



Place and Resources Scrutiny Committee

Date: Monday, 17 October 2022
Time: 2.00 pm
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

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. APOLOGIES	
To receive any apologies for absence.	
2. MINUTES	5 - 10
To confirm the minutes of the meeting held on 5 July 2022.	
3. DECLARATIONS OF INTEREST	
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 by 8.30am on 12 October 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 lindsey.watson@dorsetcouncil.gov.uk by 8.30am on 12 October 2022.

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 - 82

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** 83 - 88
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 17 October 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 Plan¹

- 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

¹ 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

- 2016/17124
- 2017/18312
- 2018/19289
- 2019/20499
- 2020/21376

North Dorset area new homes delivered

- 2016/17142
- 2017/18159
- 2018/19223
- 2019/2096
- 2020/21201

Purbeck area new homes delivered

- 2016/1789
- 2017/18124
- 2018/1973
- 2019/20148
- 2020/21131

West Dorset, Weymouth & Portland area new homes delivered

- 2016/17772
- 2017/18633
- 2018/19925
- 2019/20697
- 2020/21671

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 applies². 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

² 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 17 October 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
Title: Service Manager for Assurance
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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			
Heading	Page No.	Heading	Page No.
Introduction	2	Risk Ranking Matrix identifies the level of risk	4
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				

Impact	Catastrophic 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
	Major 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
	Moderate 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
	Slight 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
	Limited Score one	Day-to-day operational problems; Monetary loss less than £100k

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

Level of Risk	EXTREME (20-25)	Risks at this level sit above our tolerance and form the biggest risks. 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.
	HIGH-LEVEL (12-16)	The Council is not willing to take risks at this level and action should be taken immediately. 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.
	MEDIUM (5-10)	While these risks can be tolerated, controls should be identified to bring the risk down to a more manageable level. 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.
	LOW (1-5)	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 achievement of objectives. Due to the low level, it is unlikely that additional controls will be identified to respond to the risk. Minor level risks with little consequence but not to be overlooked completely.

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.

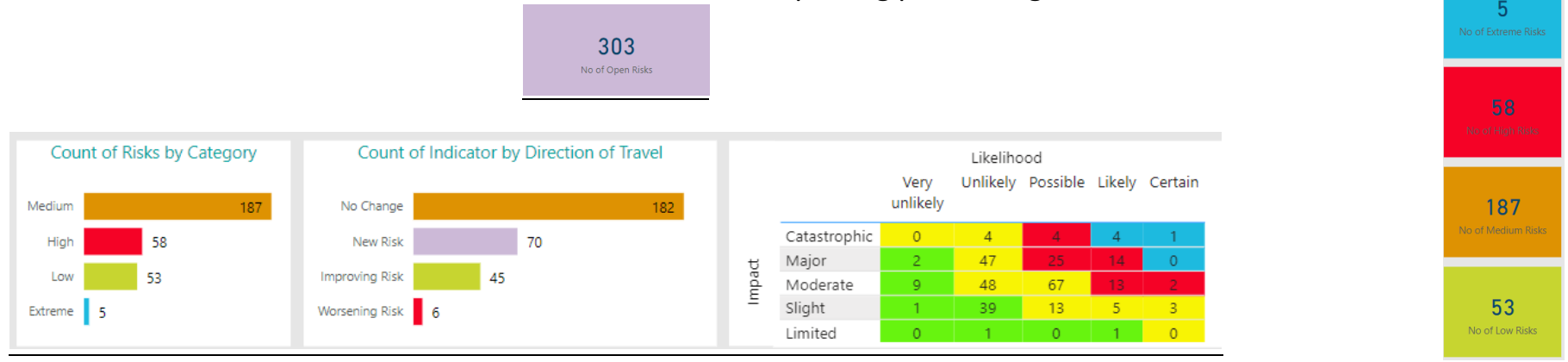
The full Services Risk Register can be viewed from this link [HERE](#)

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).

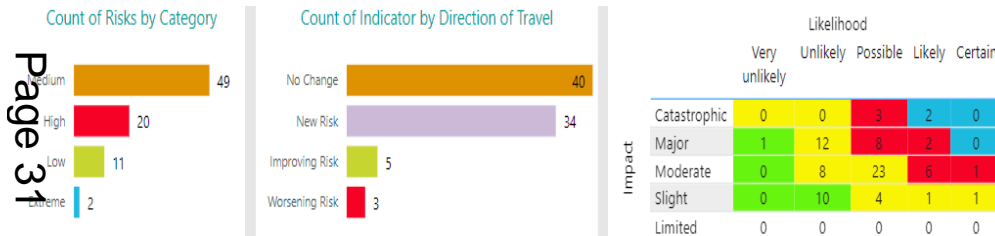
Every risk will be considered as unique, with its own significance. Once risks have been scored using the Risk Assessment Matrix, the next step is to understand what this score means and use it to inform a suitable response.

