



Risk Management Exception

Quarterly Update Report

Extreme and High-Level Risks

August 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.

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Introduction

We recognise that risk management helps us to embed a culture, process and structure that is directed towards the effective management of opportunities and threats to the council. Such effective management will help the council in achieving its priorities and objectives as part of the council’s governance framework.

We acknowledge that the Annual Governance Statement (AGS) highlighted several opportunities to enhance risk management and for example efforts have been made to:

- Increase the level of engagement and ownership.
- Enhance the engagement of Members in the risk management process.
- Refresh and update the Corporate and Directorate Risk Registers.
- Update the risk management training and awareness functionality.

The Accounts and Audit Regulations 2015 require the council to have in place arrangements for the management of risk. These arrangements are reviewed each year and reported as part of the Annual Governance Statement (AGS). The statement must identify any significant governance issues that may have resulted from failures in governance and risk management.

Risk Management

Risk affects all organisations. It can have far-reaching consequences in terms of economic performance, environmental and safety outcomes, and professional reputation. Risk is an important part of doing business – used to identify, assess, prioritise, manage, mitigate, communicate, and report on risk.

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 or situations to provide reasonable assurance regarding the achievement of the organisation’s objectives. Success comes from managing both the positive and the negative aspects of risk effectively. Understand the linkage between risk and controls - Risk drives controls, not the other way round. Internal controls exist for many reasons but one of their prime functions is to manage risk.

Update Statement

We continue to look at what makes sense, to understand where we need the resources and the skill sets, we need. We will be working to support the challenge to make our services as efficient as possible, and that’s a relentless part of our budget setting process. We are all passionate about delivering the best outcomes for Dorset residents. We recognise that Risk Management is an integral part of good governance to which we are all committed.

Risk Management helps us to provide the framework and processes that enables the Council to manage uncertainty in a systematic way.

Risk Ranking Matrix identifies the level of risk

Severity (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 (Probability)						

Risk Ranking Matrix identifies the level of risk

Severity (Impact)	Description
Catastrophic Score 5	<ul style="list-style-type: none"> • 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 • Financial loss over £10m
Major Score 4	<ul style="list-style-type: none"> • 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 • Financial loss £5m-£10m
Moderate Score 3	<ul style="list-style-type: none"> • 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 • Financial loss £1m-£5m
Slight Score 2	<ul style="list-style-type: none"> • Minor Injury to employees or those in the Council's care • Manageable disruption to services • Disciplinary action against employee • Financial loss £100k-£1m
Limited Score 1	<ul style="list-style-type: none"> • Day-to-day operational problems • Financial loss less than £100k

Likelihood (Probability)	Description
Certain Score 5	Reasonable to expect that the event WILL happen, recur, possibly or frequently
Likely Score 4	Event is MORE THAN LIKELY to occur. Will Probably happen, recur, but is not a persisting issue.
Possible Score 3	LITTLE LIKELIHOOD of event occurring. It might happen or recur occasionally.
Unlikely Score 2	Event NOT EXPECTED . Do not expect it to happen or recur, but it is possible that it might do so.
Very Unlikely Score 1	EXCEPTIONAL event. This will probably never happen or recur.

Level of Risk	How should the risk be managed	
EXTREME (20-25)	Risks at this level sit above our tolerance and form the biggest risks.	
Risk Rating	Guidance	
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.	Identify the actions and controls necessary to manage the risk down to an acceptable level. Steps will be taken to collectively review the risk and identify any other possible mitigation (such as controls). Risks that remain at this level will be escalated to SLT, who will actively monitor and provide guidance on the ongoing management of risks at this level.	
HIGH - LEVEL (12-16)	The Council is not willing to take risks at this level and action should be taken immediately.	
Risk Rating	Guidance	
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.	Identify controls to treat the risk impact/likelihood and seek to bring the risk down to a more acceptable level. These risks should be monitored and reviewed monthly. If unsure about ways to manage the risk, consult with the Assurance team. Risks at this level will feature in a monthly risk update to SLT who will provide oversight and support if needed.	
MEDIUM (5-10)	While these risks can be tolerated, controls should be identified to bring the risk down to a more manageable level.	
Risk Rating	Guidance	
These risks sit on the borders of the Council's risk appetite and so while they don't pose an immediate threat, they are still risking that should remain under review. If the impact or likelihood increases, then risk owners should seek to manage the increase	Keep these risks on the radar and update as and when changes are made, or if controls are implemented. Movement in risks should be monitored, for instance featuring as part of a standing management meeting agenda. Responsibility for monitoring and managing these risks sit within the service.	
LOW (1-5)	These risks sit on the borders of the Council's risk appetite and so while they don't pose an immediate threat, they are still risking that should remain under review.	
Risk Rating	Guidance	
These are low level risks that could impede or hinder achievement of objectives. Due to the relative 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.	Keep these risks on your register and formally review at least once a year to make sure that the impact and likelihood continues to pose a low level. No actions required but keep the risk on your risk register and review annually as part of the service planning process.	

The aim is for all risks to have management actions in place and the risk management process will continue to be subject to a refresh during the coming months during 2021. As with all risks, it is not possible to eliminate the potential of failure entirely without significant financial and social costs. The challenge is to make every reasonable effort to mitigate and manage risks effectively, and where failure occurs, to learn and improve. A **SUMMARY** of the risks for this reporting period are set out below:

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

Dorset Council Risk Profile						
Impact	C				1	1
	Ma	3	43	26	11	1
	Mod	2	46	60	10	2
	S		29	13	2	2
	L			1	1	
	VU	U	P	L	VH	
Likelihood (Probability)						

248 Risks

3 Extreme (1%)
49 High-Level (20%)

Adults and Housing

No. of Risks 35

1 Extreme – 6 High-Level (20%)

Impact (Severity)	C					
	Ma	1	1	3	3	1
	Mod		6	11		
	S		6	2	1	
	L					
	VU	U	P	L	VH	
Likelihood (Probability)						

Children's Services

No. of Risks 24

8 High-Level (33%)

Impact (Severity)	C					
	Ma		4	5	2	
	Mod		5	4	1	
	S		1	2		
	L					
	VU	U	P	L	VH	
Likelihood (Probability)						

Corporate Development Services

No. of Risks 37

2 Extreme – 13 High-Level (40%)

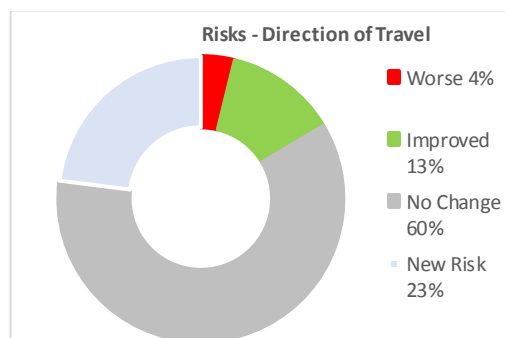
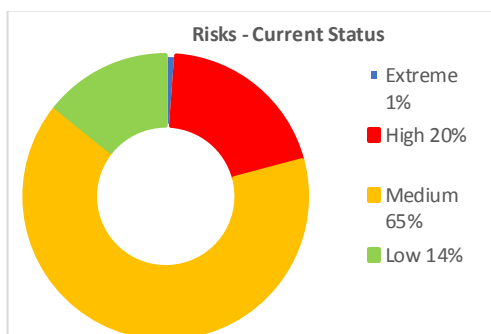
Impact (Severity)	C				1	1
	Ma	1	10	4	2	
	Mod		4	7	5	2
	S		3	1		1
	L			1		
	VU	U	P	L	VH	
Likelihood (Probability)						

