

Audit and Governance Committee

May 2020 Risk Management Update

For Decision

Portfolio Holder: Cllr S Flower, Leader of the Council

Executive Director: Jonathan Mair, Corporate Director, Legal & Democratic

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Report Status: Public

Recommendation: That Audit and Governance Committee review the key risks identified in the corporate and service 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. Dorset Council continues to work to better embed and help raise awareness of the principles of risk management and to assist officers, at all levels, in applying sound risk management principles and practices. In delivering our services for Dorset residents, officers and members have established an agreed a set of strategic and operational objectives to provide the Authority with direction.

1. Executive Summary

The continual development and promotion of risk management will ensure that the Council is well placed to demonstrate that objective and informed decisions are taken and that the Council is ultimately in a strong position to successfully face and address the challenges ahead. Strategic risk management is owned by the Senior Leadership Team, with an agreed risk management policy statement setting out the Councils commitment. Corporate Directors are accountable for the top-level strategic risks. These are informed by operational service level risks owned by Heads of Service and Service Managers. This update is the first version of the quarterly report to include details and a management response for service risks identified as High (there are some gaps in this respect, as the reviews are ongoing). This report is set out in Appendix A. The reporting processes used within this report have also been adopted by the Council for its response to Covid-19.

These service risk registers are still maturing, and the Risk and Resilience Officer will attend relevant directorate management meetings to present and discuss the current risk situation and hold open surgeries with the accountable officers to update their specific risks. There is now a closer alignment between the risk management and internal audit processes, with the corporate and service risks playing a key role in informing the annual audit plan. As the risk management process matures, owners of service risks will make a judgement on the effectiveness of internal controls, with SWAP providing challenge and support to improving this control framework.

As already highlighted the overview of risk management rests with the Assurance function, which is looking to embed a culture of organisational learning from risk events that occur. It is hoped that with the update presented today that the members are given the necessary assurance that work to date surrounding risk management is taking shape and moving in the right direction. The new Risk and Resilience Officer will look to provide the necessary support to drive forward a proactive risk management approach, in conjunction with Accountable Officers and Risk Owners. Clear identification and assessment of risks will ultimately lead to a more effective use of resources and result in direct improvements to the services we can provide to our customers and stakeholders. Risk management is about taking informed decisions, achieving objectives and delivering results.

2. 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.

3. Climate implications

"Failure to protect our environment and adapt services and communities to the impacts of a changing climate" is identified as one of the 20 corporate risk themes.

4. Other Implications

None

5. Risk Assessment

Having considered the risks associated with this decision using the Council's approved risk management methodology, the level of risk has been identified as:

Current Risk: HIGH

Residual Risk: HIGH

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

6. Equalities Impact Assessment

Considering equalities issues is a key aspect of good governance, but there are no equalities issues arising directly from this report.

7. Appendices

Appendix A – Summary of Dorset Council corporate and service risks, including the scoring matrix

8. Background Papers

None



RISK MANAGEMENT: Corporate and Service Risk Register Update May 2020

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

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

[Link to Corporate Risk Register on SharePoint](#)

		Likelihood		
		L	M	H
Impact	H	55	27	12
	M	47	51	8
	L	26	11	1

CRR01 - Failure to adequately manage the financial position leads to an overspend which is untenable in the medium term

		Likelihood		
		L	M	H
Impact	H	4	4	5
	M	4	10	2
	L	5		1

High Risk: 125) Gap exists between amount of available resource and demand for statutory responsibilities (Risk Owner: Corporate Director for Adults)

Response: We are improving performance and financial management information using scorecards, enhanced reporting and more detailed financial data and analysis. This draws upon the intelligence and analysis from the monthly locality-based budget and performance meetings. A continuous drive by DLT to identify options for improving outcomes and seeking additional efficiencies and savings.