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.

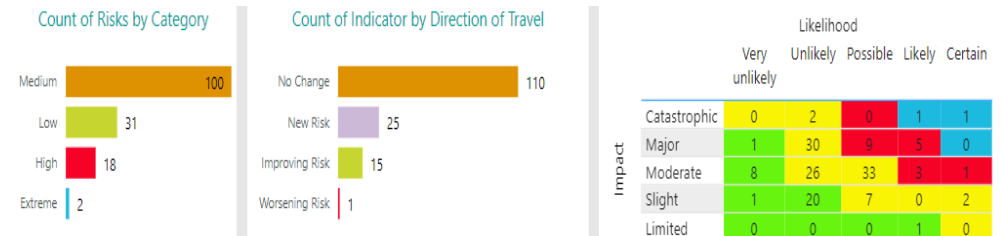
A SUMMARY of PERFORMANCE of the risks for this reporting period August 2022



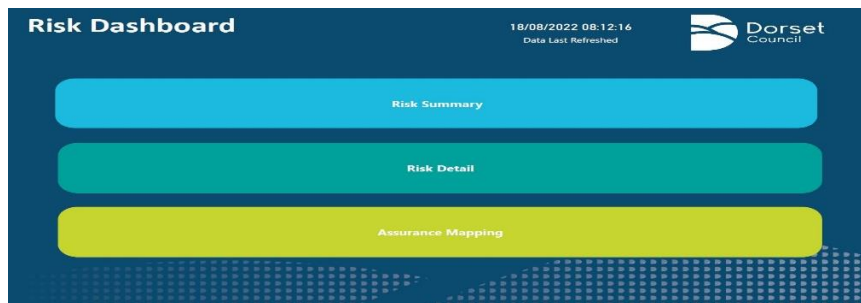
Corporate



Place



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



Risk Dashboard can be found [HERE](#)

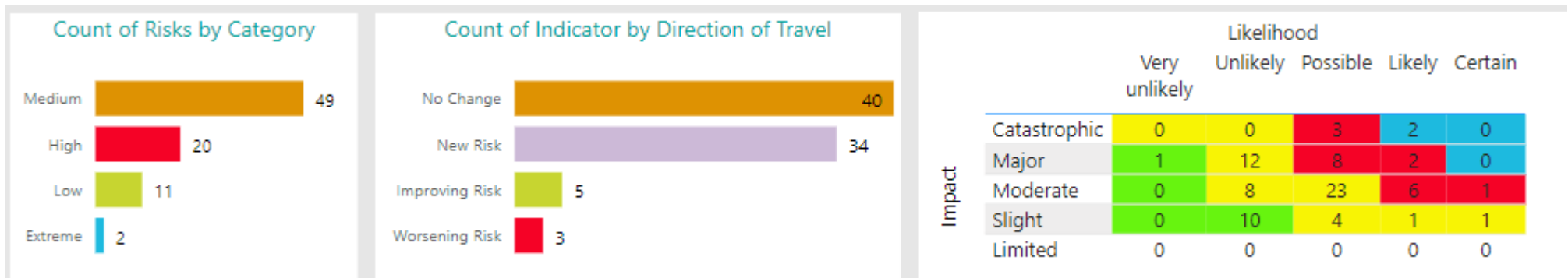
Risk Management Update Report

Corporate Services

Extreme and High-level Risks

August 2022

Page 32



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

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						Direction of Travel No Change		Last Reviewed 27 July 2021			
Risk Owner Service Manager for HR 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									
		Impact	4	Likelihood	3		Impact		Likelihood		
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 DCs 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.											

Page 35

Risk 349 - There is a risk that the HR Manager Self-Service model is inconsistently applied across the council by managers						Direction of Travel No Change		Last Reviewed 17 August 2021			
Risk Owner Service Manager for HR 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									
		Impact	3	Likelihood	5		Impact		Likelihood		
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 a round 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 a reas of concern. Work underway to introduce improvements to systems and process (i.e., DES, Recruit) to simplify common tasks performed 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.						Direction of Travel No Change		Last Reviewed 27 August 2021			
Risk Owner Service Manager for HR 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									
		Impact	4	Likelihood	3		Impact		Likelihood		
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	
Update - Countermeasures for this risk can be split into two categories, Likelihood reduction and Impact reduction.											
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.											
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.											
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.											
UPDATE: 04/08/2022 - The total number of vulnerabilities in the council's infrastructure has been reduced by 82% in the last 12 months.											
UPDATE: 04/08/2022 - SIEM capabilities are deployed within the council and are maturing.											
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.											
UPDATE: 04/08/2022 - Immutable backup capabilities have been deployed in the council.											
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.											
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.											

