



Risk Management Exception

Quarterly Update Report

Extreme and High-Level Risks

As of 9 March 2022

The continual development and promotion of risk management will ensure that Dorset Council is well placed to demonstrate that objective and informed decisions are taken.

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Risk Management Road Map 21-22

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



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. 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.

Risk Management

Risk affects all organisations. It can have consequences in terms of performance, environmental and safety outcomes, and professional reputation. Risk is anything and everything that could impact upon the successful achievement of aims and objectives. Risk management is a process to identify, assess, manage, and control potential events or situations to provide reasonable assurance regarding the achievement of our objectives. Success comes from managing both the positive and the negative aspects of risk effectively.

Risks by Themes

When operating effectively, risk management is a key element of the councils strategic and operational planning processes – supporting desired outcomes that help to enable the council to meet its ambitions as set out in the Council Plan. Our risk themes capture risks that are specific and appropriate to Dorset Council. To meet that challenge, the assurance team are developing processes needed for rapid reporting, deeper insights, and modelling. The ten key risk themes will help to better plot and link our risks and capture information to help senior managers make decision to manage service delivery.

Update Statement

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 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. We are pleased to report that Public Health risks are now incorporated within the risk registers and featured within the update report. Revenue and Benefits are also currently being added to the risk register and will feature in the next update report. The 'Risk Management Framework' and 'Risk Appetite Statement' both refreshed.

A 'Risk Management Training Pathway' was launched and located the Dorset Council learning portal. Looking ahead work continues with the development and incorporation of residual risk into our risk registers. Residual risk is the risk that remains after controls are accounted for - the risk that remains after we have taken precautions and mitigation.

In simple terms, residual risk represents the risks that remain after additional controls are applied. The risk management framework will be rewritten to incorporate the latest developments. The aim is for all risks to have management actions in place and the risk management process will continue to be subject to a regular refresh. The challenge is to make every reasonable effort to mitigate and manage risks effectively, and where failure occurs, to learn and improve.

Comparison

The matrices below illustrate how the risk profile (the actual number of risks on the register) has changed throughout the year. This is based on the inherent risk, the risk impact and likelihood considering any existing controls in place to manage the risk, but before any further planned controls are introduced. The change in the overall risk profile demonstrates how action is taken to manage risks, to ensure the completeness of the risk register and to capture emerging risks. The full Services Risk Register can be viewed from this link [HERE](#)

August 2021

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

December 2021

Dorset Council Risk Profile						
Impact	C			2	2	1
	Ma	1	47	23	12	1
	Mod	3	49	59	17	2
	S	2	33	11	1	3
	L				1	
		VU	U	P	L	VH
Likelihood (Probability)						
270 Risks 4 Extreme (1%) 56 High-Level (21%) 11 Escalated to SLT						

March 2022

Dorset Council Risk Profile (incl Public Health)						
Impact	C			3	2	2
	Ma	1	42	22	12	1
	Mod	2	45	54	26	2
	S	2	32	11	6	2
	L		1		1	
		VU	U	P	L	VH
Likelihood (Probability)						
270 Risks 5 Extreme (2%) 65 High-Level (24%) 11 Escalated to SLT						

Once risks have been identified, they must be assessed in terms of how likely it is that they will materialise (probability) and, if they do, what might the effects be (impact). Every risk will be considered as unique, with its own significance. Once risks have been scored using the Risk Assessment Matrix, the next step is to understand what this score means and use it to inform a suitable response. Each risk, based on its score, will be rated as either LOW, MEDIUM, HIGH-LEVEL, OR EXTREME and will be colour-coded according to the Risk Assessment Matrix.

A **SUMMARY** of the risks for this reporting period are set out below:

270 Risks

Dorset Council Risk Profile (incl Public Health)						
Impact	C			3	2	2
	Ma	1	42	22	12	1
	Mod	2	45	54	26	2
	S	2	32	11	6	2
	L		1		1	
		VU	U	P	L	VH
Likelihood (Probability)						

5 Extreme
65 High-Level

11 Escalated to SLT

Adults and Housing

No of Risks 30 1 Extreme - 7 High-Level 2 Escalated to SLT						
Impact	C					
	Ma			2	3	1
	Mod	1	12	2	2	
	S	1	4	1	1	
	L					
		VU	U	P	L	C
Likelihood (Probability)						

Children's Services

No of Risks 23 1 Extreme - 6 High-Level 1 Escalated to SLT						
Impact	C		1			1
	Ma		3	4	1	
	Mod		2	3	1	
	S		2	2	2	
	L		1			
		VU	U	P	L	C
Likelihood (Probability)						