We are working with Impower to embed new ways of working – pilots happening in Ferndown re first point of contact and Adult Access Team and Bridport working with Social Workers embedding the Strengths Based Approach. We have new assistive technology initiative working partners, Argenti. This involves working at the front door as well as reviewing existing care and support arrangements for individuals. Conducting investigative work to get ahead of the game with Children’s colleagues around the needs of young people and preparing them for adulthood. Both around practice and our commissioning offer. We have initiated a monthly Debt Management Group looking at the end-to-end process of income collection and debt control.

Standardised the vacancy factor to 2% releasing £130k. More rigorous approach to managing the staffing establishment including improved recruitment processes with less reliance on agency staff and tighter control of vacancies.

High Risk: 4) Lack of joined up strategic decision making at an early stage results in increased costs for young people in transition (Risk Owner: Head of Locality Services)

Response: An Executive Advisory Panel has been convened to set the direction for Transitions with colleagues across the People directorates (for adults and children’s). The first meeting, an initial scoping workshop, is planned for 2 April 2020. A desktop exercise has taken place to draw together information, insight and data for mental health, learning disability and adults to inform the Executive Advisory Panel and identify some business as usual actions for improvement. The ownership of the Transitions budget has been transferred to Specialist Manager for Learning Disability and processes are being put into place to apply increased scrutiny and consistency around budget commitments and spend.

High Risk: 104) A lack of sufficiency and resilience (placements/residential/foster care) impacts negatively on the demands led budget for children in care (Risk Owner: Corporate Director for Care and Protection)

Response: Ensuring enough local placements for our children in care, closer to their families and communities, is a priority within our Strengthening Services for Children and Families Plan. We are undertaking focused work during Spring and Summer 2020 to further enhance our campaigns to promote Foster Care in Dorset, this has included social media and radio campaigns. We have an active group of Foster Carers who are continually helping us to shape our services and support. We are also continuing to deliver our Looked After Children Reduction Strategy agreed by Cabinet in July. This strategy explicitly states our commitment to reducing the number of children in our care. Further information on this strategy can be found [here](#) .

High Risk: 203) Loss/severe reduction of key public transport route(s) - e.g. no longer commercially viable, change to bus operator strategic direction (Risk Owner: Service Manager for Travel Operations)

Response: 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

High Risk: 154) Failure to achieve capital and revenue budget / savings targets for the MTFP (Risk Owner: Head of Commercial Waste & Strategy)
Response: Continue to promote educational campaigns, such as, 'Right Stuff, Right Bin' to maintain and increase material capture rates for recycling and composting. Use the new in-cab BARTEC system to help further drive efficiencies from the existing Recycle for Dorset Service. Maintain project register and continue to work on savings projects, such as changing collection points, working patterns and infrastructure (invest to save). Move ahead with the development of a central strategic waste transfer station to avoid an uncompetitive situation for disposal/treatment prices in Dorset. This will also build in contingency for waste services as our landfill sites close and our disposal options become increasingly limited. Ensure greater transfer capacity is at the heart of infrastructure programme. Work to reduce waste arisings and residual waste through educational campaigns (Right Stuff, Right Bin). Work with contractors to ensure contingency plans in place for Brexit.
High Risk: 156) Smaller geographical area, smaller tonnage and less competitive in waste market (Risk Owner: Head of Commercial Waste & Strategy)
Response: Ensure greater transfer capacity is at the heart of our infrastructure programme, to allow for waste to be transferred further to generate greater competition. Waste disposal contract end dates aligned with neighbouring BCP Council to allow for future opportunities for joint procuring waste disposal and treatment solutions with larger tonnages to attract more competitive rates. Continued engagement with the market to better understand what Dorset needs to do to create competition and achieve competitive disposal and treatment rates.
High Risk: 209) Change of government policy through the new DEFRA national waste strategy could impact what, and how, waste is collected and increasing costs (Risk Owner: Head of Commercial Waste & Strategy)
Response: Need to respond to further consultations when they are published in 2020. These documents will give more details of minimum collection standards which will be enforced nationally.
High Risk: 210) Commodity prices for recycle leads to increase in costs (Risk Owner: Head of Commercial Waste & Strategy)
Response: Ensure continued investment in communication and educational resources.
High Risk: 211) Failure to maintain high recycling and waste therefore diverted to more expensive disposal (Risk Owner: Head of Commercial Waste & Strategy)
Response: Ensure continued investment in communication and educational resources.
High Risk: 281) Financial viability of nursery and after school provision (Risk Owner: Corporate Director for Commissioning & Partnerships)
Response: The position of schools and early years settings is such that full DFE grant income continues to be made available irrespective of opening status. There are some pressures on school budgets that are covered by exceptional DFE grants. Early years settings are commercial settings and have in some cases responded by closure and furlough. Other settings are working closely with the Council to ensure they remain viable. Children's Services Leadership are undertaking a review of nursery and afterschool provision in order to understand the financial viability of providing nursery and afterschool provision as a fully traded service. Managers of these services have undertaken a review of income and expenditure and have put an income recovery plan in place. This will be subject to scrutiny by the management team.

