotiations with Network Rail.
- \* Implement main recommendation of ramped solution.
- \* Open public meeting held in the evening chaired by MP. Ramp proposal met with overwhelmingly hostile local reaction.
- \* Working to modify Network Rail asset, the existing bridge, has triggered more demanding NR assurance requirements.
- \* Introduction of ramps (main recommendation) failed to get planning permission.
- \* Access for All funding bid by Southwest Railways and Network Rail for DfT funding to install lifts failed.
- \* The crossing continues to be a substantial risk for safety, continuing financial commitment and reputational damage. Risk being realised with recent crossing incidents, lack of attendants and crossing closure.

Cause: Failure to get planning agreement. Failure to get agreement on funding. Lack of Member/Cabinet support. Opposition from Town Trust, etc.

Consequence: Closure of crossing by Office of Road & Rail. Legal action against DC. Death. Severe injury. Reputational damage. Budgetary impact - either due to incidents or ongoing maintenance/management. Negative publicity. Customer dissatisfaction. Public liability claims.

Controls - Security guards in place (at cost to DC); Active programme in place to deliver alternative arrangements.

<b>Risk 73 - Failure to attract funding for asset maintenance</b>						Direction of Travel <b>No Change</b>		Last Reviewed 5 August 2022			
Risk Owner Service Manager for Infrastructure & Assets	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating				
		<b>High-Level</b>									
		Impact	4	Likelihood	3		Impact		Likelihood		

Update - The new HAMP/AMP review 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: Development of the HAMP. Working with WSP and other authorities to share best practice and create a document for bidding purposes. Changes to processes so future maintenance funding is considered when bidding for funds. Cycleway assets - digitised in a way that allows defects to be assigned in confirm. Avoid over specifying schemes. Develop inspection regime for cycleways. Design schemes in the most suitable/minimal maintenance way. More robust contractual agreements where we are funding assets/equipment used by third parties (i.e., so they cannot be moved out of the county, etc).

Nov 2021 - £6.3M secured for maintenance activities from corporate capital programme for 2021/22. Feb 2022 - Council approved capital bids submitted to CSAM for £6.3M for road maintenance each year for 5 years from 2022/23. In addition, £400k secured for ITS maintenance / enhancement and £400k for cycleway maintenance each year for 5 years.

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Cause: Shortfalls exist in funding for future maintenance of current assets, with no commuted sums for newly constructed assets. Designing features which impact on future maintenance. Central Government focus on walking and cycling leading to construction of new infrastructure is increasing the need for DC to allocate maintenance funds to these assets.

Consequences: Increased future maintenance liability. Inability to maintain new assets. Adverse publicity and damage to service reputation. Negative impact on budgets. Increase pressure on staff. Controls - Commuted sums. Maintenance funds to be directed to footways / cycleways. This is an unknown quantity that comes from the revenue budget. The burden is placed on the capital budget to cover anything over and above the revenue budget.

<b>Risk 292 - Winter Service budget pressures</b>					Direction of Travel <b>No Change</b>		Last Reviewed 5 August 2022			
Risk Owner Service Manager for Network Operations	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	4	Likelihood	3		Impact		Likelihood	
<p>Update - 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, as 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 the service to cover the cost of snow clearance beyond this point. Clarity has been requested from the Corporate Director for Economic Growth and Infrastructure that the required budget provision will be provided or that any operational costs will be met corporately should they be realised. It has been confirmed that this provision would be made from the Server Weather Fund held outside of the service. New risk is that salt price has gone up by 60% because of transport costs.</p> <p>Controls - 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. Seasonal variations have led to up to 5 days of snow clearance over the winter period in recent years.</p>										

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<b>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>					Direction of Travel <b>No Change</b>		Last Reviewed 5 August 2022			
Risk Owner Service Manager for Network Operations	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	4	Likelihood	3		Impact		Likelihood	
<p>Update - Service levels have reduced due to reductions in highways revenue funding which severely impacted on drainage maintenance and pothole repairs. An increasing number of severe weather events due to climate change are having a negative impact on our highway infrastructure and we are seeing a higher number of slope stabilisation problems. We have assessed ourselves as Band 3 status for 2022/23, 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. In Feb 2022/23 Cabinet agreed to invest £6.3M in highway maintenance per year for the next 5 years. Further submissions for central government funding will be made as and when the opportunities arise. Further actions: Highway maintenance revenue budget report. Develop a risk-based approach to cyclic drainage maintenance. Further bids for extra funds from central government, and other sources, where appropriate. Deliver Action Plan to achieve full available funding from DfT incentivised funding.</p> <p>Cause: Adverse weather conditions. Under investment in highways infrastructure from central government and DC funding - now and in the future (future maintenance liabilities). Incentivised element of maintenance black funding from DfT has been increased by another year, uncertainty of funding mechanism from April 2022 onward. Lack of political support for local funding allocation. Lack of capacity to respond to necessary repair work at times of crisis/peak work periods. Reduction in funding without changes in ways of working. Increase in weight, size &amp; volume of traffic. Lack of development of systems/evidence tools. Lack of staff motivation impacts adversely on the work undertaken. Lack of staff capacity to manage insurance claim administration within desired timescales. Unable to adapt to climate change.</p>										

Consequence: Negative impact on the council's reputation. Inability to rely on Section 58 defence. Potential increase in claims costs. Road network not fit for purpose. Negative economic impact on the area. Negative impact on self-insurance arrangements. Negative impact on staffing capacity to respond to complaints/FOI requests, etc (failure demand). Customer dissatisfaction. Higher cost of reactive maintenance, rather than long term repairs. Challenges under S56 of Highways Act (noticed served to maintain area of highway). Increasing needs-based budget. Potential increase to safety risk.

