



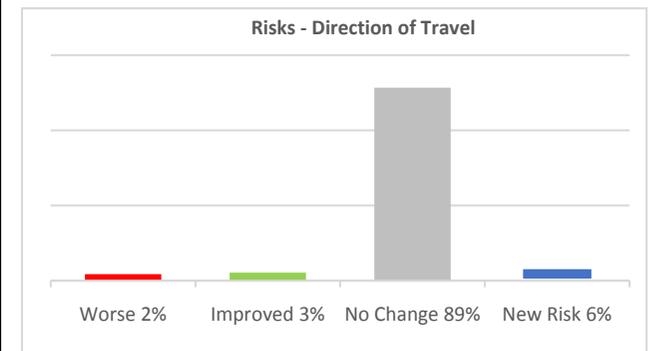
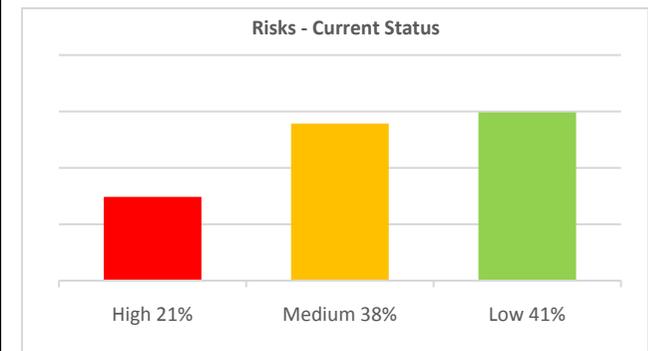
PLACE (March 2021)

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.

PLACE Service Risk Profile					
		Likelihood			High Risks 29 in total
		L	M	H	
Impact	H	26	17	5	Number of Risk: 143
	M	34	29	7	
	L	19	6		

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	LOW	MEDIUM	HIGH
LIKELIHOOD	0 to 40%	41% to 60%	61% to 100%
Description	Unlikely	Possible	Likely



PLACE - Overall					
		Likelihood			Commentary: High Risks currently 29 The new format for risk reporting was agreed by Audit & Governance Committee at its May meeting. It was requested that closer links are enabled between the risk and performance measures. Also, members wanted to be able to see what updates more clearly have been made to the risk since the last report. Both changes will be incorporated into future reports, as will links with the control environment.
		L	M	H	
Impact	H	26	17	5	
	M	34	29	7	
	L	19	6		

Economic, Growth and Infrastructure – PLANNING					
		Likelihood			Outstanding Update: 141) Changes to national planning policy lead to delays to prep of the Local Plan Review.
		L	M	H	
Impact	H	1	1		
	M	4	5	1	
	L	7	1		

High Risk: 141) Changes to national planning policy lead to delays to prep of the Local Plan Review - Accountable Officer – Head of Planning	Direction of Travel	No Change
	Last Reviewed	30 December 2019
Management update to be reviewed with Risk Owner		
High Risk: 191) 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 - Accountable Officer – Service Manager for Spatial Planning	Direction of Travel	No Change
	Last Reviewed	28 August 2020
Management update to be reviewed with Risk Owner		

Economic, Growth and Infrastructure – HIGHWAYS

		Likelihood			Outstanding Returns:
		L	M	H	
Impact	H	5	3	1	A small number of risks have not been reviewed recently and some remain unassigned
	M	12	8		
	L		1		

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 - Accountable Officer – Service Manager for Network Operations	Direction of Travel	No Change
	Last Reviewed	16 May 2020

Management update to be reviewed with Risk Owner

High Risk: 73) Failure to attract funding for asset maintenance – Accountable Officer - Service Manager for Infrastructure & Assets	Direction of Travel	Improved
	Last Reviewed	10 February 2021

The new HAMP/AMP review will help us to understand whole life cost better; Inspection regimes for cycleway schemes are needed where we are legally responsible for their upkeep; We are not going to be allowed to charge commuted sums for SUDs adoption;

Further actions:

- * Development of the HAMP.
- * Working with WSP and other authorities to share best practice.
- * 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/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 - Accountable Officer - Service Manager for Infrastructure & Assets	Direction of Travel	No Change
	Last Reviewed	8 February 2021
<p>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 (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.</p> <p>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 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 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. Feb 2021 - No definitive permanent plans are proposed, or funding secured for a suitable alternative. Procurement of level crossing security contract is being progressed to make revenue savings for council to continue to deliver service. 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 £120,000 per year for security guards (with costs rising); Introduce ramps, with crossing fenced off, and removal of security guards; 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 South West Railways and Network Rail for DfT funding to install lifts failed; The crossing continues to be a high risk for safety, continuing financial commitment and reputational damage. Risk being realised with recent crossing incidents, lack of attendants and crossing closure.</p> <p>Cause: Failure to get planning agreement. Failure to get agreement on funding. Lack of Member/Cabinet support. Opposition from Town Trust, etc.</p> <p>Consequence: Closure of crossing by Office of Road & Rail. Legal action against DC. Death. Serious injury. Reputational damage. Financial impact - either due to incidents or ongoing maintenance/management. Negative publicity. Customer dissatisfaction. Public liability claims.</p>		
High Risk: 292) Winter Service budget pressures - Accountable Officer - Service Manager for Network Operations	Direction of Travel	Improved
	Last Reviewed	18 August 2020
<p>The legal position relating to the Highway Authority's responsibility in respect of the winter service is set out in an amendment to Section 41(1) Highways Act 1980 (c.66) (duty of highway authority to maintain the highway). (1A) details that a highway authority is under a duty to ensure, so far as is reasonably practicable, the safe passage along a highway is not endangered by ice or snow. The current budget provision to the Highway Service is suitable to cover the cost of normal salting operations and up to 24 hours of snow clearance. There is no budget allocation to cover the cost of snow clearance beyond this point. 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.</p>		

Economy Infrastructure and Growth – TRAVEL DORSET

		Likelihood			Outstanding Returns:	
		L	M	H		
Impact	H	1	1		These risks need to be reviewed – latest review 15 January 2020	
	M			4		
	L					
High Risk: 151) Major safeguarding incident (including death or serious injury) arises on adult transport due to lack of supervision - Accountable Officer - Service Manager for Travel Operations					Direction of Travel	No Change
					Last Reviewed	30 December 2019
Management update to be reviewed with Risk Owner						
High Risk: 203) Loss/severe reduction of key public transport route(s) - e.g. no longer commercially viable, change to bus operator strategic direction - Accountable Officer - Service Manager for Travel Operations					Direction of Travel	No Change
					Last Reviewed	30 December 2019
Management update to be reviewed with Risk Owner						
High Risk: 204) Dorset Travel fails to procure and implement a suitable replacement for its core transport management system (Trapeze) by Nov 2020 - Accountable Officer - Service Manager for Travel Operations					Direction of Travel	No Change
					Last Reviewed	15 January 2020
<p>Procuring a more effective replacement for Trapeze is key to any service efficiencies, savings, and improvements in future. We have agreed a rolling 6 monthly contract extension with Trapeze (approved by Procurement team) who has also been able to make some temporary short-term improvements to the current system.</p> <p>As part of the Dorset Travel transformation programme, we have worked with colleagues in ICT to confirm that the current system is not fit for purpose, operates on out of date technology and therefore needs to be replaced. We are also working with the procurement team on what procurement method is appropriate/ available for a new system and working to finalise the specification. Timescales will depend on which procurement route is chosen. We will also need to finalise the business case to ensure the funding</p>						
High Risk: 205) Unviability of school bus services caused by failure to cut back overhanging trees and vegetation along routes (e.g. those operated by First Wessex) - Accountable Officer - Service Manager for Travel Operations					Direction of Travel	No Change
					Last Reviewed	30 December 2019
Management update to be reviewed with Risk Owner						
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 - Accountable Officer - Head of Travel Dorset					Direction of Travel	No Change
					Last Reviewed	30 December 2019
Management update to be reviewed with Risk Owner						