Place

No. of Risks 152

22 High-Level (15%)

Impact (Severity)	C					
	Ma	1	28	14	4	
	Mod	2	31	38	4	
	S		19	8	1	1
	L				1	
	VU	U	P	L	VH	
Likelihood (Probability)						



Adults and Housing

EXTREME

Adults & Housing – Commissioning

Risk 343 - Market failure leads to unsafe and unacceptable levels of unmet need for domiciliary care – Accountable Officer - Corporate Director for Commissioning and Interim Corporate Director - Adult Care Operations (Impact 4 Likelihood 5) NEW RISK

HIGH-LEVEL

Adults & Housing - Adult Care

Risk 165 - Capacity, capability and focus within the Adult Social Care workforce is not appropriate to deliver statutory responsibilities and key priorities to an acceptable standard – Accountable Officer - Corporate Director for Adult Care Operations (Impact 4 Likelihood 3) WORSE

Risk 125 - Gap exists between amount of available resource and post-COVID statutory demand - Accountable Officer - Corporate Director for Commissioning and Corporate Director for Adult Care Operations (Impact 4 Likelihood 4) NO CHANGE

Risk 339 - The impact of hospital pressures – Accountable Officer - Corporate Director for Commissioning and Corporate Director for Adult Care Operations (Impact 4 Likelihood 3) WORSE

Adults & Housing - Commissioning

Risk 5 - Failure to manage and shape the provider market results in increases in service costs and poor service – Accountable Officer - Corporate Director for Commissioning (Impact 4 Likelihood 3) NO CHANGE

Housing

Risk 247 - Temporary Accommodation is insufficient to meet community need - Accountable Officer - Service Manager for Housing Solutions (Impact 4 Likelihood 4) IMPROVED

Risk 180 – Increased Homeless Population – Accountable Officer – Corporate Director for Housing and Community Safety (Impact 4 Likelihood 4) WORSE

Children's Services

EXTREME

None

HIGH-LEVEL

Children's Care & Protection

Risk 104 - A lack of sufficiency and resilience (placements/residential/foster care) impacts negatively on the demands led budget for children in care – Accountable Officer - Assistant Director for Care & Protection (Impact 4 Likelihood 4) NO CHANGE

Risk 107 - Inadequate evidence base (including Partnership data) to determine service need for children's care and protection – Accountable Officer - Corporate Director for Care & Protection (Impact 4 Likelihood 3) IMPROVED

Risk 105 - Failure to keep children safe that are known to, or in the care of, Dorset Council – Accountable Officer - Assistant Director for Care & Protection (Impact 4 Likelihood 3) NO CHANGE

Risk 106 - Failure to understand and respond to the changing nature of exploitation results in a safeguarding failure – Accountable Officer - Corporate Director for Care & Protection (Impact 4 Likelihood 3) IMPROVED

Commissioning & Partnerships

Risk 281 - Financial viability of nursery and after school provision unaffordable – Accountable Officer - Corporate Director for Commissioning & Partnerships (Impact 3 Likelihood 4) WORSE

Risk 277 - Insufficient availability of local placements and supported accommodation to meet local needs – Accountable Officer - Corporate Director for Commissioning & Partnerships (Impact 4 Likelihood 3) NO CHANGE

Risk 278 - Major safeguarding failure by placement providers - Accountable Officer - Corporate Director for Commissioning & Partnerships (Impact 4 Likelihood 3) NO CHANGE

Schools & Learning

Risk 272 - Failure to stabilise the budget for the High Needs Block - Accountable Officer - Corporate Director for Schools & Learning (Impact 4 Likelihood 4) NO CHANGE

Corporate Development Services

EXTREME

Risk 286 - Loss of ICT service or data through a cyber-attack - Accountable Officer - Head of ICT Operations (Impact 5 Likelihood 5) NO CHANGE

Risk 348 - There is a business continuity risk from delayed ICT recovery after a disruption such as a power failure - Accountable Officer - Head of ICT Operations (Impact 5 Likelihood 4) NEW

Finance

Risk 345 - There is a risk that DC will not comply with the Procurement Regulations (UK Law) or Contract Procedure Rules if business areas fail to seek advice from, or have early engagement with, the Commercial & Procurement Team – Accountable Officer - Service Manager for Commercial & Procurement (Impact 3 Likelihood 4) NEW

Risk 346 - There is a risk that DC will not attain best value through procurement activity and effective contract management if business areas fail to seek advice from, or have early engagement with, the Commercial & Procurement Team – Accountable Officer - Service Manager for Commercial & Procurement (Impact 3 Likelihood 4) NEW

Human Resources & Organisational Development

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 – Accountable Officer - Service Manager for HR Operations (Impact 4 Likelihood 3) NEW

Risk 358 - There is a risk that the review of terms and conditions may impact on the retention of key skills within the council - Accountable Officer - Corporate Director for Human Resources (Impact 4 Likelihood 3) NEW

Risk 352 – Resource levels including recruitment and retention difficulties in the Organisational Development Team results in a failure to deliver the relevant aspects of the People Strategy – Accountable Officer – Corporate Director of HR and OD (Impact 4 Likelihood 4) NEW

Risk 349 - There is a risk that the HR Manager Self-Service model is inconsistently applied across the council by managers - Accountable Officer - Service Manager for HR Operations (Impact 3 Likelihood 5) NEW

Legal & Democratic Services

Risk 321 - Unable to sustain Assurance service due to prolonged pressures (increasing caseloads; pandemic etc) - Accountable Officer - Service Manager for Assurance (Impact 3 Likelihood 5) NO CHANGE

Risk 59 - Inability to respond to the impacts of concurrent events - Accountable Officer - Service Manager for Assurance (Impact 4 Likelihood 3) IMPROVED

HIGH-LEVEL

Risk 212 - Inadequate information governance culture and framework and culture (policy; training; monitoring etc) results in a significant data breach - Accountable Officer - Service Manager for Assurance (Impact 4 Likelihood 4) NO CHANGE

Business Insight & Corporate Communication

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 - Accountable Officer – Senior Leadership Team (Impact 3 Likelihood 4) NEW

Risk 316 - Value for money work doesn't progress (Chief Exec's) – Accountable Officer - Head of Chief Exec's Office (Impact 3 Likelihood 4) NEW

Risk 317 - Policy work slower than required (Chief Exec's) - Accountable Officer - Head of Chief Exec's Office (Impact 3 Likelihood 4) NEW

Digital & Change

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 - Accountable Officer - Corporate Director - Digital & Change (Impact 4 Likelihood 3) NEW

Place

EXTREME

None

HIGH-LEVEL

ASSETS & PROPERTY

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 Major Projects (Impact 4 Likelihood 4) NO CHANGE

Risk 138 - Breach of health and safety at an occupied premise (Directorate Duty Holder) – Accountable Officer - Head of Assets & Property (Impact 4 Likelihood 3) NO CHANGE