Controls - Highways Climate Change Risk Register. Structural maintenance programme. Amended inspection processes. Risk based inspection regime. Use of innovative repair techniques. Compiled asset management strategy. Highways Asset Management Plans Volume One & Volume Two. Highway Maintenance Policy. Achieved 'Band 3' status in DfT incentive fund giving us 100% of a available funding from 2017 until 2021. Executive Advisory Panel set-up to seek additional capital and revenue funding with drainage and initiative-taking maintenance.

<b>Risk 469 - Failure of parking machines due to mechanical issues or technology becoming out of date</b>					Direction of Travel <b>New Risk</b>	Last Reviewed 10 May2022				
Risk Owner Service Manager for Network Operations	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	3	Likelihood	5		Impact		Likelihood	
Update - An increasing number of our parking machines are regularly breaking down. This causes problems to our customers and reputational damage to the council. It also causes problems when enforcing and a potential loss of income. It is essential that we invest in new parking machines as soon as possible. Bids have been put forward to cover the costs of replacing all machines. We have replaced nineteen so far and intend ordering another sixty by the end of August.										
This still leaves 190 to replace over the coming year. We are replacing the worst/most used machines first.										

Management Team

<b>Risk 375 - Gap exists between amount of available resource and ability to deliver statutory demand</b>					Direction of Travel <b>No Change</b>	Last Reviewed 17 August 2021				
Risk Owner Place Management Team	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	4	Likelihood	3		Impact		Likelihood	
Update - Risk identified during July 2021 risk workshop with the Place Management Team. Management update and mitigation action plan to be delivered by Risk Owner. Place provides several statutory services. Increasing demand and/or pressures on financial resources mean that there is a risk of a gap in the level of resource available and the statutory service delivery requirements.										
This risk is mitigated within the service budget by prioritising statutory service functions over discretionary ones.										

<b>Risk 373 - An inability to recruit into key / critical posts</b>					Direction of Travel <b>No Change</b>	Last Reviewed 10 December 2021				
Risk Owner Place Management Team	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>								
		Impact	3	Likelihood	4		Impact		Likelihood	
Update - New risk identified at Place Management Team risk workshop in July 2021.										

Pressure points are - Highways - Driver shortages – Capacity within our supply chain is significantly reduced. However, by Christmas 21 it is expected that 8-10 additional drivers will have completed training. In addition, sickness levels remain low in comparison to historic figures - Waste – Driver shortages – High levels of disruption in Q2 which are especially reflected within missed collections performance indicators.

## Place Based Services – COMMERCIAL WASTE & STRATEGY

<b>Risk 293 - Failure to secure capital to develop and maintain waste infrastructure</b>					Direction of Travel <b>No Change</b>		Last Reviewed 3 August 2022	
Risk Owner Head of Commercial Waste and Strategy	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>				<b>Medium</b>		
		Impact	4	Likelihood		3	Impact	4
Update - Waste services property forms an integral part of the Place Service depot review -which has stalled. All our depots need expansion and various degrees of repair to meet ongoing and future needs of the service. To expand services there is also a pressure and concern about DC's licence and the ability to add additional vehicles to the fleet. This risk links to risk 208.								
See risk 208. There's ongoing work regarding the development of HRC's and transfer stations.								

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<b>Risk 381 - Cost of contracted services (HRCs operation, transportation) increases when retendered</b>					Direction of Travel <b>No Change</b>		Last Reviewed 3 August 2022	
Risk Owner Head of Commercial Waste and Strategy	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>Extreme</b>				<b>High-Level</b>		
		Impact	5	Likelihood		4	Impact	4
Update - Current contract will expire in 2024. Prices have increased (labour, fuel) and high uncertainty of recycled prices are likely to increase prices when the service is retendered.								