CRR02 - Loss of ICT service or data through a cyber-attack

		Likelihood		
		L	M	H
Impact	H		1	
	M			
	L			

High Risk: Loss of ICT service or data through a cyber-attack (Risk Owner: Head of ICT Operations)

Response: Countermeasures for this risk can be split into 2 categories, Likelihood reduction and Impact reduction.

Likelihood reduction: The most likely risk trigger is a successful phishing attempt that yields user credentials or allows malware to be installed on a device. Current industry data suggests that successful phishing campaigns account for up to 80% of all cyber breaches. LGA grant funding has been secured to provide user awareness training and phishing simulation capabilities for one year. A product has been selected and implementation of this product is expected by June 2020. Phishing simulation will allow the authority to assess the effectiveness of this training providing further assurance to the organisation. The ICT Operations team are working up proposals for how this can be sustained to ensure user awareness and phishing simulation capabilities are maintained. There has been a focus on identity management and protection in the last 3 months, a new password policy has been agreed and is being implemented along with mandatory multifactor authentication and conditional access technologies.

Impact Reduction: The Council’s overall approach to cyber security management has been under review since the end of Corporate Development Tranche 2 restructuring which confirmed the Cyber Security & ICT Continuity Lead appointment. A new strategy and policy are being drafted. These documents will outline the approach for the Council over the next few years and lay the foundation for comprehensive, interlocking countermeasures for this risk. The planned changes will allow the organisation to reduce its attack surface (likelihood) and to react quickly to a breach which can drastically reduce the overall impact of the incident.

CRR03 - Failure to recruit, develop and retain the required workforce skills leads to an inability to deliver the Council's vision

		Likelihood		
		L	M	H
Impact	H		2	
	M	2	1	1
	L	2		

High Risks: 119) The period of uncertainty and transition results in difficulties retaining and motivating staff (Risk Owner: Corporate Director for HR and OD)

Response: Some employees may choose to leave during period of major change causing further demand on remaining employees. Uncertainty of the future may impact upon motivation and affect performance. Mitigation - Ongoing Communications and Engagement with all employees (Newsletters, Intranet, etc). Employee Forums established; Wellbeing and L&D support in place.

High Risk:112) Inability to attract and retain suitably qualified specialist safeguarding staff within Children’s Services (Corporate Director for Care & Protection)

Response: We are progressing our recruitment and retention strategy and actively promoting Dorset Council Children’s Services as an employer of choice. This has included: updating our recruitment webpages, increased promotion nationally through leading sector professional publication, writing to staff working with us through agencies to encourage their applications to permanent posts, pursuing overseas recruitment.

Our Strengthening Services for Children and Families Programme includes significant work to expand our learning and development and support offer alongside manageable caseloads, regular and reflective supervision and integrated teams all of which are known to be important factors influencing social workers to apply for roles.