Economy Infrastructure and Growth – HIGHWAYS

Risk 73 - Failure to attract funding for asset maintenance - Accountable Officer - Service Manager for Infrastructure & Assets (Impact 4 Likelihood 3) IMPROVED

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 (Impact 4 Likelihood 4) NO CHANGE

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 (Impact 4 Likelihood 3) NO CHANGE

Risk 292 - Winter Service budget pressures – Accountable Officer - Service Manager for Network Operations (Impact 4 Likelihood 3) NO CHANGE

Economy Infrastructure and Growth – PLANNING

Risk 141 - Changes to national planning policy lead to delays to prep of the Local Plan Review – Accountable Officer - Head of Planning (Impact 4 Likelihood 3) NO CHANGE

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 – Accountable Officer - Service Manager for Spatial Planning (Impact 3 Likelihood 4) NO CHANGE

Economy Infrastructure and Growth – DORSET TRAVEL

Risk 366 - ADULT SAFEGUARDING Major safeguarding incident arises on adult transport due to lack of supervision – Accountable Officer - Service Manager for Fleet Operations (Impact 4 Likelihood 3) NEW

Risk 368 - PSVAR Coaches used on school transport (where there are some paying passengers) will be non-compliant by end of 2021 – Accountable Officer - Service Manager for Travel Operations (Impact 3 Likelihood 4) NEW

GROWTH & ECONOMIC REGENERATION

Risk 228 - Changing funding landscape and ability to secure investment funding for Dorset - Accountable Officer - Service Manager for Growth & Economic Regeneration (Impact 3 Likelihood 4) NO CHANGE

Risk 231 - Securing sufficient and appropriate skills and resources through restructuring of service to deliver DC economic growth strategy - Accountable Officer - Service Manager for Growth & Economic Regeneration (Impact 4 Likelihood 3) NO CHANGE

Commercial Waste & Strategy

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 (Impact 4 Likelihood 3) NO CHANGE

Risk 211 - Failure to maintain high recycling and therefore waste diverted to more expensive disposal - Accountable Officer - Head of Commercial Waste and Strategy (Impact 4 Likelihood 3) NO CHANGE

Risk 293 - Failure to secure capital to develop and maintain waste infrastructure - Accountable Officer - Head of Commercial Waste and Strategy (Impact 4 Likelihood 3) NO CHANGE

Risk 294 - Increase in cost of residual waste from HRC's - Accountable Officer - Head of Commercial Waste and Strategy (Impact 3 Likelihood 4) NO CHANGE

Risk 208 - Gaining sites and planning to provide infrastructure leads to failure to deliver service – Accountable Officer - Head of Commercial Waste and Strategy (Impact 4 Likelihood 4) NO CHANGE

Place Based Services – COMMUNITY & PUBLIC PROTECTION

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 (Impact 4 Likelihood 3) NO CHANGE

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, H&S and Port Health (Impact 4 Likelihood 3) NO CHANGE

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 (Impact 4 Likelihood 3) NO CHANGE

Place Based Services – WASTE & OPERATIONS

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 (Impact 4 Likelihood 3) WORSE

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 (Impact 4 Likelihood 4) WORSE

Risk Management Update Report

People Directorate for Adults and Housing

Extreme and High-level Risks

August 2021

Adults & Housing - Adult Care

Risk165 - Capacity, capability and focus within the Adult Social Care workforce is not appropriate to deliver statutory responsibilities and key priorities to an acceptable standard				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Adult Care Operations	Worse	22 June 2021	High-Level	
			Impact	4
<p>Update - Although the impact of the 2nd wave of COVID-19 is easing there is a potential for a third wave peaking later in the year, so preparation will continue to develop the system-wide Hospital Discharge process and resilience in the wider service. Following the easing of the first COVID wave, contacts into a dult social care doubled in the first month and took another quarter to reduce. This pattern is occurring now, and capacity is being monitored closely. The amount of unused annual leave across the service and the impact on service delivery of spacing requests is being analysed.</p> <p>The significant additional demands resulting from COVID-19, in particular delivering Hospital Discharges, increased safeguarding, Approved Mental Health Professional and Deprivation Of Liberty Safeguards referrals have had significant impact on the capacity within Adult Social Care to deliver business as usual alongside the transformation required to deliver improved outcomes for vulnerable people and savings. The hospital discharge COVID requirements have increased the number of people we are commissioning/contracting for across the system. This has impacted upon commissioning and brokerage functions, business intelligence and the finance teams who are required to recording and track cases to claim COVID funding support. For finance, the increase in workload alongside workforce changes and subsequent gaps may be a significant risk to the Council.</p> <p>There is significant complexity and demand in Learning Disability services, and this is stretching capacity within this specialism especially in relation to level 3 Social Worker and Area Practice Manager capacity. Plans are in place to mitigate this as far as is possible. Work is also progressing on the duties being carried out under Section 117 of the Mental Health Act on behalf of the CCG and Continuing Health Care (CHC) arrangements</p>				

Risk125 - Gap exists between a amount of available resource and post-COVID statutory demand				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Commissioning and Corporate Director for Adult Care Operations	No change	18 August 2021	High-Level	
			Impact	4
<p>Update - This remains a significant risk. Operational and commissioning action is being taken to mitigate and reduce the financial risk. This is being overseen by a new Savings and Transformation Board which is jointly chaired by Corporate Directors. In addition, Cabinet is considering a request to approve a new Dorset Care Framework in June which when implemented will help shape the market costs. Conversations with the CCG are also taking place as we review and right size funding arrangements for a selection of packages and placements and finally, we are reviewing hospital discharge arrangements. We are working closely with Finance and Procurement colleagues on this matter.</p> <p>The existing controls are summarised as follows:</p> <ul style="list-style-type: none"> - Monthly Savings boards jointly chaired by corporate directors. - Re-establishment of financial control measures, including levels of delegations. - Consistency and proper control of access to council funded services, via hospital and community routes. - Revised peer forum and funding decision process for organisational sign off. <p>The risk mitigation actions are as follows:</p> <ul style="list-style-type: none"> - Closer relationship between commissioning and finance, to give greater visibility on spend and medium to longer term forecasting. - Targeted work with 42 budget holders to support and hold to account in delivery to budget position. - Revision of actions provided to the Our Dorset health and social care system on provision of services for the Hospital Discharge Programme. 				