Risk 348 - There is a business continuity risk from delayed ICT recovery after a disruption such as a power failure.						Direction of Travel No Change		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					Medium				
		Impact	5	Likelihood	4		Impact	3	Likelihood	3	
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.											
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.											

Legal & Democratic Services

Page 37

Risk 389 - Information Compliance - Inadequate compliance with individuals rights under data protection law						Direction of Travel Worse		Last Reviewed 28 July 2022					
Risk Owner Service Manager for Assurance		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	3	Likelihood	2
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.													
Controls - Dedicated Subject Access Request team in the Assurance Service. Outsource provider. Rees Foundation.													

Risk 393 - Information Compliance - Inadequate "data protection by design and default" culture and processes						Direction of Travel No Change		Last Reviewed 28 July 2022			
Risk Owner Service Manager for Assurance	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	3	Likelihood	2	
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.											

Communications and Engagement

Risk 314 - Lack of capacity to focus on core campaigns (Comms)						Direction of Travel No Change		Last Reviewed 11 May 2021			
Risk Owner Head of Communications and Engagement	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									
		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.											

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						Direction of Travel No Change		Last Reviewed 19 July 2021			
Risk Owner Head of Communications and Engagement	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									
		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

Risk 435 - Failure to bill correctly and /or collect Council Tax						Direction of Travel No Change		Last Reviewed 26 July 2022			
Risk Owner Head of Revenues and Benefits	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									
		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.											

Risk 436 - Failure to bill correctly and / or collect Non-Domestic Rates						Direction of Travel No Change		Last Reviewed 26 July 2022			
Risk Owner Head of Revenues and Benefits	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									
		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.											

Page 99

Risk 458 - BACS - failure to collect direct debits and/or make Housing Benefits payment						Direction of Travel No Change		Last Reviewed 26 July 2022			
Risk Owner Head of Revenues and Benefits	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									
		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.											

Risk 433 - Failure to manage the cessation of partnership with BCP council						Direction of Travel No Change		Last Reviewed 27 July 2022			
Risk Owner Head of Revenues and Benefits	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									
		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 amicabale 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.											

Risk 448 - Loss of ICT service due to cyber attack						Direction of Travel No Change		Last Reviewed 27 July 2022			
Risk Owner Head of Revenues and Benefits	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									
		Impact	5	Likelihood	3		Impact		Likelihood		
Update –											

Risk 432 - Failure to recruit, train, retain key personnel						Direction of Travel No Change		Last Reviewed 27 July 2022			
Risk Owner Head of Revenues and Benefits	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									
		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

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.						Direction of Travel No Change		Last Reviewed 19 July 2022			
Risk Owner Corporate Director – Transformation, Innovation & Change	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					Low				
		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 CPMI reporting to the MTFP.											

Risk 330 – The inability to attract, retain or afford sufficient staff to deliver the organisation’s ambitions						Direction of Travel Worse		Last Reviewed 19 July 2022			
Risk Owner Corporate Director– Transformation, Innovation & Change	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					Low				
		Impact	4	Likelihood	4		Impact	3	Likelihood	3	
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.											
Treat – continue with the activity and bring the risk to an acceptable level.											
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.											

Page 7

Risk 317 - Policy work slower than required						Direction of Travel No Change		Last Reviewed 11 May 2021			
Risk Owner Service Manager for Business Intelligence & Performance	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									
		Impact	3	Likelihood	4		Impact		Likelihood		
Update - Resource issues. Results in lack of corporate oversight of key council policies, horizon scanning and funding opportunities.											

Corporate Management Team

Risk 377 - Failure to understand the impact of government policy changes on future service delivery						Direction of Travel No Change		Last Reviewed 4 August 2022			
Risk Owner Senior Leadership Team	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	3	Likelihood	3	
Update - There is currently a vacancy for the Policy and Strategy Business Partner within the BI & 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.											
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.											
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.											