High Risk: 202) Loss of professional engineering staff who provide advice could lead to poor decision making and potentially leave the Council liable for insurance claims if assets are not maintained or the appropriate response to emergency situations given (Risk Owner: Service Manager for Engineering Survives)

Response: There are many long serving staff currently retained within DC who enjoy the work and are committed to providing a service. Recruitment methods ensure that appropriate candidates are recruited – although there is a national shortage of qualified Chartered Engineers. Further actions - Increase resilience by formation of coastal partnership with BCP Council to share and grow staff resources with ability to source greater grant income. DC recognise importance of professional qualifications and need for staff to be members of appropriate institutions – pay for relevant subscription fees, allow qualifications on email signatures etc

CRR04 - Failure to safeguard personal information or the misuse of information leads to a breach of the General Data Protection Regulations

		Likelihood		
		L	M	H
Impact	H	1	1	
	M	1		
	L			

High Risks: 212) Inadequate information governance culture and framework and culture (policy; training; monitoring etc) results in a significant data breach (Risk Owner: Service Manager for Assurance)

Response: The Shaping Dorset Council programme included a workstream on information governance to ensure that key policies and processes were harmonised, which has transformed into an Information Governance Board since 1 January 2020, chaired by the Senior Information Risk Officer. A corporate Information Governance team was established for Tranche 2 and work is underway to develop an improvement action plan.

CRR05- Failure to respond to a major event (internal or external) that could impact on the community, the environment and/or the delivery of critical Council services

		Likelihood		
		L	M	H
Impact	H	5	1	
	M	3	3	
	L	3		

High Risks: 102) Failure to respond to a major event or civil emergency that impacts on the community, the environment and/or the Council (Risk Owner: Service Manager for Assurance)

Response: The Dorset Council Emergency Response Plan and supporting Command and Control structure was approved for Day One of Dorset Council; There is ongoing work by Local Resilience Forum workstreams and task & finish group leads on specific multi agency projects.

There has been a thorough training programme for the Command and Control Structure, including running several pandemic flu and BREXIT focussed exercises during 2019.

The full Command and Control structure at authority and LRF level has been in operation throughout the Covid-19 outbreak. The risk profile for COVID-19 shows that whilst a majority of risks are in the 'high' category, posing the most amount of risk to the Council, the likelihood of these happening are 'possible', which could suggest that there are mitigations in place to prevent

these risks from occurring. Overall, however the Council is currently facing a high-risk situation during a major incident with many factors unpredictable including the central government response during the outbreak. The risk management strategy at this time is for continued, focussed oversight of known risk and management of capacity to respond to priority situations as they evolve.

CRR06- A failure to understand and manage EU exit implications on the Council results in a breach of statutory duty or service failure

		Likelihood		
		L	M	H
Impact	H	22		
	M	12	11	
	L	2	2	

High Risks: None

Response:

CRR07- Failure to provide adequate provision of infrastructure leads to inability to deliver the Council's vision

		Likelihood		
		L	M	H
Impact	H	3	1	3
	M	6	2	1
	L	1	3	

High Risks: 73) Failure to attract funding for assets that we cannot afford to maintain in future (Risk Owner: Service Manager for Infrastructure & Assets)

Response: The HAMP will help us to understand whole life cost better. Inspection regimes for cycleway schemes are needed where we are legally responsible for their upkeep. We are not going to be allowed to charge commuted sums for SUDs adoption. Further actions:

- * Development of the HAMP;
- * Changes to processes so future maintenance funding is considered when bidding for funds;
- * DfT funding bids must be made to ensure ongoing maintenance of adopted infrastructure including footways and cycleways;
- * Cycleway assets - digitised in a way that allows defects to be assigned in confirm;
- * Avoid over specifying schemes;
- * Develop hierarchy and inspection regime for cycle ways;
- * Design schemes in the most suitable/low maintenance way;
- * More robust contractual agreements where we are funding assets/equipment used by 3rd parties (i.e. so they cannot be moved out of the county, etc);

High Risk: 84) Failure to deliver a safe and suitable alternative to the current arrangements for Wareham Level Crossing (Risk Owner: Service Manager for Infrastructure & Assets)

Response: Dorset Council assumed responsibility from Dorset County Council to manage the pedestrian level crossing in Wareham. The lease agreement between Network Rail and Dorset Council for the level crossing runs until 2038; this crossing will close in 2038 as per the terms of the lease. If no suitable alternative is delivered before 2038 Dorset Council would be found to be breaching Equalities legislation.