Risk339 - The impact of hospital pressures				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Commissioning and Corporate Director for Adult Care Operations	Worse	24 August 2021	High-Level	
			Impact	4
<p>Update - The pressure felt by hospitals across Dorset reflects the wider national crisis. The local authority is holding risk in both unavoidable delays due to the unavailability of home care and the secondary impact of prioritising the available home care for hospital discharge, meaning increasing risks in the community teams. Support is being provided to the hospitals in whatever way is possible, however being mindful of the financial impact on Dorset Council, if the response is not currently system funded. The external system partner has been appointed and started work with the Dorset health and social care system during mid-August. We hope to see immediate improvements because of this.</p>				

Adults & Housing – Commissioning

Risk 343 - Market failure leads to unsafe and unacceptable levels of unmet need for domiciliary care				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Commissioning and Interim Corporate Director - Adult Care Operations	New Risk	18 August 2021	Extreme	
			Impact	4
<p>Update - A combination of adverse factors has led to a current waiting list of over 300 people for domiciliary care packages that they have been assessed as needing in accordance with Care Act 2014 eligibility criteria and/or the mandated hospital discharge policy.</p> <p>The adverse factors include:</p> <ul style="list-style-type: none"> - Coronavirus hospital discharge requirements that have increased the demand for domiciliary care through more people leaving hospital with higher needs. - The 'summertime economy' which draws a proportion of providers' workforce into the hospitality sector, is particularly buoyant. - Social isolation rules which affect workers returning to Dorset from (often long held-off) trips overseas. - A reduced number of workers from EU countries coming to work in Dorset. - Some normal face-to-face recruitment channels have not been available to providers during the pandemic. <p>This risk has unfortunately crystallised rapidly. It affects even our most reliable providers. Lead commissioners are working with all providers to establish what support the Council can offer them. It is clearly in providers' business interests to address the issue and some are considering significant changes like offering salaried positions instead of hourly pay. Tricuro can offer some capacity in their role as our 'provider of last resort'. However, this impacts on their capacity to provide reablement - itself often a statutory duty. In the last week of August 2021, commissioning managers were successful in a bid to the DH&SC's 'Contain Outbreak Management Fund' (COMF) which provides funding to councils, to help reduce the spread of coronavirus and support local public health. The £200,000 award will be used to boost recruitment to the Dorset domiciliary care workforce.</p> <p>The other mitigating actions we are taking with people include:</p> <ol style="list-style-type: none"> asking whether family members can provide additional support on a temporary basis. asking people to be flexible about the time that the carer(s) visits. asking people to be flexible about who the carer is; and establishing whether the care needs can still be met with a reduced number of care visits, on a temporary basis. 				

Risk 5 - Failure to manage and shape the provider market results in increases in service costs and poor service				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Commissioning	No change	18 August 2021	High-Level	
			Impact	4
<p>High-quality, personalised care and support can only be achieved where there is a vibrant, responsive market of service providers. The role of the council is critical to achieving this through the actions it takes to commission services directly to meet needs. Section 5 of the Care Act 2014 covers the principles which should underpin our market-shaping and commissioning activity.</p> <p>Our current main approach to this risk is through the new Dorset Care Framework (DCF). A report to Cabinet in June 2021 requesting approval to implement the new DCF, was agreed. A task and finish group now meets weekly to deliver a project implementation plan, including an engagement strategy and a 'fair cost of care' exercise. Two provider events are already confirmed.</p> <p>Discussions are taking place about developing the provider market. The overall timescale for the DCF work has been adjusted but remains challenging in the context of the other pressures that colleagues and providers are facing.</p>				

Housing

Risk247 - Temporary Accommodation is insufficient to meet community need				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Housing Solutions	Improved	13 August 2021	High-Level	
			Impact	4
<p>Update - The Covid-19 pandemic has seen the Council's dependence on B&B accommodation for homeless households increase by over 50%. As at July 2021 the number of households in temporary accommodation including B & B was 325 of these 85 were in B & B. As at 7 August 2020 the Council had 349 households in temporary accommodation of which 139 households were in B&B accommodation.</p> <p>Emergency and bed & breakfast accommodation is at capacity levels. The service is working hard to secure additional temporary accommodation in the private rented sector which is unresponsive. During the pandemic the number of families with children in B & B for over 6 weeks reduced to 1 but is now at 15 and expected to rise with the lifting of the eviction ban. Currently the top 3 reasons for homelessness for these households at this date are families no longer willing to accommodate: domestic abuse and ending of assured shorthold tenancy. We continue to prioritise these households. Work continues the Next Steps Accommodation Programme (NSAP) 10 new properties have been purchased and we have supported a local housing association to bid for funds that purchased 3 additional properties with support. We have completed placements to all these properties. The relocatable units funded through NSAP are now on site. Occupation is anticipated late August / first week of September 2021.</p> <p>MHCLG announced a second phase of funding – Rough Sleeping Accommodation Programme (RSAP). We have submitted a bid and anticipate the results during June 2021. Funding will be used to continue the provision of additional accommodation and support for this cohort. Despite the challenges faced by developers to complete new affordable homes our target of 300 was surpassed with 301 new affordable becoming homes available in 20/21. Work will start in 21/22 to develop a new Dorset Council Housing Strategy to drive incremental improvements in access and provision of suitable housing for our residents.</p> <p>There is a direct cost to the Council for every household placed in B&B accommodation in housing benefit top up. Additional temporary accommodation takes the pressure off B&B placements and results in a cost avoidance.</p>				

Risk180 - Increased homeless population				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Housing and Community Safety	Worse	13 August 2021	High-Level	
			Impact	4
<p>Update - Risk of homelessness increasing due to the release of the ban on landlords taking possession proceedings to Court (eviction), income loss due to rises in unemployment and income loss due to the £20 Universal Credit top up being removed. Protections have been in place during the lockdown period, since March 2020, to prevent eviction and to top up income shortfalls through furlough or Universal Credit.</p> <p>New approaches are returning to pre-pandemic levels however, the lifting of the eviction ban and gradual easing of notice periods over the next few months is expected to contribute to an increase in the levels of households approaching the service.</p> <p>Advice and guidance available within the community and via website. Support to complete residency available at Citizens Advice Bureau and Race Equality group. Should additional people then become homeless they are not eligible for service and this should be considered as part of wider community strategy in partnership with all community and voluntary agencies. Clear engagement work required with relevant agencies to support this cohort.</p> <p>New approaches are returning to pre-pandemic levels however, the lifting of the eviction ban and gradual easing of notice periods over the next few months is expected to contribute to an increase in the levels of households approaching the service.</p> <p>Advice and guidance available within the community and via website. Support to complete residency available at Citizens Advice Bureau and Race Equality group. Should additional people then become homeless they are not eligible for service and this should be considered as part of wider community strategy in partnership with all community and voluntary agencies. Clear engagement work required with relevant agencies to support this cohort.</p> <p>Advice and guidance available within the community and via website. Support to complete residency available at CAB and Race Equality group. Should additional people then become homeless they are not eligible for service and this should be considered as part of wider community strategy in partnership with all community and voluntary agencies. Clear engagement work required with relevant agencies to support this cohort.</p> <p>Advice and guidance available within the community and via website. Support to complete residency available at CAB and Race Equality group. Should additional people then become homeless they are not eligible for service and this should be considered as part of wider community strategy in partnership with all community and voluntary agencies. Clear engagement work required with relevant agencies to support this cohort.</p>				

Risk Management Update Report

Children's Services Directorate

Extreme and High-level Risks

August 2021

Children's Care & Protection

Risk104 - A lack of sufficiency and resilience (placements/residential/foster care) impacts negatively on the demands led budget for children in care						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director for Care & Protection	No Change	12 August	HIGH-LEVEL			
			Impact	4	Likelihood	4
<p>Update - Response: Ensuring sufficient 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 continuing focused initiatives during Summer and Autumn 2021 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 and a recently formed Foster Carers association who are continually helping us to shape our services and support. We are also continuing to deliver our Looked After Children Reduction Strategy. This strategy explicitly states our commitment to reducing the number of children in our care.</p> <p>Current Controls: Early help strategy; Commissioning strategy for placements; performance management; prevention is a priority within the Children Families & Young Peoples plan ensuring partner engagement; budgetary controls, monthly tracking and performance meetings and continued progress through the Strengthening Services plan.</p> <p>Controls</p> <ul style="list-style-type: none"> - Sufficiency strategy to understand need and identify plans for increasing sufficiency - Fostering service improvement board - Improvements in Care Planning 						

Risk107 - Inadequate evidence base (including Partnership data) to determine service need for children's care and protection						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director for Care & Protection	Improved	12 August	HIGH-LEVEL			
			Impact	4	Likelihood	3
<p>Update - 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.</p> <p>Controls</p> <ul style="list-style-type: none"> - Business Intelligence Team is improving the approach to collection and sharing information - Joint Strategic Needs Assessment completed. 						