<b>Risk 382 - Change of regulations leads to higher cost of waste treatment</b>					Direction of Travel <b>No Change</b>		Last Reviewed 3 August 2022	
Risk Owner Head of Commercial Waste and Strategy	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>				<b>High-Level</b>		
		Impact	4	Likelihood		4	Impact	4
Update - It is likely that the Government are going to stop us being able to charge for DIY wastes at HRC's (there was a consultation on this recently). If this were to go ahead, we estimate it would cost DC circa £500K- £750K more pa. Also, there are changes to regulations regarding Persistent Organic Pollutants (in domestic furniture and electronic equipment) and hazardous wood waste requires additional separation of materials and higher disposal costs.								
DC responded to the recent DEFRA technical consultation on preventing charges to householders for the disposal of "DIY" waste at household waste recycling centres. The consultation ran from 11 April - 4 July 2022. DC officers contributed to national responses to this consultation through industry bodies such as LARAC, NAWDO and ADEPT. We will continue to engage with Government through these groups and others, such as the LGA.								

<b>Risk 208 - Gaining sites and planning to provide infrastructure leads to failure to deliver service.</b>					Direction of Travel <b>No Change</b>		Last Reviewed 3 August 2022	
Risk Owner Head of Commercial Waste and Strategy	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>						
		Impact	4	Likelihood		4	Impact	
<p>Update - Two major projects are currently ongoing. A central waste management centre in Blandford, where planning permission has been granted but we are still acquiring the land. A site search in the East of the county has been completed for a new HRC and a members briefing will be held shortly ahead of going to Place Overview Committee. A waste infrastructure review has been completed to provide a baseline of requirements. This fed into the recent property review of depots across Dorset, however more work is required in this area across the Council.</p> <p>Controls - Worked with waste planning authority to identify and safeguard sites to meet our needs through the Waste Local Plan. Collaborating with neighbouring authorities for continued use of facilities. Contingency plans identified in all waste contracts.</p> <p>Worked with waste planning authority to identify and safeguard sites to meet our needs through the Waste Local Plan. Collaborating with neighbouring authorities for continued use of facilities. Contingency plans identified in all waste contracts.</p>								
<b>Risk 211 - Failure to maintain high recycling and therefore waste diverted to more expensive disposal</b>					Direction of Travel <b>No Change</b>		Last Reviewed 18 August 2021	
Risk Owner Head of Commercial Waste and Strategy	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating			<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating		
		<b>High-Level</b>						
		Impact	4	Likelihood		3	Impact	
<p>Update - Ensure continued investment in communication and educational resources. Waste growth has increased at the kerbside as a direct result of Covid-19. More residents have been working from home and as such Dorset, together with all other local authorities, has seen an increase in waste arisings at the kerbside.</p> <p>There is a risk that the current increase in waste growth due to the pandemic and resulting shift to home working will continue as this change in working habit becomes normalised. This continued growth has potential to adversely affect our recycling rate and lead to increased costs in disposal. The recycling team are continuing their various projects to reduce waste and maintain high recycling performance (see controls and mitigation sections).</p> <p>Controls - Extensive communication and education plan to include communal improvement project, container messaging, side waste reduction trial, enhanced home compost bin subsidies, real nappy starter packs, free caddy liner trials and 'right stuff, right bin' messaging. Replacement vehicle programme to ensure waste is collected and public continue to support service.</p> <p>Mitigation - Continue to promote educational campaigns focussing on waste reduction and reuse, such as home composting, reducing food waste, using real nappies etc. Also, we will continue to promote the 'right stuff, right bin' campaign 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 R4D service. Continue with the development of a central strategic waste transfer station and a new HRC in the East of the county to support our reuse, recycling, and composting activities.</p>								

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Place Based Services – ENVIRONMENT AND WELLBEING

<b>Risk 201 - Climate change effects on sea level rise and uncertainty could lead to low lying areas such as Weymouth being uneconomic to defend</b>					<b>Direction of Travel Improved</b>		Last Reviewed 4 August 2022			
Risk Owner Service Manager for Engineering & Special Projects	<b>Inherent risk (Current)</b> The natural level of risk before applying controls to prevent and mitigate the risk	Risk Rating				<b>Residual risk (Target)</b> The level of risk that remains after implementing a set of controls to reduce the inherent risk	Risk Rating			
		<b>High-Level</b>					<b>Medium</b>			
		Impact	4	Likelihood	3		Impact	3	Likelihood	3
Update - 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 one hundred 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. 100-year plan being developed for Weymouth in conjunction with Environmental agency. Controls - Use latest inter-governmental guidance when designing coast defences, design life of 50 years. Shoreline Management plan review										

**Place and Resources Scrutiny Committee – DRAFT Forward Plan**

<b>Title</b>	<b>Description</b>	<b>Date of committee meeting</b>	<b>Requested by</b>	<b>Report author</b>	<b>Portfolio Holder</b>	<b>Other meetings? (Cabinet)</b>
Delivery of new homes across Dorset	Review of housing delivery against adopted Local Plan targets	13 September 2022	Committee request following review of performance dashboard	Terry Sneller – Strategic Planning Manager	Cllr David Walsh – Portfolio Holder for Planning	
Risk Management update report	To provide an update on the key risks facing the Council & the activities being undertaken to support the Council in developing a culture of being 'Creative & Aware of Risk'.	13 September 2022	David Trotter – Risk & Resilience Officer	Marc Eyre – Service Manager for Assurance  David Trotter – Risk & Resilience Officer	Cllr Spencer Flower – Leader of Council	People & Health Scrutiny Committee  Audit & Governance Committee
Coombe House – Review of Phase One Business Case – Fully Exempt	An exempt report to review the phase one business case	13 September 2022	Committee request	Peter Hopkins – Corporate Director – Assets & Property	Cllr Tony Ferrari – Portfolio Holder for Economic Growth, Assets & Property	