In 2008/9 The Office for Road and Rail (ORR) raised safety concerns with the pedestrian level crossing in Wareham. The ORR stated that mitigating measures had to be put in place or they would force the closure of the crossing. As a result, Dorset County Council paid for the provision of security guards at the crossing to improve compliance and safety at the crossing. In more recent years, following an additional review by the ORR the crossing has been managed with electronic gates closed by security guards when a train is approaching. The crossing is currently managed between 6am and 1am (19hours) seven days a week. The provision of security staff is provided by third party contractors STM Security Ltd. The crossing is locked closed between 1am and 6am each day. Dorset Council has assumed responsibility previously held by Dorset County Council.

Network Rail and the Council have tried twice before to resolve this by proposing ramped bridges adjacent to the existing footbridge but failed to obtain planning permission from the then Purbeck District Council owing to local objections.

The crossing continues to be a continuing financial commitment with ongoing reputational concerns as there is no suitable alternative means for all to cross the rail lines if the crossing is closed – there is a stepped footbridge adjacent to the crossing. Footway/cycleway alternatives are being explored in the area, but these are not currently seen to closing the level crossing.

There remains commitment from Dorset Council and Network Rail to finding a resolution. Commitment from central government appears secure too following a visit by the Minister for Rail to the site and meeting with key stakeholders on 23 January 2020. The Minister for Rail stated that he was committed to finding a solution and that safety and accessibility were of paramount importance which would likely mean that a degree of compromise is required when considering suitable alternatives. Network Rail have agreed to explore and exhaust all possible technological options for providing an automated level crossing, however, it is more likely that an alternative step free route over the rail lines will be the most viable solution. No definitive plans are proposed for a suitable alternative at time of writing (February 2020).

CRR07- Failure to provide adequate provision of infrastructure leads to inability to deliver the Council's vision (Cont'd)

High Risk: 63) Inability to maintain the highways infrastructure to an acceptable standard in the face of changing circumstances (e.g. budget reductions; climate change) (Risk Owner: Head of Highways)

Response: Service levels have reduced due to reductions in highways revenue funding which severely impacted on drainage maintenance and pothole repairs.

We have assessed ourselves as Band 3 status for 2020/21, therefore secured the full allocation from the Department for Transport's Incentive Fund (£2.2million). But under investment in revenue maintenance funding has contributed to a reduction in scores for some questions, to Band 2, specifically relating to drainage and pothole repairs. To have dropped into Band 2 overall, would have resulted in a loss of £1.5million.

The Highways EAP have made recommendations to Cabinet to reinstate essential maintenance funding. Further submissions for central government funding will be made as and when the opportunities arise. Further actions:

- Highway maintenance revenue budget report
- Annual business cases for capital investment in highway maintenance;
- 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

High Risk: 204) Dorset Travel fails to procure and implement a suitable replacement for its core transport management system by Nov 2020 (Risk Owner: Service Manager for Travel Operations)

Response: Procuring a more effective replacement for is key to any service efficiencies, savings and improvements in future. We have no further options for extending the current contract.