Place Based Services – ENVIRONMENT & WELLBEING						
		Likelihood			Outstanding Update:	
		L	M	H		
Impact	H	4	1		These risks need to be reviewed – latest review 1 March 2020	
	M	2				
	L	1				
High Risk: 140) Failure to adapt services and communities to the impacts of a changing climate - Accountable Officer - Service Manager for Coast and Greenspace					Direction of Travel	No Change
					Last Reviewed	30 December 2019
Management update to be reviewed with Risk Owner						

Place Based Services – COMMUNITY & PUBLIC PROTECTION						
		Likelihood			Outstanding Returns:	
		L	M	H		
Impact	H	4	3		Only risks reviewed being within Trading Standards and Registration Services	
	M	7	8			
	L	7	1			
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 – Accountable Officer - Service Manager for Food, Safety & Port Health					Direction of Travel	No Change
					Last Reviewed	29 July 2020
Management update to be reviewed with Risk Owner.						
High Risk: 178) Failure to issue new Export Health Certificates for fish leading to business block/ failure and /or other service disruption - Accountable Officer - Service Manager for Food, H&S and Port Health					Direction of Travel	No Change
					Last Reviewed	10 March 2021
DEFRA grant secured for £25k and second grant of £30K and being used to provide backfilling. Eight officers now authorised as Certifying Officers (CO) and access to the APHA system for the Export Certificates in place. Visits made to businesses intending to export fish to the EU by CO's. Further Actions - Contact with Insurers to ensure that we have indemnity insurance in place.						
High Risk: 28) Loss of pet passport allowing movement of pets may lead to increase pet smuggling / disease. New Pet Passport arrangements take much longer to be able to use and vet examination is needed (Est £100). This may lead to avoidance. - Accountable Officer - Service Manager for Trading Standards					Direction of Travel	No Change
					Last Reviewed	12 March 2021
Communication to educate the public on pet passport rules. Alternative measures in place and are on Gov website. Previously pet owners could move their animals within Europe. With a slower more costly facility there could be an increased risk of pet owners attempting to 'smuggle' their animals into the UK without rabies vaccinations. This could increase the risk of the disease being introduced into the UK (rabies is endemic in a few Eastern European countries).						
There may be disruption from suspected illegal landings. There is no evidence of this to date, but holiday travel is limited by Covid.						
Communication and publicising by various bodies of current rules at key entry points. Liaison with Harbour Masters.						

<u>Place Based Services – WASTE & OPERATIONS</u>						
		Likelihood			Outstanding Returns:	
		L	M	H		
Impact	H	3	1	1	New Risk – 175) Waste Services (Fuel) – Impact HIGH Likelihood LOW	
	M	2	1			
	L					
High Risk: 62) Traffic Commissioner Revoking, Curtailing, Suspending or Restricting DCC's Operators Licence (Goods and/or Passenger Carrying Operators Licence) - Accountable Officer - Head of Waste & Operations					Direction of Travel	Worse
					Last Reviewed	21 April 2020
Management update to be reviewed with Risk Owner						
High Risk: 83) PUWER Regulations - non-compliance of PUWER Regulations (H&S Provision and Use of Work Equipment Regulations 1998) - Accountable Officer - Head of Waste & Operations					Direction of Travel	Worse
					Last Reviewed	21 April 2020
Management update to be reviewed with Risk Owner						

<u>Place Based Services – COMMERCIAL WASTE & STRATEGY</u>						
		Likelihood			Outstanding Returns:	
		L	M	H		
Impact	H		4	2		
	M	1		1		
	L					
High Risk: 154) Failure to achieve capital and revenue budget / savings targets for the MTFP - Accountable Officer - Head of Commercial Waste and Strategy					Direction of Travel	No Change
					Last Reviewed	24 March 2021
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 Dorset Council as our landfill sites have closed 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). Risk of second wave or local lockdown of Covid-19. Not being able to deliver campaigns.						