<b>Title</b>	<b>Description</b>	<b>Date of committee meeting</b>	<b>Requested by</b>	<b>Report author</b>	<b>Portfolio Holder</b>	<b>Other meetings? (Cabinet)</b>
Phase 2 Parking Transformation Review	A post-implementation review of the recommendations coming out of the Phase 2 Car Parking project, which were agreed by Cabinet in November 2021	10 November 2022	Committee request	Elizabeth Murray – Strategic Parking Project Manager	Cllr Ray Bryan – Portfolio Holder for Travel, Highways & Environment	
Property Strategy & Asset Management Plan Annual Monitoring Report	Review and comment upon progress in achieving the actions identified in the Property & Asset Management Strategy Action Plan and areas needing to be given priority.	10 November 2022	Committee request	Peter Hopkins - Corporate Director – Assets & Property	Cllr Tony Ferrari – Portfolio Holder for Economic Growth, Assets & Property	
Performance Scrutiny	To review the most recent performance information and use this to agree items to add to the committee forward plan for further analysis	10 November 2022	David Bonner – Service Manager – BI & Performance	David Bonner – Service Manager – BI & Performance	Cllr Jill Haynes - Portfolio Holder for Corporate Development & Change	

<b>Title</b>	<b>Description</b>	<b>Date of committee meeting</b>	<b>Requested by</b>	<b>Report author</b>	<b>Portfolio Holder</b>	<b>Other meetings? (Cabinet)</b>
Climate & Ecological Emergency Strategy – progress report	To present the bi-annual progress report on the Dorset Council Climate & Ecological Emergency Strategy	10 November 2022	Officer request	Antony Littlechild – Team Manager Sustainability	Cllr Ray Bryan – Portfolio Holder for Travel, Highways & Environment	
Commercial Transformation Project	To receive an update on the project	10 November 2022	Committee request	Dawn Adams – Service Manager for Commercial & Procurement	Cllr Gary Suttle – Portfolio Holder for Finance, Commercial & Capital Strategy	
Budget Scrutiny (Single Item meeting)	Consideration of the budget proposals before proceeding to produce the final budget paper for recommendation to Cabinet on 17 January 2023.	12 December 2022	Part of annual budget process	Jim McManus – Corporate Director – Finance & Commercial	Cllr Gary Suttle – Portfolio Holder for Finance, Commercial & Capital Strategy	Cabinet – 17 January 2023  Full Council – 14 February 2023

<b>Title</b>	<b>Description</b>	<b>Date of committee meeting</b>	<b>Requested by</b>	<b>Report author</b>	<b>Portfolio Holder</b>	<b>Other meetings? (Cabinet)</b>
Implementation review of the Household Recycling Centre (HRC) Vehicle Access Policy	To provide an update on the implementation of the updated HRC vehicle access policy since its introduction in May 2022	26 January 2023	Committee request	Gemma Clinton – Head of Commercial Waste & Strategy  Jason Jones – Group Manager Commissioning	Cllr Laura Beddow – Portfolio Holder for Culture, Communities & Customer Services	
Corporate Complaints Team – Annual Report	An overview of the volume and impacts of Dorset Council's complaints through the Corporate Complaints Team 2021/22	26 January 2023	Antony Bygrave – Senior Assurance Officer – Complaints	Antony Bygrave – Senior Assurance Officer - Complaints	Cllr Jill Haynes - Portfolio Holder for Corporate Development & Change	
Risk Management update report	To provide an update on the key risks facing the Council & the activities being undertaken to support the Council in developing a culture of being 'Creative & Aware of Risk'.	26 January 2023	David Trotter – Risk & Resilience Officer	Marc Eyre – Service Manager for Assurance  David Trotter – Risk & Resilience Officer	Cllr Spencer Flower – Leader of Council	People & Health Scrutiny Committee  Audit & Governance Committee

<b>Title</b>	<b>Description</b>	<b>Date of committee meeting</b>	<b>Requested by</b>	<b>Report author</b>	<b>Portfolio Holder</b>	<b>Other meetings? (Cabinet)</b>
Review of Summer Demand Operations 2022	A review of the multi-agency arrangements put in place to manage the consequences of high visitor numbers to Dorset	26 January 2023	Committee request	Graham Duggan – Head of Community & Public Protection	Cllr Ray Bryan – Portfolio Holder for Highways, Travel & Environment  Cllr Laura Beddow – Portfolio Holder for Culture, Communities & Customer Services	
Performance Scrutiny	To review the most recent performance information and use this to agree items to add to the committee forward plan for further analysis	30 March 2022	David Bonner – Service Manager – BI & Performance	David Bonner – Service Manager – BI & Performance	Cllr Jill Haynes - Portfolio Holder for Corporate Development & Change	

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## **The Cabinet Forward Plan - September to December 2022 For the period 1 SEPTEMBER 2022 to 31 DECEMBER 2022 (Publication date – 6 SEPTEMBER 2022)**

### **Explanatory Note:**

This Forward Plan contains future items to be considered by the Cabinet and Council. It is published 28 days before the next meeting of the Committee. The plan includes items for the meeting including key decisions. Each item shows if it is 'open' to the public or to be considered in a private part of the meeting.