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

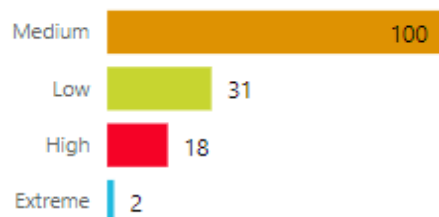
Place Directorate

Extreme and High-level Risks

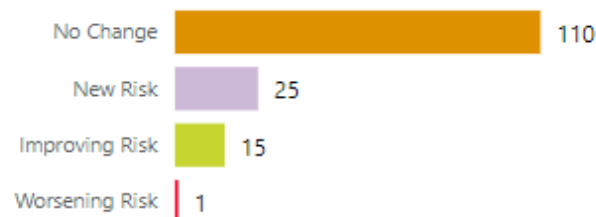
August 2022

Page 43

Count of Risks by Category



Count of Indicator by Direction of Travel



	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

Risk 138 - Breach of health and safety at an occupied premise (Directorate Duty Holder)						Direction of Travel No Change		Last Reviewed 4 August 2022			
Risk Owner Corporate Director of Assets & Property	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					High-Level				
		Impact	4	Likelihood	3		Impact	4	Likelihood	3	
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.											

Page 46

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						Direction of Travel New Risk		Last Reviewed 4 August 2022			
Risk Owner Corporate Director of Assets & Property	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	5		Impact	4	Likelihood	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.											

Risk 228 - Failure to secure investment funding for Dorset results in inability to enable economic growth needed for Dorset residents to thrive.						Direction of Travel No Change		Last Reviewed 4 August 2022		
Risk Owner Service Manager for Growth & Economic Regeneration	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	3	Likelihood	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.										

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

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						Direction of Travel Worse		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-imbursement 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.											

Risk 364 - OVERHANGING TREES 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 No Change		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).

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						Direction of Travel New Risk		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	3	Likelihood	3	
Update - A forecast overspend of 20% has been built into the budget. Recent tenders suggest price increases running at >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.											
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.											
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.											

Economy Infrastructure and Growth – HIGHWAYS

Risk 84 - Failure to deliver a safe and suitable alternative to the current arrangements for Wareham Level Crossing						Direction of Travel No Change		Last Reviewed 5 August 2022		
Risk Owner Service Manager for Infrastructure & Assets	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								
		Impact	4	Likelihood	4		Impact		Likelihood	
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.										
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										

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.

Risk 73 - Failure to attract funding for asset maintenance						Direction of Travel No Change	Last Reviewed 5 August 2022			
Risk Owner Service Manager for Infrastructure & Assets	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								
		Impact	4	Likelihood	3		Impact		Likelihood	
Update - The new HAMP/AMP review will help us to understand whole life cost better. Inspection regimes for cycleways 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 bid 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.										

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.

Risk 292 - Winter Service budget pressures						Direction of Travel No Change		Last Reviewed 5 August 2022			
Risk Owner Service Manager for Network 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									
		Impact	4	Likelihood	3		Impact		Likelihood		
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.											
Pa 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.											

Risk 63 - Inability to maintain the highways infrastructure to an acceptable standard in the face of changing circumstances (e.g., budget reductions; climate change)						Direction of Travel No Change		Last Reviewed 5 August 2022			
Risk Owner Service Manager for Network 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									
		Impact	4	Likelihood	3		Impact		Likelihood		
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.											
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 funning 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 & 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.											

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.

Risk 469 - Failure of parking machines due to mechanical issues or technology becoming out of date						Direction of Travel New Risk		Last Reviewed 10 May2022			
Risk Owner Service Manager for Network 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									
		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

0051

Risk 375 - Gap exists between amount of available resource and ability to deliver statutory demand						Direction of Travel No Change		Last Reviewed 17 August 2021			
Risk Owner Place Management Team	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									
		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.											

Risk 373 - An inability to recruit into key / critical posts						Direction of Travel No Change		Last Reviewed 10 December 2021			
Risk Owner Place Management Team	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									
		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

Risk 293 - Failure to secure capital to develop and maintain waste infrastructure						Direction of Travel No Change		Last Reviewed 3 August 2022		
Risk Owner Head of Commercial Waste and Strategy	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	3		Impact	4	Likelihood	2
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 o-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.										

Page 52

Risk 381 - Cost of contracted services (HRCs operation, transportation) increases when retendered						Direction of Travel No Change		Last Reviewed 3 August 2022			
Risk Owner Head of Commercial Waste and Strategy	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	4	Likelihood	3	
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.											

Risk 382 - Change of regulations leads to higher cost of waste treatment						Direction of Travel No Change		Last Reviewed 3 August 2022			
Risk Owner Head of Commercial Waste and Strategy	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					High-Level				
		Impact	4	Likelihood	4		Impact	4	Likelihood	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.											