Risk105 - Failure to keep children safe that are known to, or in the care of, Dorset Council						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Assistant Director for Care & Protection	No Change	12 August	HIGH-LEVEL			
			Impact	4	Likelihood	3
<p>Update - We are continuing work to further strengthen practice and services through our Strengthening Services for Children and Families Programme.</p> <p>Current Controls: Participation in sector improvement programme, self-assessment processes, improvement plans; Supervision processes; case file audits; performance management with report to CSLT/Safeguarding Overview and Scrutiny Committee; policies and process continuous improvement; case audits by peer groups/senior managers.</p>						

Risk106 - Failure to understand and respond to the changing nature of exploitation results in a safeguarding failure						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director for Care & Protection	Improved	12 August	HIGH-LEVEL			
			Impact	4	Likelihood	3
<p>Update - 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 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.</p> <p>Multi-agency strategy agreed and tactical group in place to oversee this work. Multi-agency tactical group meeting regularly to understand and share intelligence on exploitation locally</p>						

Commissioning & Partnerships

Risk281 - Financial viability of nursery and after school provision unaffordable						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director for Commissioning & Partnerships	Worse	12 August	HIGH-LEVEL			
			Impact	3	Likelihood	4
<p>Update - 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.</p> <p>The financial viability of settings has been further impacted by Covid and there is some uncertainty over demand because of furloughing. There is new support coming from the DfE on Holiday Provision and Wrap around support, so we are undertaking some further analysis of the requirements and impact of this. A review of nursery provision is on the Work Programme for the Commissioning service in 2021.</p> <p>Controls</p> <ul style="list-style-type: none"> - Childcare Sufficiency Strategy has been completed to identify childcare needs - Work is now underway to review the nursery provision - Financial support has been secured through Contain Outbreak Management Fund to offset additional costs associated with Covid 						

Risk277 - Insufficient availability of local placements and supported accommodation to meet local needs.						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director for Commissioning & Partnerships	No Change	12 August	HIGH-LEVEL			
			Impact	4	Likelihood	3
<p>Update - 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.</p> <p>Planning permission has been secured to build additional local residential provision.</p> <ul style="list-style-type: none"> - The placement sufficiency strategy was approved by Cabinet in January 2021 and is a 3-year plan for delivery of additional placements. <p>Although there is increased local investment and plans in place to address long-term sufficiency, there remains several national challenges having an impact on sufficiency. These include quality concerns identified by Ofsted resulting in the restriction of new admissions in multiple settings, lack of sufficient availability of crisis mental health support including Tier 4 mental health beds, lack of secure welfare accommodation.</p> <p>Controls</p> <ul style="list-style-type: none"> - Development of local provision internally through the building of new children's residential provision. - Development of local provision internally through the repurposing of existing council premises for the provision of residential care. - Working with external providers to encourage the opening of new provision locally through offering lease arrangements on DC buildings. - Working with external providers to encourage the opening of new provision locally through sharing local intelligence on needs and supporting registration and consideration of block contracts where appropriate. - Developing our in-house fostering provision - increasing the timeliness of assessment and the quality of support. - Working with health colleagues to implement new models of crisis care for children experiencing poor mental health 						

Risk278 - Major safeguarding failure by placement providers						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director for Commissioning & Partnerships	No Change	12 August	HIGH-LEVEL			
			Impact	4	Likelihood	3
<p>Update - Regular contract management is in place as part of regional and local frameworks. Due diligence on providers takes place prior to making a placement through checking of Ofsted reports and location risk assessments. We have appointed a QA officer to work with operational services to identify early warning signs that can be addressed with providers. Ofsted Assurance visits have increased and are identifying poor practice.</p> <p>Controls</p> <ul style="list-style-type: none"> - Due diligence checks prior to making placements - Regular contract review meetings - Visits by social workers, IROs and other professionals - QA of Reg 44 visits - Monitoring of Ofsted assurance visit reports and notifications of restrictions and closures 						

Schools & Learning

Risk272 - Failure to stabilise the budget for the High Needs Block						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director for Schools & Learning	No Change	13 August 2021	HIGH			
			Impact	4	Likelihood	4
<p>Update - Response: Failure to stabilise the pressures in the HNB budget will result in a further increase in the deficit in the DSG. Legally this deficit sits with the DSG and is not part of the LAs budget, however, this does not absolve the LA of working with all schools to support actions to create an inclusive culture of support for pupils with additional and special educational needs in all Dorset schools. Work is being undertaken to move to early intervention and support for families across Dorset; to identify pupil needs earlier so that remedial support can be put in place quickly and thus try to stop expensive support later; to create specialist support in all schools and highly specialist support in local schools to reduce the need for pupils to be placed in the independent sector.</p>						

Risk Management Update Report

Corporate Development Services

Extreme and High-level Risks

August 2021

Finance and Commercial

Risk345 - There is a risk that DC will not comply with the Procurement Regulations (UK Law) or Contract Procedure Rules if business areas fail to seek advice from, or have early engagement with, the Commercial & Procurement Team				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Commercial & Procurement	New Risk	18 July 2021	High-Level	
			Impact	4
			Likelihood	3
Update - May is not compliant with the Procurement Regulations (UK Law) or Contract Procedure Rules.				
Controls - Communication about the role of the commercial and procurement team is in development. Lead and development of the Commercialisation Programme (Being more commercially minded). Procurement Forward Plan. The programme will expand existing training and develop new offers to include on-line modules / resources within the Learning Hub - Commercially Minded.				

Risk346 - There is a risk that DC will not attain best value through procurement activity and effective contract management if business areas fail to seek advice from, or have early engagement with, the Commercial & Procurement Team.				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Commercial & Procurement	New Risk	19 July 2021	High-Level	
			Impact	4
			Likelihood	3
Controls - Communication about the role of the commercial and procurement team is in development. Lead and development of the Commercialisation Programme (Being more commercially minded). Procurement Forward Plan. The programme will expand existing training and develop new offers to include on-line modules / resources within the Learning Hub - Commercially Minded.				

HR and OD

Risk359 - 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.				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for HR Operations	New Risk	27 July 2021	High-Level	
			Impact	4
			Likelihood	3
Will impact on our ability to continue to fund services delivered to DC, due to c£400k of income underpinning costs of resources in teams/roles supporting DC's 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.				