### **Definition of Key Decisions**

Key decisions are defined in Dorset Council's Constitution as decisions of the Cabinet which are likely to -

- (a) to result in the relevant local authority incurring expenditure which is, or the making of savings which are, significant having regard to the relevant local authority's budget for the service or function to which the decision relates (**Thresholds - £500k**); or
- (b) to be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the area of the relevant local authority."

In determining the meaning of "*significant*" for these purposes the Council will have regard to any guidance issued by the Secretary of State in accordance with section 9Q of the Local Government Act 2000 Act. Officers will consult with lead members to determine significance and sensitivity.

### **Cabinet Portfolio Holders 2021/22**

<b>Spencer Flower</b>	Leader / Governance, Performance and Communications
<b>Peter Wharf</b>	Deputy Leader / Adult Social Care and Health
<b>Gary Suttle</b>	Finance, Commercial and Capital Strategy
<b>Ray Bryan</b>	Highways, Travel and Environment
<b>Graham Carr-Jones</b>	Housing and Community Safety
<b>Jill Haynes</b>	Corporate Development and Transformation
<b>Laura Beddow</b>	Culture, Communities and Customer Services
<b>Andrew Parry</b>	Children, Education, Skills and Early Help
<b>Tony Ferrari</b>	Economic Growth, Assets & Property
<b>David Walsh</b>	Planning

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
<b>October</b>					
<p><b>Medium Term Financial Plan (MTFP) and budget strategy</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>To receive a budget update for 2023/24.</p>	<p><b>Decision Maker</b> Cabinet</p>	<p><b>Decision Date</b> 4 Oct 2022</p>		<p>Portfolio Holder for Finance, Commercial and Capital Strategy</p>	<p><i>Jim McManus, Corporate Director - Finance and Commercial</i> <i>J.McManus@dorsetcc.gov.uk</i> <i>Executive Director, Corporate Development - Section 151 Officer (Aidan Dunn)</i></p>
<p><b>Adult Social Care Market Sustainability Plan</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>The Council must submit a Market Sustainability Plan to the Department for Health &amp; Social Care by 14 October 2022. This plan will establish Dorset's approach to ensuring the sustainability of the local market in older people's residential and nursing care, and of domiciliary care for all adults.</p>	<p><b>Decision Maker</b> Cabinet</p>	<p><b>Decision Date</b> 4 Oct 2022</p>	<p>People and Health Overview Committee 8 Sep 2022</p>	<p>Deputy Leader and Portfolio Holder for Adult Social Care and Health</p>	<p><i>Jonathan Price, Interim Corporate Director for Commissioning</i> <i>jonathan.price@dorsetcouncil.gov.uk</i> <i>Executive Director, People - Adults</i></p>
<p><b>Local Development Scheme Update</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>To agree a revised Local Development Scheme, setting out the proposed programme for the next stages of preparing the Dorset Council Local Plan.</p>	<p><b>Decision Maker</b> Cabinet</p>	<p><b>Decision Date</b> 4 Oct 2022</p>		<p>Portfolio Holder for Planning</p>	<p><i>Hilary Jordan, Service Manager for Spatial Planning</i> <i>hilary.jordan@dorsetcouncil.gov.uk</i> <i>Executive Director, Place (John Sellgren)</i></p>

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
<p><b>Dorset Council Plan Priorities Update: Children's Services</b></p> <p><b>Key Decision - No</b> <b>Public Access - Open</b></p> <p>To receive an update from the Portfolio Holder for Children, education, Skills, and Early Help.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 4 Oct 2022</b></p>		<p>Portfolio Holder for Children, Education, Skills and Early Help</p>	<p><i>Executive Director, People - Children (Theresa Leavy)</i></p>
<p><b>November</b></p>					
<p><b>Quarter 2 2022/23 Financial Monitoring Report</b></p> <p><b>Key Decision - No</b> <b>Public Access - Open</b></p> <p>To consider the Quarter 2 Financial Monitoring Report for 2022/23.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 1 Nov 2022</b></p>		<p>Portfolio Holder for Finance, Commercial and Capital Strategy</p>	<p><i>Jim McManus, Corporate Director - Finance and Commercial</i> <i>J.McManus@dorsetcc.gov.uk</i> <i>Executive Director, Corporate Development - Section 151 Officer (Aidan Dunn)</i></p>
<p><b>Dorset Council 20mph speed limit process and Guidance</b></p> <p><b>Key Decision - Yes</b> <b>Public Access - Open</b></p> <p>A report setting out the council's approach to 20mph speed limits.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 1 Nov 2022</b></p>	<p>Place and Resources Overview Committee 6 Oct 2022</p>	<p>Portfolio Holder for Highways, Travel and Environment</p>	<p><i>Wayne Sayers, Transport Planning Manager</i> <i>wayne.sayers@dorsetcouncil.gov.uk</i> <i>Executive Director, Place (John Sellgren)</i></p>