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						Direction of Travel Improved		Last Reviewed 4 August 2022		
Risk Owner Service Manager for Engineering & Special Projects	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	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

Title	Description	Date of committee meeting	Requested by	Report author	Portfolio Holder	Other meetings? (Cabinet)
Delivery of new homes across Dorset	Review of housing delivery against adopted Local Plan targets	17 October 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'.	17 October 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	17 October 2022	Committee request	Peter Hopkins – Corporate Director – Assets & Property	Cllr Tony Ferrari – Portfolio Holder for Economic Growth, Assets & Property	

Title	Description	Date of committee meeting	Requested by	Report author	Portfolio Holder	Other meetings? (Cabinet)
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	

Title	Description	Date of committee meeting	Requested by	Report author	Portfolio Holder	Other meetings? (Cabinet)
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	
Commercialisation Transformation Programme	Overview of the Commercialisation Transformation Programme and work completed/in progress under the four connected themes which define “being commercially minded” and the progress to date	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

Title	Description	Date of committee meeting	Requested by	Report author	Portfolio Holder	Other meetings? (Cabinet)
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

Title	Description	Date of committee meeting	Requested by	Report author	Portfolio Holder	Other meetings? (Cabinet)
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 - November 2022 to February 2023 (Publication date – 4 OCTOBER 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

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

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
November					
Quarter 2 2022/23 Financial Monitoring Report Key Decision - No Public Access - Open To consider the Quarter 2 Financial Monitoring Report for 2022/23.	Decision Maker Cabinet	Decision Date 1 Nov 2022		Portfolio Holder for Finance, Commercial and Capital Strategy	<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>
Dorset Council 20mph speed limit Process and Guidance Key Decision - Yes Public Access - Open A report setting out the council's approach to 20mph speed limits.	Decision Maker Cabinet	Decision Date 1 Nov 2022	Place and Resources Overview Committee 6 Oct 2022	Portfolio Holder for Highways, Travel and Environment	<i>Wayne Sayers, Transport Planning Manager</i> <i>wayne.sayers@dorsetcouncil.gov.uk</i> <i>Executive Director, Place (John Sellgren)</i>
Update on Children in Care Strategy and Plan Key Decision - Yes Public Access - Open To review a proposal to increase fees for foster carers to ensure the offer of Dorset Council is comparative to neighbouring authorities and recognises the work that out foster carers do for our children.	Decision Maker Cabinet	Decision Date 1 Nov 2022	People and Health Overview Committee 24 Oct 2022	Portfolio Holder for Children, Education, Skills and Early Help	<i>Louise Drury, Head of Service Children in Care and Care Leavers</i> <i>louise.drury@dorsetcouncil.gov.uk</i> <i>Executive Director, People - Children (Theresa Leavy)</i>

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
Wild Woodbury Suitable Alternative Natural Greenspace Key Decision - Yes Public Access - Open The project forms part of the Heathland Interim Mitigation Strategy for the emerging Purbeck Plan and has been approved under the scheme of delegation for the delivery of habitat mitigation CIL spend by the Heathland Mitigation Steering Group. Proposed spend exceeds £500,000.	Decision Maker Cabinet	Decision Date 1 Nov 2022		Portfolio Holder for Planning	Bridget Betts, Environmental Advice Manager bridget.betts@dorsetcouncil.gov.uk, Hilary Jordan, Service Manager for Spatial Planning hilary.jordan@dorsetcouncil.gov.uk Executive Director, Place (John Sellgren)
Wimborne neighbourhood Plan Key Decision - Yes Public Access - Open To adopt final versions of the suite of commissioning strategies to form the basis of the Council's priorities under this portfolio for the coming five year. This will follow a period of public engagement and will include mechanisms for ensuring that the documents can be used as further work is done.	Decision Maker Cabinet	Decision Date 1 Nov 2022		Portfolio Holder for Planning	Ed Gerry, Community Planning Manager ed.gerry@dorsetcouncil.gov.uk Executive Director, Place (John Sellgren)
Dorset Council Plan Priorities Update: Adult Social Care Key Decision - No Public Access - Open To receive a report from the Portfolio Holder for Adult Social Care & Health.	Decision Maker Cabinet	Decision Date 1 Nov 2022		Deputy Leader and Portfolio Holder for Adult Social Care and Health	Executive Director, People - Adults