Risk358 - There is a risk that the review of terms and conditions may impact on the retention of key skills within the council.				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Human Resources	New Risk	27 July 2021	High-Level	
			Impact	4
			Likelihood	3
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				

Risk352 - Resource levels including recruitment and retention difficulties in the Organisational Development Team results in a failure to deliver the relevant aspects of the People Strategy				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Human Resources and OD	New Risk		High-Level	
			Impact	4
			Likelihood	4
Will impact on the impact that the OD team can have on the delivery of the People Strategy and ultimately affect the Council's key priority to be an Employer of Choice				
Controls - A discussion is being held at SLT about resourcing of the People Strategy				

Risk349 - There is a risk that the HR Manager Self-Service model is inconsistently applied across the council by managers						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for HR Operations	New Risk	17 August 2021	High-Level			
			Impact	3	Likelihood	5
<p>Update - Will impact on individual and collective decision making leading to a range of impacts from administrative errors to lengthy and expensive employee relations disputes - Lack of clarity around role of managers in dealing with people management matters and willingness of managers to engage in this way of working, potentially influenced by experience or lack of confidence in dealing with people management matters</p> <p>Controls – Promotion of self service, development of DES and the intranet, engagement, and communications with Managers. Monitoring of volume of managers working outside of current self-service model, with escalation of any patterns or areas of concern. Work underway to introduce improvements to systems and process (i.e. DES, Recruit) to simplify common tasks performed by managers.</p>						

ICT Operations

Risk286 - Loss of ICT service or data through a cyber-attack						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of ICT Operations	No Change	19 July 2021	Extreme			
			Impact	5	Likelihood	5
<p>Update - Countermeasures for this risk can be split into 2 categories, Likelihood reduction and Impact reduction.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>The longer a vulnerability, cyber-attack or breach is left uncontrolled the more damage can be done. Permanent total data loss, Citizen data released on the internet, blackmail. 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.</p> <p>Controls - Continue to implement and improve the maturity of the vulnerability management and incident detection and response capabilities. These actions will reduce both the likelihood and impact further as stopping a breach quickly can limit the impact. 'Immutable backup' capabilities reduce or stop the total loss of data by providing secure backup copies of council data. Application rationalisation will reduce the total number of vulnerabilities in the infrastructure therefore reducing the attack surface of the council.</p>						

Risk348 - There is a business continuity risk from delayed ICT recovery after a disruption such as a power failure.						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of ICT Operations	New Risk	19 July 2021	Extreme			
			Impact	5	Likelihood	4
<p>Update - Inadequate ICT service continuity capabilities, planning, training, and testing results in delayed ability to recover ICT services supporting critical business functions in the event of a disruption.</p> <p>Controls - People - 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. Current technology convergence makes baselining and testing impractical.</p>						

Legal & Democratic Services

Risk321 - Unable to sustain Assurance service due to prolonged pressures (increasing caseloads; pandemic etc).						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Assurance	No Change	16 August 2021	High-Level			
			Impact	3	Likelihood	5
<p>Update - There are significant pressures across all parts of the Assurance Service. Emergency Planning Team have been focussed on the ongoing Covid response; complaints team have seen a doubling of cases and there are also significant pressures on an already under pressure information compliance team. A business case for additional resourcing in the Complaints and Information Compliance teams was approved by SLT during August 2021, and recruitment will commence shortly. Annual leave and wellbeing more generally are being monitored across the service.</p> <p>Controls - 1 to 1s / My Roadmap; Team meetings; Workstream allocation; Mitigation - Additional resourcing to be recruited, following approval of business case</p>						

Risk59 - Inability to respond to the impacts of concurrent events						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Assurance	Improved	16 August 2021	High-Level			
			Impact	4	Likelihood	3
<p>Update - A contingency group was established during the Covid-19 outbreak at Local Resilience Forum level which looked at response to concurrent events.</p> <p>Throughout the duration of the Covid response, the team have been dealing with concurrent events. The dedicated Covid Silver role has been stepped down, in line with the LRF standing down the Major Incident declaration in April 21 but would be reinstated in the event of a significant surge. The Council has played an active role in the LRF Concurrent Risks Groups (Strategic and Tactical) and onwards into recovery.</p> <p>Controls</p> <ul style="list-style-type: none"> - Command and Control structure (Gold and Silver; Duty EP; LALO). - Multi agency work via Local Resilience Forum. - DC Incident Management Team. - Portfolio of emergency plans. - Safety Advisory Groups. - Work of the LRF Contingency Group (Covid-19) <p>Mitigation - Accepted risk. Should the risk occur, additional resource would be found through prioritisation of services</p>						

Risk212 - Inadequate information governance culture and framework and culture (policy; training; monitoring etc) results in a significant data breach						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Assurance	No Change	16 August 2021	High-Level			
			Impact	4	Likelihood	4
<p>Update - 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 working group since 1 April, chaired by the Senior Information Risk Officer. The Information Compliance team are formulating an action plan, which will be owned by the board.</p> <p>A new data protection training module is available and will be a mandatory requirement for all staff. Compliance is monitored by SLT. The Council is currently recording "red" performance for meeting Subject Access Request timescales. Work is underway with Children's Services to identify how this position can be improved. Capacity in the information compliance team has been challenging, with team resources focussed on "fire fighting" Freedom of Information; Subject Access Requests and Data Breaches, leaving limited time to move forward strategic information governance improvements.</p> <p>Controls</p> <ul style="list-style-type: none"> - Portfolio of information governance policies - GDPR training - Information Governance Group - Information Governance Action Plan <p>Mitigation - Additional resourcing to be recruited, following approval of business case</p>						

Business Insight & Corporate Communication

Risk344 - 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						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Senior Leadership Team	New Risk	19 July 2021	High-Level			
			Impact	3	Likelihood	4
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						
Mitigation - Additional resourcing to be recruited, following approval of business case						

Risk316 - Value for money work doesn't progress (Chief Exec's)						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Chief Exec's Office	New Risk	11 May 2021	High-Level			
			Impact	3	Likelihood	4
Update - Resource issues to deliver the work now. May result in lack of focus on areas where we are not delivering value for money - Currently discussing whether SWAP may be able to provide some resource - Investigate other resourcing options.						

Risk317 - Policy works slower than required (Chief Exec's)						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Chief Exec's Office	New Risk	11 May 2021	High-Level			
			Impact	3	Likelihood	4
Update - Resource issues. Results in lack of corporate oversight of key council policies, horizon scanning and funding opportunities						

Digital & Change

Risk326 - 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.						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director - Digital & Change	New Risk	17 May 2021	High-Level			
			Impact	4	Likelihood	3
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.						
Control - Treat – continue with the activity and bring the risk to an acceptable level						

Risk Management Update Report

Place Directorate

Extreme and High-level Risks

August 2021

ASSETS & PROPERTY

Engineering & Special Projects

Risk201 - Climate change effects on sea level rise and uncertainty could lead to low lying areas such as Weymouth being uneconomic to defend						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Engineering & Special Projects	No Change	18 August 2021	High-Level			
			Impact	4	Likelihood	4
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 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 updated spring 2020, potential for increased funding to protect infrastructure and economic activity. Funding currently mainly based on numbers of homes protected						
Controls - Use latest inter-governmental guidance when designing coast defences, design life of 50 years. Shoreline Management plan review						

Risk138 - Breach of health and safety at an occupied premise (Directorate Duty Holder)						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Assets & Property	No Change		High-Level			
			Impact	4	Likelihood	3
Update - Many sites now have a nominated Premises Responsible Person. However, restructuring of services and a 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.						