High Risk: 208) Gaining sites and planning to provide infrastructure leads to failure to deliver service (Risk Owner: Head of Commercial Waste & Strategy)

Response: Strategic case business planning being developed for infrastructure

CRR08- Failure to provide a good education to young people in Dorset

		Likelihood		
		L	M	H
Impact	H			
	M			
	L			

High Risks: None

Response:

CRR09- A failure to manage the service transformation process results in poor service outcomes and negative staff morale

		Likelihood		
		L	M	H
Impact	H	1	1	
	M			
	L		1	

High Risks: 231) Securing enough and appropriate skills and resources through restructuring of service to deliver DC economic growth strategy (Risk Owner: Service Manager for Growth & Economic Regeneration)

Response: Informed restructuring process

CRR10- Failure to manage the extent of staff changes and structural change results in a significant loss of corporate knowledge

		Likelihood		
		L	M	H
Impact	H			
	M	1	1	
	L			

High Risks: None

Response:

CRR11 - Failure to protect our environment and adapt services and communities to the impacts of a changing climate

		Likelihood		
		L	M	H
Impact	H	1	1	1
	M	1		
	L			

High Risks: 201) Climate change effects on sea level rise and uncertainty could lead to low lying areas such as Weymouth being uneconomic to defend (Risk Owner: Service Manager for Engineering & Special Projects)

Response: Latest inter-governmental guidance is used when designing coast defences, design life of 50 years. Shoreline Management plan review – agree to use managed realignment of coastline in areas. May have to design coastal defences for 100 years life and accept increased costs of doing so. May have to relocate coastal communities. Work with, not against, nature. Further bids to Defra and others to increase funding above EA thresholds for erosion management and flood defence works. EA grant calculator update expected spring 2020, potential for increased funding to protect infrastructure and economic activity. Funding currently mainly based on numbers of homes protected”

High Risk: 140) Failure to adapt services and communities to the impacts of a changing climate

Response: To follow

CRR12 - Failure of process, policy or procedure leads to a breach of statutory duty, litigation or cessation of critical service

		Likelihood		
		L	M	H
Impact	H	6	1	1
	M	5	3	1
	L	2		

High Risks: 247) Temporary Accommodation is insufficient to meet community need (Risk Owner: Service Manager for Housing Solutions)

Response: It is planned to appoint additional resource to the accommodation team so that additional suitable temporary accommodation can be sourced from the private sector. Numbers of households in B&B accommodation is at an all-time high and increasing with many exceeding the 6-week statutory time limit. There is an increase in demand for temporary accommodation from people who are homeless and from our rough sleeping community along with the reduction in social rented accommodation available all attributable to the the Covid-19 crisis. The Accommodation Finder is an officer on the team who sources new properties for leasing. She has been successful in resourcing new properties which will help reduce the number in B&B but as a part-time role additional capacity is needed in the team.

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

Response: Further actions - Ensure that new local plan allocates a good supply of sites against the targets, that there is a variety of sites and that they have a good chance of delivery. Ensure local plan is progressed at intended speed. Ensure that the issue is clearly explained to planning committee members and that we allow applications where appropriate, where we do not have the five-year supply.

High Risk: 62) Traffic Commissioner Revoking, Curtailing, Suspending or Restricting DCC's Operators Licence (Goods and/or Passenger Carrying Operators Licence) (Risk Owner: Head of Waste & Operations)

Response: Whilst the Council's Risk Compliance Score remains Green, a targeted inspection from the Traffic Commissioners has highlighted several improvements required. This has prompted an audit of our fleet operations (undertaken by the Freight Transport Association) and a resulting action plan which has been submitted to the Traffic Commissioner. A failure to demonstrate improvement risks the O Licence being revoked, curtailed, suspend or restricted, which would impact significantly on our ability to deliver critical services as well as severe reputational damage. The Executive Director for Place is receiving monthly compliance reports.

Further actions -Action plan has been submitted and accepted by the Office of the Traffic Commissioner for the Goods licence. The Office of the traffic Commissioner has granted a period of 3 months grace on the PSV licence for a named transport manager to be added to the licence. “

CRR13 - Failure to protect the health, safety and wellbeing of staff, contractors or the public leads to significant financial and/or reputational damage

		Likelihood		
		L	M	H
Impact	H	4	1	1
	M	2	7	
	L		1	

High Risks: 138) Breach of health and safety at an occupied premise (Directorate Duty Holder) (Risk Owner: Head of Assets & Property)

Response: Many sites now have a nominated Premises Responsible Person. However, restructuring of services and adoption of Corporate Landlord model has reduced local understanding of the Directorate Duty Holder Strategy. The strategy is ratified and DDH nominees have been identified. Grenfell Tower fire has implicated the need for a review of fire safety and specific review of individual property risks.