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
<p><b>Dorset Council Plan Priorities Update: Adult Social Care</b></p> <p><b>Key Decision</b> - No <b>Public Access</b> - Open</p> <p>To receive a report from the Portfolio Holder for Adult Social Care &amp; Health.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 1 Nov 2022</b></p>		<p>Deputy Leader and Portfolio Holder for Adult Social Care and Health</p>	<p><i>Executive Director, People - Adults</i></p>
<p><b>Air Quality Action Plan for Chideock</b></p> <p><b>Key Decision</b> - No <b>Public Access</b> - Open</p> <p>The 2022 Air Quality Action Plan for Chideock has now received approval by Defra. The council is seeking a decision to formally adopt the plan.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 4 Oct 2022</b></p>		<p>Portfolio Holder for Culture, Communities and Customer Services</p>	<p><i>Janet Moore, Service Manager Environmental Protection Janet.Moore@dorsetcouncil.gov.uk Executive Director, Place (John Sellgren)</i></p>
<p><b>New Household Recycling Centre for the Eastern Area of Dorset</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Fully exempt</p> <p>Selection of the preferred location for the new Household recycling Centre to serve the eastern area of Dorset.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 1 Nov 2022</b></p>	<p>Place and Resources Overview Committee 6 Oct 2022</p>	<p>Portfolio Holder for Culture, Communities and Customer Services</p>	<p><i>Gemma Clinton, Head of Commercial Waste and Strategy gemma.clinton@dorsetcouncil.gov.uk Executive Director, Place (John Sellgren)</i></p>
<p><b>December</b></p>					

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
<p><b>Dorset Council Plan Priorities Update: Climate and Ecology, Assets and Property</b></p> <p><b>Key Decision</b> - No <b>Public Access</b> - Open</p> <p>To receive an update from the Portfolio Holders for Highways, Travel and Environment and Economic Growth, Assets and Property.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 6 Dec 2022</b></p>		<p>Portfolio Holder for Highways, Travel and Environment, Portfolio Holder for Economic Growth, Assets and Property</p>	<p><i>Executive Director, Place (John Sellgren)</i></p>
<p><b>January 2023</b></p>					
<p><b>Quarter 3 2022/23 Financial Monitoring Report</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>To consider the Quarter 3 Financial Monitoring Report for 2022/23.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 17 Jan 2023</b></p>		<p>Portfolio Holder for Finance, Commercial and Capital Strategy</p>	<p><i>Jim McManus, Corporate Director - Finance and Commercial J.McManus@dorsetcc.gov.uk Executive Director, Corporate Development - Section 151 Officer (Aidan Dunn)</i></p>
<p><b>Medium Term Financial (MTFP) and Budget Strategy Report</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>The Council is required to set a balanced revenue budget, and to approve a level of council tax as an integral part of this.</p>	<p><b>Decision Maker Dorset Council</b></p>	<p><b>Decision Date 14 Feb 2023</b></p>	<p>Cabinet 17 Jan 2023 People and Health Scrutiny Committee 9 Dec 2022 Place and Resources Scrutiny Committee 12 Dec 2022</p>	<p>Portfolio Holder for Finance, Commercial and Capital Strategy</p>	<p><i>Jim McManus, Corporate Director - Finance and Commercial J.McManus@dorsetcc.gov.uk Executive Director, Corporate Development - Section 151 Officer (Aidan Dunn)</i></p>

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
<p><b>Commissioning Strategies for Adult Social Care</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>To adopt final versions of the suite of commissioning strategies to form the basis of the Council's priorities under the portfolio for the coming five years.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 17 Jan 2023</b></p>	<p>People and Health Overview Committee 16 Dec 2022</p>	<p>Deputy Leader and Portfolio Holder for Adult Social Care and Health</p>	<p><i>Jonathan Price, Interim Corporate Director for Commissioning jonathan.price@dorsetcouncil.gov.uk Executive Director, People - Adults</i></p>
<p><b>Dorset Council Plan Priorities: One Customer Account and Digital Innovation</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>To receive a report from the Portfolio Holders for Corporate Development and Transformation and for Culture, Communities and Customer Services.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 17 Jan 2023</b></p>		<p>Portfolio Holder for Corporate Development and Transformation, Portfolio Holder for Culture, Communities and Customer Services</p>	<p><i>Executive Director, Place (John Sellgren)</i></p>
<p><b>February</b></p>					