High Risk: 208) Gaining sites and planning to provide infrastructure leads to failure to deliver service - Accountable Officer - Head of Commercial Waste and Strategy	Direction of Travel	No Change
	Last Reviewed	24 March 2021
Currently commissioned planning to conduct a site search for a new HRC in the East of the County. Planning Application submitted for a replacement HRC and waste transfer station in Blandford. Involved in the recent property review of depots across Dorset. Waste infrastructure review has been completed to provide a baseline of requirements.		
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 - Accountable Officer - Head of Commercial Waste and Strategy	Direction of Travel	No Change
	Last Reviewed	23 March 2021
Need to respond to further consultations when they are published- next consultations have been delayed until Spring 2021. 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 - Accountable Officer - Head of Commercial Waste and Strategy	Direction of Travel	No Change
	Last Reviewed	24 March 2021
Ensure continued investment in communication and educational resources. Focus on reducing contamination to improve basket price.		
High Risk: 211) Failure to maintain high recycling and waste therefore diverted to more expensive disposal - Accountable Officer - Head of Commercial Waste and Strategy	Direction of Travel	No Change
	Last Reviewed	26 August 2020
Management update to be reviewed with Risk Owner		
High Risk: 293) Failure to secure capital to develop and maintain waste infrastructure - Accountable Officer - Head of Commercial Waste and Strategy	Direction of Travel	No Change
	Last Reviewed	24 March 2021
Development of waste management centre (HRC and transfer facility) in Blandford and the need to address the lack of waste management infrastructure in the East. Improvement in depot infrastructure to enable further income generation activities and services.		
High Risk: 294) Increase in cost of residual waste from HRC's - Accountable Officer - Head of Commercial Waste and Strategy - Accountable Officer - Head of Commercial Waste and Strategy	Direction of Travel	No Change
	Last Reviewed	24 March 2021
Recent market testing indicates that there's a large gap in what we're currently paying in our contract and the market rate. ~£40-£50/tonne difference on 13,000 tonnes of waste. Short term risk in contract and long-term risk out of contract. Contract ends August 2024.		

CUSTOMER SERVICES, LIBRARIES & ARCHIVES					
		Likelihood			Outstanding Returns:
		L	M	H	
Impact	H	2			These risks need to be reviewed – latest review 10 January 2020
	M	4	1		
	L	4	2		
High Risk: No High Risks					

GROWTH & ECONOMIC REGENERATION						
		Likelihood			Outstanding Returns:	
		L	M	H		
Impact	H	6	1		These risks need to be reviewed – majority not reviewed since December 2019	
	M	1	4	1		
	L					
High Risk: 228) Changing funding landscape and ability to secure investment funding for Dorset - Accountable Officer - Service Manager for Growth & Economic Regeneration					Direction of Travel	No Change
					Last Reviewed	6 December 2020
Management update to be reviewed with Risk Owner						
High Risk: 231) Securing enough and appropriate skills and resources through restructuring of service to deliver DC economic growth strategy - Accountable Officer - Service Manager for Growth & Economic Regeneration					Direction of Travel	No Change
					Last Reviewed	6 December 2020
Management update to be reviewed with Risk Owner						

ASSETS & PROPERTY						
		Likelihood			Outstanding Returns: These risks need to be reviewed – latest review 18 May 2020	
		L	M	H		
Impact	H		2	1		
	M	1	2			
	L		1			
High Risk: 138) Breach of health and safety at an occupied premise (Directorate Duty Holder) – Accountable Officer - Head of Assets & Property					Direction of Travel	No Change
					Last Reviewed	18 May 2020
Management update to be reviewed with Risk Owner						
High Risk: 201) Climate change effects on sea level rise and uncertainty could lead to low lying areas such as Weymouth being uneconomic to defend - Accountable Officer - Service Manager for Engineering & Special Projects					Direction of Travel	No Change
					Last Reviewed	18 May 2020
Management update to be reviewed with Risk Owner						
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 - Accountable Officer - Service Manager for Engineering & Special Projects					Direction of Travel	No Change
					Last Reviewed	18 May 2020
Management update to be reviewed with Risk Owner						