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
Introduction of Investment Zone in Dorset Key Decision - Yes Public Access - Open To consider the introduction of an Investment Zone in Dorset	Decision Maker Cabinet	Decision Date 1 Nov 2022		Portfolio Holder for Economic Growth, Assets and Property	<i>John Sellgren, Executive Director, Place</i> <i>john.sellgren@dorsetcouncil.gov.uk</i> <i>Executive Director, Place (John Sellgren)</i>
Coombe House - Expansion of School Provision and Conference and Training Facilities Key Decision - Yes Public Access - Fully exempt Continuation of building programme on this site to provide the school with capacity for 230 pupils as well as the establishment of the Conference and Training Facilities.	Decision Maker Cabinet	Decision Date 1 Nov 2022		Portfolio Holder for Children, Education, Skills and Early Help, Portfolio Holder for Economic Growth, Assets and Property	<i>Paul Scothern, Manager- Assets & Property</i> <i>paul.scothern@dorsetcouncil.gov.uk</i> <i>Executive Director, People - Children (Theresa Leavy)</i>
New Household Recycling Centre for the Eastern Area of Dorset Key Decision - Yes Public Access - Fully exempt Selection of the preferred location for the new Household recycling Centre to serve the eastern area of Dorset.	Decision Maker Cabinet	Decision Date 1 Nov 2022	Place and Resources Overview Committee 6 Oct 2022	Portfolio Holder for Culture, Communities and Customer Services	<i>Gemma Clinton, Head of Commercial Waste and Strategy</i> <i>gemma.clinton@dorsetcouncil.gov.uk</i> <i>Executive Director, Place (John Sellgren)</i>
December					

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
<p>Dorset Council Plan Priorities Update: Climate and Ecology, Assets and Property</p> <p>Key Decision - No Public Access - Open</p> <p>To receive an update from the Portfolio Holders for Highways, Travel and Environment and Economic Growth, Assets and Property.</p>	Decision Maker Cabinet	Decision Date 6 Dec 2022		Portfolio Holder for Highways, Travel and Environment, Portfolio Holder for Economic Growth, Assets and Property	<i>Executive Director, Place (John Sellgren)</i>
January 2023					
<p>Quarter 3 2022/23 Financial Monitoring Report</p> <p>Key Decision - Yes Public Access - Open</p> <p>To consider the Quarter 3 Financial Monitoring Report for 2022/23.</p>	Decision Maker Cabinet	Decision Date 17 Jan 2023		Portfolio Holder for Finance, Commercial and Capital Strategy	<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>Medium Term Financial (MTFP) and Budget Strategy Report</p> <p>Key Decision - Yes Public Access - 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>	Decision Maker Dorset Council	Decision Date 14 Feb 2023	<p>Cabinet People and Health Scrutiny Committee Place and Resources Scrutiny Committee 17 Jan 2023 9 Dec 2022 12 Dec 2022</p>	Portfolio Holder for Finance, Commercial and Capital Strategy	<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>

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
Commissioning Strategies for Adult Social Care Key Decision - Yes Public Access - Open 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.	Decision Maker Cabinet	Decision Date 17 Jan 2023	People and Health Overview Committee 16 Dec 2022	Deputy Leader and Portfolio Holder for Adult Social Care and Health	Jonathan Price, Interim Corporate Director for Commissioning jonathan.price@dorsetcouncil.gov.uk Executive Director, People - Adults
Fees and Charges Policy Key Decision - No Public Access - Open To approve the Fees and Charges Policy.	Decision Maker Cabinet	Decision Date 17 Jan 2023	Place and Resources Overview Committee 24 Nov 2022	Portfolio Holder for Finance, Commercial and Capital Strategy	Dawn Adams, Service Manager for Commercial and Procurement dawn.adams@dorsetcouncil.gov.uk Executive Director, Corporate Development - Section 151 Officer (Aidan Dunn)
Dorset Council Plan Priorities: One Customer Account and Digital Innovation Key Decision - Yes Public Access - Open To receive a report from the Portfolio Holders for Corporate Development and Transformation and for Culture, Communities and Customer Services.	Decision Maker Cabinet	Decision Date 17 Jan 2023		Portfolio Holder for Corporate Development and Transformation, Portfolio Holder for Culture, Communities and Customer Services	Executive Director, Place (John Sellgren)
February					

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

Subject / Decision	Decision Maker	Date the Decision is Due	Other Committee(s) consulted and Date of meeting(s)	Portfolio Holder	Officer Contact
Council decision making building in climate and ecological considerations Key Decision - Yes Public Access - Open A new decision-making tool to embed climate and ecological considerations.	Decision Maker Cabinet	Decision Date 28 Mar 2023	Audit and Governance Committee 16 Jan 2023	Portfolio Holder for Highways, Travel and Environment	<i>Steven Ford, Corporate Director for Climate and Ecological Sustainability Executive Director, Place (John Sellgren)</i>

April

Dorset Council Plan Priorities Update: Working with the Integrated Care System Key Decision - No Public Access - Open To receive a report of the Portfolio Holder for Social Care and Health.	Decision Maker Cabinet	Decision Date 25 Apr 2023		Deputy Leader and Portfolio Holder for Adult Social Care and Health	<i>Executive Director, People - Adults</i>
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May

Dorset Council Plan Priorities Update: Value for Money (Unitary Council Benefits) Key Decision - No Public Access - Open To receive a report of the Portfolio Holder for Finance, Commercial and Capital Strategy.	Decision Maker Cabinet	Decision Date		Portfolio Holder for Finance, Commercial and Capital Strategy	<i>Executive Director, Corporate Development - Section 151 Officer (Aidan Dunn)</i>
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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
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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.