<p><b>Dorset Council Plan Priorities: Update: County Deals/Community Safety</b></p> <p><b>Key Decision</b> - No <b>Public Access</b> - Open</p> <p>To receive a report from the Portfolio Holders for Economic Growth, Assets and Property and Housing and Community Safety.</p>	<p><b>Decision Maker Cabinet</b></p>	<p><b>Decision Date 28 Feb 2023</b></p>		<p>Portfolio Holder for Economic Growth, Assets and Property, Portfolio Holder for Housing and Community Safety</p>	<p><i>Andrew Billany, Corporate Director of Housing, Dorset Council andrew.billany@dorsetcouncil.gov.uk Executive Director, People - Adults</i></p>
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Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
March					
<p><b>Dorset Council Plan Priorities Update: Housing for Local People</b></p> <p><b>Key Decision</b> - No <b>Public Access</b> - Open</p> <p>To receive a report of the Portfolio Holder for Housing and Community Safety.</p>	<p><b>Decision Maker</b> Cabinet</p>	<p><b>Decision Date</b> 28 Mar 2023</p>		<p>Portfolio Holder for Housing and Community Safety</p>	<p><i>Andrew Billany, Corporate Director of Housing, Dorset Council andrew.billany@dorsetcouncil.gov.uk Executive Director, Place (John Sellgren)</i></p>
<p><b>Climate and ecological strategy - refresh</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>A refresh of the Climate and ecological strategy.</p>	<p><b>Decision Maker</b> Cabinet</p>	<p><b>Decision Date</b> 28 Mar 2023</p>	<p>Place and Resources Scrutiny Committee</p>	<p>Portfolio Holder for Highways, Travel and Environment</p>	<p><i>Steven Ford, Corporate Director for Climate and Ecological Sustainability Executive Director, Place (John Sellgren)</i></p>
<p><b>Council decision making building in climate and ecological considerations</b></p> <p><b>Key Decision</b> - Yes <b>Public Access</b> - Open</p> <p>A new decision-making tool to embed climate and ecological considerations.</p>	<p><b>Decision Maker</b> Cabinet</p>	<p><b>Decision Date</b> 28 Mar 2023</p>	<p>Audit and Governance Committee 16 Jan 2023</p>	<p>Portfolio Holder for Highways, Travel and Environment</p>	<p><i>Steven Ford, Corporate Director for Climate and Ecological Sustainability Executive Director, Place (John Sellgren)</i></p>

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
April					
<p><b>Dorset Council Plan Priorities Update: Working with the Integrated Care System</b></p> <p><b>Key Decision</b> - No <b>Public Access</b> - Open</p> <p>To receive a report of the Portfolio Holder for Social Care and Health.</p>	<p><b>Decision Maker</b> Cabinet</p>	<p><b>Decision Date</b> 25 Apr 2023</p>		<p>Deputy Leader and Portfolio Holder for Adult Social Care and Health</p>	<p><i>Executive Director, People - Adults</i></p>
May					
<p><b>Dorset Council Plan Priorities Update: Value for Money (Unitary Council Benefits)</b></p> <p><b>Key Decision</b> - No <b>Public Access</b> - Open</p> <p>To receive a report of the Portfolio Holder for Finance, Commercial and Capital Strategy.</p>	<p><b>Decision Maker</b> Cabinet</p>	<p><b>Decision Date</b></p>		<p>Portfolio Holder for Finance, Commercial and Capital Strategy</p>	<p><i>Executive Director, Corporate Development - Section 151 Officer (Aidan Dunn)</i></p>

### **Private/Exempt Items for Decision**

Each item in the plan above marked as 'private' will refer to one of the following paragraphs.

1. Information relating to any individual.
2. Information which is likely to reveal the identity of an individual.
3. Information relating to the financial or business affairs of any particular person (including the authority holding that information).
4. Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority.
5. Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings.
6. Information which reveals that the shadow council proposes:-
  - (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or
  - (b) to make an order or direction under any enactment.
7. Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime.

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Date of committee: 26 July 2022

Date published: 27 July 2022

Date of implementation: 4 August 2022

**DECISIONS OF THE CABINET  
26 JULY 2022**

The following decisions were made by the Cabinet on 26 July 2022 and will come into force and may be implemented on 4 August 2022 unless the decision is called in for scrutiny.

In accordance with the council's constitution, any six members of the same relevant Scrutiny Committee may request the Monitoring Officer to 'call-in' a decision for scrutiny. The Monitoring Officer will be provided with written notice that will identify the decision to be called-in and the ground for the call-in when the request is made. If satisfied that there are reasonable grounds for the proposed call-in, the Monitoring Officer will notify the decision-maker of the call-in within 5 clear working days. The deadline for this request is **3 August 2022**

The full call-in procedure is set out in the Constitution or for further information and advice please telephone Kate Critchel on 01305 252234

## **6 QUARTER 1 2022/23 FINANCIAL MONITORING REPORT**

- (a) That the Senior Leadership Team's forecast of the full year's outturn for the Council, made at the end of Quarter 1, including progress of the transformational and tactical savings incorporated into the budget, be noted.
- (b) That the capital programme for 2022/23 including the slippage from previous years, and the work taking place to review this before the capital strategy for 2023/24 is developed, be noted.
- (c) That the opening position for the Medium-Term Financial Plan (MTFP) refresh and the budget timetable headlines be noted.
- (d) That the budget movements (virements) set out in the report to Cabinet of 26 July 2022, be agreed.