Economy Infrastructure and Growth – HIGHWAYS

Risk73 - Failure to attract funding for asset maintenance						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Infrastructure & Assets	Improved	25 March 2021	High-Level			
			Impact	4	Likelihood	3
Update - The new HAMP/AMP review will help us to understand whole life cost better; Inspection regimes for cycleway schemes are needed where we are legally responsible for their upkeep; We are not going to be allowed to charge commuted sums for SUDs adoption;						
Further actions: Development of the HAMP. Working with WSP and other authorities to share best practice. 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 overspecifying 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).						
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.						

Risk84 - Failure to deliver a safe and suitable alternative to the current arrangements for Wareham Level Crossing				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Infrastructure & Assets	No Change		High-Level	
			Impact	4
			Likelihood	4
<p>Update - Dorset Council assumed responsibility from Dorset County Council (DCC) to manage the pedestrian level crossing in Wareham. The lease agreement between Network Rail and Dorset Council for the level crossing runs until 2038; this crossing will close in 2038 as per the terms of the lease. If no suitable alternative is delivered before 2038 Dorset Council would be found to be breaching Equalities legislation.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>Controls - 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.</p> <p>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> <p>Controls - Security guards in place (at cost to DC); Active programme in place to deliver alternative arrangements;</p>				

Risk63 - Inability to maintain the highways infrastructure to an acceptable standard in the face of changing circumstances (e.g. budget reductions; climate change)				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Network Operations	No Change	11 August 2021	High-Level	
			Impact	4 Likelihood 3
<p>Update - 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.</p> <p>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.</p> <p>Deliver Action Plan to achieve full available funding from DfT incentivised funding</p> <p>Cause: Adverse weather conditions; Under investment in highways infrastructure from central government and DC funding - now and in the future (future maintenance liabilities); Incentivised element of maintenance black funding from DfT has been increased by another year, uncertainty of funding mechanism from April 2022 onward; Lack of political support for local funding allocation; Lack of capacity to respond to necessary repair work at times of crisis/peak work periods; Reduction in funding without changes in ways of working; Increase in weight, size & volume of traffic; Lack of development of systems/evidence tools; Lack of staff motivation impacts adversely on the work undertaken; Lack of staff capacity to manage insurance claim administration within desired timescales; Unable to adapt to climate change;</p> <p>Consequence: Negative impact on the council's reputation; Inability to rely on Section 58 defence; Potential increase in claims costs; Road network not fit for purpose; Negative economic impact on the area; Negative impact on self-insurance arrangements; Negative impact on staffing capacity to respond to complaints/FOI requests, etc (failure demand); Customer dissatisfaction; Higher cost of reactive maintenance, rather than long term repairs; Challenges under S56 of Highways Act (noticed served to maintain a area of highway); Increasing needs based budget; Potential increase to safety risk;</p> <p>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 proactive maintenance;</p>				

Risk292 - Winter Service budget pressures				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Network Operations	No Change	11 August 2021	High-Level	
			Impact	4 Likelihood 3
<p>Update - The legal position relating to the Highway Authority's responsibility in respect of the winter service is set out in an amendment to Section 41(1) Highways Act 1980 (c.66) (duty of highway authority to maintain the highway). (1A) details that a highway authority is under a duty to ensure, 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 the service to cover the cost of snow clearance beyond this point.</p> <p>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.</p> <p>Controls - The current budget provision to the Highway Service is suitable to cover the cost of normal salting operations and up to 24 hours of snow clearance. There is no budget allocation to cover the cost of snow clearance beyond this point. Seasonal variations have led to up to 5 days of snow clearance over the winter period in recent years.</p>				

Economy Infrastructure and Growth – PLANNING

Risk141 - Changes to national planning policy lead to delays to prep of the Local Plan Review			
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating
Head of Planning	No Change		High-Level
			Impact 4 Likelihood 3
Update -			

Risk194 - 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	Direction of Travel	Last Reviewed	Risk Rating
Service Manager for Spatial Planning	No Change	25 March 2021	High-Level
			Impact 3 Likelihood 4
Update - 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.			
Controls - Adopted local plans across area, though not all up to date; Five-year land supply carefully monitored across all plan areas. Proactive approach working with developers to try to bring sites forward (though needs significant resource); External funding e.g. for Gillingham site; Giving appropriate weight to housing land supply in decisions on applications, allowing more where it is appropriate; Ensuring that we make sufficient development land allocations in new local plan, and that they are deliverable and viable sites.			

Economy Infrastructure and Growth – DORSET TRAVEL

Risk366 - ADULT SAFEGUARDING Major safeguarding incident arises on adult transport due to lack of supervision			
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating
Service Manager for Fleet Operations	New Risk	9 August 2021	High-Level
			Impact 4 Likelihood 3
Update - At present passenger assistants are not routinely provided on adult social care transport (unlike transport for children with SEND). This increases the risk of a passenger with dementia acting in a way that could jeopardise themselves or other passengers whilst the driver is away from the vehicle (e.g. taking another passenger to their front door)			
Impact - Death or serious injury			
Mitigation - Provide passenger assistants on selected adult social care transport Include a review of risks for all passengers travelling on adult social care transport as part of a commissioning strategy and put appropriate measures in place			
We are still awaiting a decision on whether Dorset Travel will continue to provide transport for day care centres			

Risk368 - PSVAR Coaches used on school transport (where there are some paying passengers) will be non-compliant by end of 2021			
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating
Service Manager for Travel Operations	New Risk	9 August 2021	High-Level
			Impact 3 Likelihood 4
Update - There has been an agreement to delay enforcement until the end of 2021. In addition, there is a further option to allow 50% of services to be non-compliant for another 2 years after that. Letter from DfT on 6th July indicated that the deadline for compliance will be March 2022			
Some school transport operators will no longer be able to operate school services; DC may be forced to change policy around charging for surplus seats - which would affect both DC and operator finances; Other associated challenges and issues could arise from any changes to policy			
Mitigation Actions - Ensure that all transport operators affected by this have suitable contingency plans in place by end of 2021. Create options report to help with decision making			

GROWTH & ECONOMIC REGENERATION

Risk228 - Changing funding landscape and a ability to secure investment funding for Dorset				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Growth & Economic Regeneration	No Change		High-Level	
			Impact	3 Likelihood 4
Update - Further actions - Collation and evaluation of evidence and preparation of schemes and business cases				
Control - Establish economic growth strategy and priorities for Dorset, aligned with Dorset LEP and BCP				

Risk231 - Securing sufficient and appropriate skills and resources through restructuring of service to deliver DC economic growth strategy				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Growth & Economic Regeneration	No Change		High-Level	
			Impact	4 Likelihood 3
Update - Further actions - Informed restructuring process				
Control - Informed restructuring process				

Place Based Services – COMMERCIAL WASTE & STRATEGY

Risk209 - Change of government policy through the new DEFRA national waste strategy could impact what, and how, waste is collected and increasing costs				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Head of Commercial Waste and Strategy	No Change	18 August 2021	High-Level	
			Impact	4 Likelihood 3
Update - Extended Producer Responsibility for Packaging (EPR) in the UK consultation, A Deposit Return Scheme (DRS) for drinks containers in England, Wales and Northern Ireland consultation and The Consistency of materials collected for recycling for households and businesses in England consultation. There will be further consultations around minimum collection standards released later this year which will be enforced nationally. The key areas of concern for these consultations are: <ul style="list-style-type: none"> - How Dorset will receive the income from the producers through the EPR reform - what do they deem to be an efficient and effective service. It's not currently clear whether we will get full net cost recovery for packaging waste. Furthermore, it's likely Government be looking to remove the level of funding DC receives from EPR in the next spending review - so this isn't new money to the Council and creates lots of uncertainty around budgeting. - Free garden waste collections - we strongly oppose this position as it will be a significant cost to Dorset council that we don't believe will be fully covered under new burdens, and it will also increase our environmental impact. 				
Controls - Active engagement through consultation responses. Involvement with national bodies.				