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.

Date of committee: 6 September 2022

Date published: 6 September 2022

Date of implementation: 15 September 2022

DECISIONS OF THE CABINET 6 SEPTEMBER 2022

The following decisions were made by the Cabinet on 6 September 2022 and will come into force and may be implemented on 15 September 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 **14 September 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

7 ADDITIONAL PROCUREMENT FORWARD PLAN REPORT - OVER £500K (2022 - 2023)

Cabinet considered the contents of the report of 6 September 2022, in respect of proposed contracts as set out in Appendix 1, which were in addition to those on the forward plan that was approved by Cabinet on 1 March 2022 and

It was agreed:

- (a) To begin each procurement processes listed in Appendix 1 of the report.
- (b) That in each instance the further step of making any contract award should be delegated to the relevant Cabinet portfolio holder, in consultation with the relevant Executive Director.

Reason for the decision

Cabinet is required to approve all key decisions with financial consequences of £500k or more. It is also good governance to provide Cabinet with a summary of all proposed procurement prior to them formally commencing.

8 STRATEGIC COMMUNITY INFRASTRUCTURE LEVY (CIL) EXPENDITURE - 2022

That the expenditure of Strategic Community Infrastructure Levy (CIL) Funding toward the projects as set out in the report of 6 September 2022 and accompanying appendices, be approved.

Reason for the decision

To ensure the delivery of important infrastructure to support growth and development.

9 PAN-DORSET SAFEGUARDING CHILDREN PARTNERSHIP

That the Pan-Dorset Safeguarding Children's Partnership (PDSCP) Annual Report 2021-22 be received and noted.

Reason for the decision

The production of an annual report was a statutory responsibility and therefore the endorsement of the four statutory partners (Dorset Council, BCP Council, NHS Dorset, Dorset Police) of the safeguarding partnership was required.

10 SEND CAPITAL STRATEGY IMPLEMENTATION PLAN

- (a) That the budget allocation, as set out in the Appendix to the report of 6 September 2022, to enable a range of projects to be delivered as part of the SEND Capital Strategy, be approved.

The projects set out total an approximate delivery of 228 new specialist places for the capital investment plus any yet to be determined variation to the PFI contract at The Sir John Colfox Academy.

- (b) That authority be delegated to the Executive Director for Place, in consultation with the Executive Director for People - Children's to enter construction contracts at the appropriate time, in line with an existing delegation.

This will be subject to the outcome of the formal consultation process in respect of each project and provided that following procurement, the project is within the set budget level of this Cabinet paper.

- (c) That authority be delegated to the Executive Director for People – Children to agree to the commencement of any required 4-week formal consultation period, in line with relevant statutory guidance.

Exercise of this delegation will be necessary if a school is to be required to formally expand their capacity by more than 10% or 20 places as part of this programme of works, at the appropriate time.

Reason for the decision

To show the progress of the implementation of the SEND capital strategy and to approve the next phase of projects for delivery.

11 REDLANDS COMMUNITY SPORTS HUB LEASE AND MANAGEMENT ARRANGEMENTS

- (a) That the Corporate Director for Assets & Property be authorised to agree the terms of the schedule of surrender payments and timeline for Weymouth College to surrender the lease at Redlands Community Sports Hub.
- (b) That the Corporate Director for Assets & Property be authorised to agree the terms to complete the early lease surrender with Weymouth College, agreeing the level of surrender payment and the grant of a new 30-year lease to Active Dorset for Redlands Community Sports Hub, with a break clause for either party at 5 years.
- (c) That the Council agrees to insure and maintain the fabric of the buildings, boundary fencing, car parks, access roads and any other built infrastructure at Redlands Community Sports Hub for the period of the lease to the extent of maintaining a wind, watertight and accessible site.
- (d) That the Council acknowledges the 8-year revenue forecast set out at Appendix 3 of the report and agrees to provide cash flow support (if required) for the period of the initial business case and the 8-year revenue projections forecast to be built into the Dorset Council Medium Term Financial Plan.
- (e) That the Place and Resources Scrutiny Committee be asked to undertake a review of the arrangements at an appropriate time.

Reason for the decision

The Council recognises the financial challenges for Weymouth College in continuing to manage the community facilities at Redlands and granting an early lease surrender will enable them to focus solely on their educational priorities.

Active Dorset have a passion for helping people to be more active, and their exciting plans for developing the volunteer led community café and sports fields will enable far greater community use for all ages.