Comply with DCLG/DFES requests for information/ complete our own fire risk reviews additionally and implement actions arising.

High Risk: 83) PUWER Regulations - non-compliance of PUWER Regulations (H&S Provision and Use of Work Equipment Regulations 1998) (Risk Owner: Head of Waste & Operations)

Response: There is a clear visual view to identify if individual plant items comply with the control measures. Each depot has a tagging colour scheme poster available to all operators. The system is simple and effective. Fleet will continue to monitor and audit the process to ensure compliance is consistent and maintained, with support from H&S;

- * Countryside service is to start the first round of PUWER checks in February using the new process;
- * Highways have completed the first round of 6 monthly checks in October and no items are outstanding;
- * Highways compliance is excellent and is totally compliant. Countryside are struggling currently, but Fleet are aware of additional resources to catch up with the situation. Admin resources have been trained to implement the documents that are currently sat on desks. Fleet wave is showing 299 records from the Countryside service awaiting completed PUWER inspection sheets. Emails sent out explaining the current risk to the authority;
- * Countryside and grounds are increasing the number of staff to carry out PUWER checks. Fleet Service to instruct on the practical checks and supply training on the Fleet Wave system to the nominated staff;
- * The risk has changed to red due to the current situation. Audit of the system has resulted in 381 items of Countryside plant waiting for a PUWER sheet and the Fleet wave system to be updated. 80 items for Highways also in the same situation. The system was 95% compliant, but due to the current situation this has greatly reduced to 55% compliant. Update - the outstanding PUWER inspections have been completed from the previous scheduled programme. The next programmed 6-monthly PUWER inspections is currently in operation and will report on outstanding items not actioned next month.

CRR14 - A safeguarding failure results in the harm or neglect of a vulnerable person

		Likelihood		
		L	M	H
Impact	H	2	3	
	M		1	
	L			
High Risks: 151) Major safeguarding incident (including death or serious injury) arises on adult transport due to lack of supervision (Risk Owner: Service Manager for Transport Operations)				
Response: Passenger Assistants (PAs) on all or selected adult social care transport. Address this matter in future commissioning strategy for adults				
High Risk: 106) Failure to understand and respond to the changing nature of exploitation results in a safeguarding failure (Risk Owner: Corporate Director for Care & Protection)				
Response: Our new Pan-Dorset Safeguarding Partnership arrangements are now in place including the appointment of a highly regarded and experienced national sector leader as Independent Scrutineer. We, along with partners across Dorset County have published our new Child Exploitation Strategy 2020-2022 setting out how together we will ensure an effective and coordinated response to children and young people at risk of, or linked to exploitation, identifying potential risk early to reduce risk and harm.				
High Risk: 105) Failure to keep children safe that are known to, or in the care of, Dorset Council (Risk Owner: Corporate Director for Care & Protection)				
Response: We are undertaking work to further strengthen practice and services through our Strengthening Services for Children and Families Programme.				

CRR15 - Failure to effectively commission services results in poor value for money, service failure or legal challenge

		Likelihood		
		L	M	H
Impact	H		3	
	M	2		
	L			
High Risks: 5) Failure to manage and shape the provider market and associated increases in service costs and poor service (Risk Owner: Head of Commissioning)				
Response: Risk review to be undertaken by Risk and Resilience Officer				
High Risks: Insufficient controls in place to ensure that operational employees use framework agreements effectively when sourcing education and support for child (Risk Owner: Corporate Director for Commissioning & Partnerships)				
Response: As part of the new model for children's services, sourcing of education and support will be undertaken by a single team and under a single management structure. This will ensure that operational colleagues use their skills to assess and identify need and provide direct support to children and families. Brokerage officers will use a range of compliant procurement mechanisms (including framework agreements) to secure value for money for the council. The leadership team will continue to review and monitor external spend to provide assurance of compliance.				