### **Reason for the decision**

The Council has responsibilities to deliver within its corporate plan and it must do this within the resources made available through the revenue and capital budgets for 2022/23. The report summarised the Council's forecast financial performance for the year at the end of the first quarter.

## **8 ESTABLISHMENT OF A SHAREHOLDER COMMITTEE FOR CARE DORSET**

- (a) That an Executive Committee be established, to be known as 'The Shareholder Committee for Care Dorset Holdings Limited'.
- (b) That 5 members of the Executive be appointed to the Shareholder Committee.
- (c) That the Terms of Reference for the Shareholder Committee be approved.
- (d) That delegated authority be given to the Shareholder Committee within the scope of its terms of reference, including strategic oversight and Reserved Matter decisions.

### **Reason for the decision**

To establish formal governance arrangements for the performance of the Council's shareholder function for Care Dorset Holdings Limited.

## **9 LOCAL GOVERNMENT & SOCIAL CARE OMBUDSMAN - INVESTIGATION INTO A COMPLAINT IN CONNECTION WITH SPECIAL EDUCATION NEEDS PROVISION**

- (a) That the eight recommendations of the Local Government and Social Care Ombudsman, as set out below in Section 3.1 of the report to Cabinet of 26 July 2022, be accepted.
- (b) Adopt as actions to be taken by the Council the further recommendations made by the Ombudsman, as set out and commented upon in Section 3.3 of the report.
- (c) The action taken since receipt of the Ombudsman's report be noted, and agree that the Children's Services Strengthening Services Board (Chaired by the Chief Executive) should:
- (i) Oversee implementation of the actions referred to in the second recommendation; and,
  - (ii) Review the Ombudsman's focus report "Out of school, out of sight" and implement any necessary learning from that report.
- (d) That People and Health Scrutiny Committee be invited to:
- (i) add the Council's ongoing performance in addressing the Ombudsman's criticisms and concerns to the Committee's forward work programme, and
  - (ii) commission the South West Audit Partnership to undertake focused work to provide assurance that the actions being taken in response to the Ombudsman's report are embedded in procedure and in practice.
- (e) Send the minutes of this meeting to all Councillors as the Cabinet's response to the Monitoring Officer's report.

### **Reason for the decision**

The purpose of a section 5A Monitoring Officer report was to ensure that the findings of the Ombudsman were brought to the attention of Cabinet and acted upon. There were also legal requirements that the report be sent to all other Dorset Council councillors and that notices of the Ombudsman's findings be published in a local newspaper.

These transparency requirements reflect the seriousness of a formal finding of maladministration and injustice and are to ensure that the Cabinet and the

Council as whole is satisfied that an appropriate action plan is put in place so that:

- Wider systemic issues identified by the Ombudsman are addressed and
- There is no repetition of the failings identified by the Ombudsman.

## **10 MODERN SLAVERY TRANSPARENCY STATEMENT**

Decision

That the Modern Slavery Transparency Statement for the financial year 2021-22 be published.

#### **Reason for the decision**

A forthcoming legislative change to the Modern Slavery Act, section 54, will result in a mandatory requirement for any local authority with a budget of £36m, and above, to publish a Modern Slavery Transparency Statement on an annual basis.

### **11 DORSET COUNCIL SCHOOL TRANSPORT POLICIES 2022-2023**

- (a) The Home to School Transport Assistance Eligibility Policy for Children and Young People attending School 2022-2023 be approved and adopted, which includes a rise in the surplus seat price from £800 to £825.
- (b) The Dorset Post 16 Transport Support Policy for 2022-2023 which includes a rise in the surplus seat price from £800 to £825 be approved and adopted.
- (c) A schedule of increase of the Surplus Seat Cost in line with the prevailing Retail Price Index is implemented each year without the need to reconsult.
- (d) The Home to School Transport Assistance Eligibility Policy for Children and Young People attending School and Post 16 Transport Support Policy are re-consulted on only either when there is a significant change to the eligibility criteria; or where there are changes to the statutory guidance that would require significant change to either policy; or in October 2026 for the 2027-2028 policy – whichever is the earliest.
- (e) The Home to School and Post 16 Transport Policies be rewritten in plain English.

#### **Reason for the decision**

Dorset Council has a duty to provide Home to School Transport services to eligible pupils and to assist in supporting pupils attending Post 16 provision.

### **16 ADULT SOCIAL CARE - FUTURE SERVICES**

That the detailed recommendations set out within the exempt report, and as amended by Cabinet of 26 July 2022, be approved.

#### **Reason for the decision**

To approve a delivery approach for this project.

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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