12 AMATEUR ARCHAEOLOGICAL FIELDWORK AND METAL DETECTING ON DORSET COUNCIL LAND POLICY

That the Archaeological Fieldwork and Metal Detecting on Dorset Council Land Policy be adopted including the suggested amendments made by the Place and Resources Overview Committee as follows:

- Removal of the word 'amateur' from the policy and replacing it in some places with 'non-professional'
- Including the following wording in bullet point 7 in paragraph 5.1 of the policy on safeguarding issues: 'Demonstrate awareness of health and safety measures appropriate to the activity for which permission is being requested, including safeguarding, as necessary.'
- Including the following wording in point 3.1 of the policy on highway verges: 'This policy applies to all Dorset Council land, including highways and verges'

Reason for the decision

The old metal detecting on Dorset Council farms policy is out of date and does not include all Dorset Council land. The revised Archaeological Fieldwork and Metal Detecting on Dorset Council Land Policy provides an updated version.

Date of committee: 4 October 2022

Date published: 4 October 2022

Date of implementation: 12 October 2022

DECISIONS OF THE CABINET 4 OCTOBER 2022

The following decisions were made by the Cabinet on 4 October 2022 and will come into force and may be implemented on 12 October 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 **11 October 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 MEDIUM TERM FINANCIAL PLAN (MTFP) AND BUDGET STRATEGY

- (i) That the national context and the headlines from the recent fiscal statement (the mini budget), as set out in the report, and its potential impact on this Council and its plans, be noted.
- (ii) That the updated cost pressures, as set out in the report and the validation work that has been carried out on them, be noted.
- (iii) That agrees/updates the assumptions being used in the Medium-Term Financial Plan (MTFP);
- (iv) That the financial gap arising from (ii) and (iii) above, be noted.
- (v) That the 2023/24 principles for budget setting be agreed.
- (vi) That the approach to closing the budget gap, as set out in the report, recognising that this is work in progress, be noted.
- (vii) That Portfolio Holders work with officers to continue to identify and develop further efficiencies and savings.
- (viii) That the next steps and timetable leading up to the 2023/24 budget being presented to full Council on 14 February 2023, be endorsed.

Reason for the decision

Councils are required by law to set a balanced budget. Essentially this means that expenditure is balanced by income without unsustainable use of one-off, or short-term sources of finance. This paper came to Cabinet to provide an update on the budget gap for 2023/24 and the subsequent years of the MTFP and to update on progress on action/savings to date including the 2022/23 forecast performance against budget.

7 ADULT SOCIAL CARE MARKET SUSTAINABILITY PLAN

- (i) That the issues highlighted in the sustainability of local social care services, and the interventions proposed, be noted.
- (ii) That the Market Sustainability Plan (attached to the report of 4 October 2022) for submission to the Department for Health & Social Care, be approved.
- (iii) As part of the plan, Cabinet approve the approach to the future uplifting of usual rates paid for key categories of adult social care services, always subject to available budget.
- (iv) That the proposal to submit the final plan for second review by the People & Health Overview Committee ahead of submission in February 2023, be noted and, on that basis

- (v) Authority be delegated to the Executive Director of People (Adults & Housing), in consultation with the Portfolio Holder for Adult Social Care & Health and the Executive Director of Corporate Development, to approve for submission the final version of the plan in February 2023, subject to any amendments not being of significant additional financial impact to the Council.

Reason for the decision

As set out in section 5 of the Care Act 2014, local authorities have a duty to promote the efficient and effective operation of a market in services for meeting care and support needs, with a view to ensuring services are diverse, sustainable and high quality for the local population, including those who pay for their own care

8 LOCAL DEVELOPMENT SCHEME UPDATE

That the revised timetable for the production of the Dorset Council Local Plan, the Minerals Plan, the Waste Plan and various Neighbourhood Plans within the Local Development Scheme be acknowledged and that this will come into effect as of 4 October 2022.

Reason for the decision

To enable the publication of the updated Local development scheme to outline the revised timetable for the production of the Dorset Council Local Plan and other planning documents as required by section 15 of the Planning and Compulsory Purchase Act 2004 (as amended)

9 AIR QUALITY ACTION PLAN FOR CHIDEOCK

That the Air Quality Action Plan for Chideock be approved and adopted.

Reason for decision

The Air Quality Action Plan is required as part of the Councils statutory duty within the Local Air Quality Management framework. The Council is committed to improving the air quality and it is important to consider the cost effectiveness and feasibility of different measures.

The Environment Act 2021 includes provision for additional air quality objectives related to particulate matter which have not been previously included in the national framework. The proposed AQAP reflected this addition.

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

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