High Risks: 277) Insufficient availability of local placements and supported accommodation to meet local needs (Risk Owner: Corporate Director for Commissioning & Partnerships)

Response: Ensuring sufficient local placements for our children in care closer to their families and communities and ensuring sufficient accommodation options for young people leaving care and other vulnerable young people is a priority within our Strengthening Services for Children and Families Plan.

We have developed and published the Dorset Young People’s Protocol between Housing and Children’s Services, this is a joint protocol that describes how Housing and Children’s Services will work together jointly to address the needs of 16 and 17 year olds.

CRR16 - Failure to maintain an effective political and managerial interface leads to a breakdown in effectiveness

		Likelihood		
		L	M	H
Impact	H	1	1	1
	M	1	1	1
	L	1	1	1

High Risks: None

Response:

CRR17 - Major service failure associated with transport provision for schools

		Likelihood		
		L	M	H
Impact	H	1	1	1
	M	1	1	1
	L	1	1	1

High Risks: None

Response:

CRR18 - Failure to use enough and meaningful evidence leads to incorrect decisions

		Likelihood		
		L	M	H
Impact	H	3	1	
	M	1	1	
	L		1	

High Risks: 107) Inadequate evidence base (including Partnership data) to determine service need for children’s care and protection (Risk Owner: Corporate Director for Care & Protection)

Response: We are undertaking significant work to further strengthen practice and services through our Strengthening Services for Children and Families Programme. The developments in Business Intelligence are supporting us to understand and model service need, and we will continue to develop this approach.

CRR19 - Failure to sustain an effective relationship with key partners results in a service delivery failure

		Likelihood		
		L	M	H
Impact	H			
	M	1	5	
	L	2		

High Risks: None

Response:

CRR20 - Failure to successfully deliver an election impacts on the Council’s reputation and incurs costs

		Likelihood		
		L	M	H
Impact	H	1		
	M			
	L			

High Risks: None

Response:

Other Risks (Not Linked to a Corporate Risk)

		Likelihood		
		L	M	H
Impact	H	4	2	
	M	5	7	3
	L	9	2	

High Risks: 141) Changes to national planning policy lead to delays to prep of the Local Plan Review (Risk Owner: Head of Planning)

Response: Risk review to be undertaken by Risk and Resilience Officer

High Risk: 206) Changes to legislation around community transport groups operating under Section 19 and Section 22 licences could significantly affect the viability of community transport in future (Risk Owner: Head of Dorset Travel)

Response: Difficult to define clearly now until the results and timeframes from the judicial review are made public

High Risk: 228) Changing funding landscape and ability to secure investment funding for Dorset (Risk Owner: Service Manager for Growth & Economic Regeneration)

Response: Further actions - Collation and evaluation of evidence and preparation of schemes and business cases

High Risk: 205) Unviability of school bus services caused by failure to cut back overhanging trees and vegetation along routes (Risk Owner: Head of Dorset Travel)

Response: Facilitate communication and cooperation between the provider and DC's Highways and Arboriculture teams

High Risk: 190) Significant Health and Safety incident / accident investigation and subsequent prosecution taking significant officer time away from normal duties resulting in lack of resource and risk to public health along with significant legal costs for the council (Risk Owner: Service Manager for Food, Safety & Port Health)

Response: As required staff who are managing a significant case will have other statutory duties passed to other team members. Prioritisation of work to concentrate on high risk premises.

Further Action - Ensure that staffing numbers and capacity is enough to carry out significant investigation work without significant impact on other statutory work.
Consideration of cross departmental work with Trading Standards on proceeds of crime action and resource allocation to support legal work.