Risk211 - Failure to maintain high recycling and therefore waste diverted to more expensive disposal				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Head of Commercial Waste and Strategy	No Change	18 August 2021	High-Level	
			Impact	4 Likelihood 3
Update - Ensure continued investment in communication and educational resources. Waste growth has increased at the kerbside as a direct result of Covid-19. More residents have been working from home and as such Dorset, together with all other local authorities, has seen an increase in waste arisings at the kerbside. This year we are forecasting a £500k overspend on our disposal budget because of this additional waste. Move ahead with the development of a central strategic waste transfer station and a new HRC in the East of the county to promote support wider reuse opportunities.				
Controls - Extensive communication and education plan. Replacement vehicle programme to ensure waste is collected and public continue to support service				
Mitigation: Continue to promote educational campaigns focusing on waste reduction and reuse, such as home composting, using real nappies etc. Also, we will continue to promote the 'Right Stuff, Right Bin' campaign to maintain and increase material capture rates for recycling and composting. Use the new in-cab BARTEC system to help further drive efficiencies from the existing 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).				

Risk293 - Failure to secure capital to develop and maintain waste infrastructure						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Commercial Waste and Strategy	No Change	18 August 2021	High-Level			
			Impact	4	Likelihood	3
<p>Update - We have submitted planning for Blandford waste management centre (HRC and transfer facility) and have secured capital for a new HRC in the East of the County so are now actively looking for a site in the East. Improvements and general maintenance of depot and HRC infrastructure is an ongoing challenge with a limited R&M budget. Wider Council infrastructure requirements need to be incorporated into this work, such as the recent property infrastructure review for DC.</p> <p>With property growth increasing, and trade and garden waste services increasing there is a need for larger depots and infrastructure to facilitate this growth and to capitalise on future income generation opportunities.</p>						

Risk294 - Increase in cost of residual waste from HRC's						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Commercial Waste and Strategy	No Change	18 August 2021	High-Level			
			Impact	3	Likelihood	4
<p>Update - 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. There is a short-term risk of increased costs within existing contract period. The significant risk is the increase in cost to the Council when we renew the contract. Our current contract ends August 2024.</p>						

Risk208 - Gaining sites and planning to provide infrastructure leads to failure to deliver service.						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Commercial Waste and Strategy	No Change	18 August 2021	High-Level			
			Impact	4	Likelihood	4
<p>Update - Two major projects are currently ongoing. A central waste management centre in Blandford, where planning permission has been submitted. A site search in the East of the county has been completed for a new HRC and the long list of sites is being reviewed to generate a short list of sites. A waste infrastructure review has been completed to provide a baseline of requirements. This fed into the recent property review of depots across Dorset, however more work is required in this area across the Council.</p> <p>Controls - Worked with waste planning authority to identify and safeguard sites to meet our needs through the Waste Local Plan. Working with neighbouring authorities for continued use of facilities. Contingency plans identified in all waste contracts.</p>						

Place Based Services – COMMUNITY & PUBLIC PROTECTION

Risk178 - Failure to issue new Export Health Certificates for fish leading to business block/failure and/or other service disruption						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Food, H&S and Port Health	No Change	9 August 2021	High-Level			
			Impact	4	Likelihood	3
<p>Update - DEFRA grant secured for £25k and second grant of £30K and being used to provide backfilling.</p> <p>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.</p> <p>Controls - New requirement. Impact being assessed.</p> <p>Mitigation Actions - Added to the Corporate Indemnity Insurance 2021</p>						

Risk190 - Significant Health and Safety incident / a 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	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Food, H&S and Port Health	No Change	9 August 2021	High-Level			
			Impact	4	Likelihood	3
<p>Update - As required staff who are managing a significant case will have other statutory duties passed to team members who will prioritise work to concentrate on high risk premises.</p> <p>Further Action - Ensure that staffing numbers and capacity is sufficient to carry out significant investigation work without impacting on other statutory work. Working with Trading Standards on proceeds of crime action. Ensure sufficient resource for legal support as appropriate.</p> <p>Controls - Work prioritisation</p>						

Risk28 - 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	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Trading Standards	No Change	2 July 2021	High-Level	
			Impact	4
			Likelihood	3
Update - 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). Also, there may be disruption from suspected illegal landings. There is no evidence of this to date, but holiday travel is limited by Covid.				
Controls - Communication and publicising by various bodies of current rules at key entry points. Liaison with Harbour Masters.				

Place Based Services – WASTE & OPERATIONS

Risk62 - Traffic Commissioner Revoking, Curtailing, Suspending or Restricting DCC's Operators Licence (Goods and/or Passenger Carrying Operators Licence)				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Head of Waste & Operations	Worse	13 July 2021	High-Level	
			Impact	4
			Likelihood	3
Update - 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. Controls - Planned inspection & maintenance regime; Quality Assurance system for all statutory MOT tests; Drivers issued with DCC Drivers Code of Practice; Daily Defect Reporting System; Drivers issued with Drivers Hours Books and Tachograph cards; Training, guidance, tools to ensure compliance for drivers operating under EU Drivers Hours Regulations; Provide education & driver training where applicable; Evidence of non-compliance reported to Senior Managers; Monitoring driver hours and rest periods; Fleet Compliance Officers audits				

Risk83 - PUWER Regulations - non-compliance of PUWER Regulations (H&S Provision and Use of Work Equipment Regulations 1998)				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Head of Waste Operations	Worse	13 July 2021	High-Level	
			Impact	4
			Likelihood	4
Update - 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 are currently in operation and will report on outstanding items not actioned next month.				
Cause: Failure to follow inspection schedule; Users using items out of schedule inspection date; No precise inventory of items available. Consequence: Reputational damage; Financial penalties; Increased visits from H&S Executive; Serious injury; Legal actions taken against DCC. Negative publicity; Negative impact on staff morale.				
Current Controls: Use Fleet wave system to record information; PUWER checks carried out by trained members of staff close to the location of the items; Network of external maintenance providers supporting Fleet Services; Any plant not fitted with current in-date PUWER label will be removed by the H&S team; 5 year schedule for recorded items of plant, with notifications sent to manager/site agent and the person identified to carry out the inspection; Precise inventory of items available - always updating, with managers to ensure staff supply the required information; Automated email informing manager of scheduled PUWER inspection now operating; Storeman in highways has been assessed to carry out PUWER inspections, with access given to Fleet wave and training to enable them to update PUWER data at source; Completed PUWER sheets scanned into Fleet wave attached to relevant job card, removing requirement to hold a paper copy; New plant items are being added to the system by all service reflecting that the system is working as expected;				