Corporate

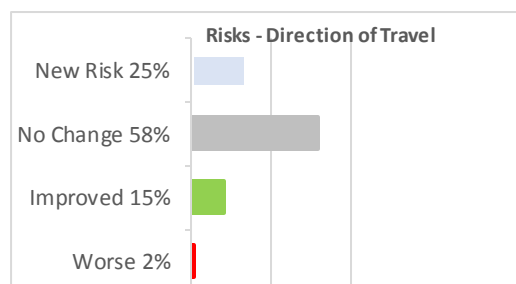
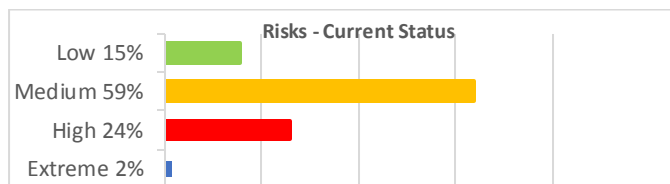
No of Risks 57 2 Extreme - 18 High-Level 4 Escalated to SLT						
Impact	C			2	1	1
	Ma	1	9	3	2	
	Mod		6	12	9	2
	S		6	1	1	1
	L					
		VU	U	P	L	C
Likelihood (Probability)						

Place

No of Risks 151 1 Extreme - 30 High-Level 3 Escalated to SLT						
Impact	C				1	
	Ma		29	12	4	
	Mod	1	25	35	14	
	S	1	19	7	1	1
	L				1	
		VU	U	P	L	C
Likelihood (Probability)						

Public Health

No of Risks 9 0 Extreme - 4 High-Level 1 Escalated to SLT						
Impact	C			1		
	Ma		1	1	2	
	Mod			2		
	S		1		1	
	L					
		VU	U	P	L	C
Likelihood (Probability)						



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Risk Management Update Report

People Directorate for Adults and Housing

Extreme and High-level Risks

As of 9 March 2022

Adults and Housing

Extreme Risks

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 Corporate Director for Adult Social Care
(Impact 4 Likelihood 5)

High-Level Risks

HIGH-LEVEL

Adults & Housing - Adult Care

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

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 3)

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)

Risk 325 - Failure to maintain safe levels of Approved Mental Health Professional capacity to fulfil our duties – Accountable Officer - Corporate Director for Adult Care Operations
(Impact 3 Likelihood 4)

HIGH-LEVEL

Adults & Housing - Commissioning

Risk 298 - Failure to achieve infection control - Accountable Officer - Corporate Director for Commissioning
(Impact 3 Likelihood 4)

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 4)

Housing

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

Management Update

Adults & Housing - Adult Care

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	3 March 2022	High-Level	
			Impact	4
<p>Update - The pressure felt by hospitals across Dorset reflects the wider national crisis and has increased to point that the system has declared OPEL 4 position with ongoing internal management incidents in both local acute hospitals. The local authority continues to hold 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.</p> <p>The financial risk and operating model for hospital discharge will need to be reviewed following receipt and confirmation of national funding arrangements to support discharge to assess. Ending of Hospital Discharge Programme funding (HDP) is expected by 31/3/2022 although it has been extended on 3 previous occasions, it is not expected to be this time. The ending of the funding will mean a change to current operating procedures and the associated performance and financial risks. Transition planning and decisions taken to Dorset ICS Home First Commissioning Board for agreement of interim funding arrangements to support hospital discharge processes to remain as is, pending further Government guidance about national discharge funding.</p>				

Risk325 - Failure to maintain safe levels of Approved Mental Health Professional capacity to fulfil our duties				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Adult Care Operations	New Risk	7 March 2022	High-Level	
			Impact	3
<p>Update - While there is a wider context around a national shortage of Approved Mental Health Professionals (known as AMHPs); workforce planning is taking place locally with an updated approval pathway being in development (which includes pre-AMHP programmes), as well as good Continuous Professional Development (CPD) and quality assurance of practice. However there have been significant workforce impacts from rigidity of agency hours, sickness absence and annual leave. Our staff resilience and wellbeing continue to be a priority.</p> <p>Increase in activity demands into the service is being monitored with an escalation plan in place as well as an updated business contingency plan i.e., there is a system resilience escalation process to inform system partners if there is no AMHP availability. Some areas of service development have been put on hold due to increased activity demands and staffing shortages. Exploration of a sustainable out of hours model and future Approved Mental Health Professional model in Dorset. The increase in activity demands into the service is being monitored with escalation plan in place. A review of key functions alongside risks mitigated with refocussing of AMHP resources from other teams, diversion to weekend working teams of some adult social care enquiries when there is peak demand, overtime and use of agency staff has been necessary to ensure that a service is delivered. Finally, the workforce plan includes recruitment to vacant posts, and this has been reasonably successful though candidates were internal to the council.</p>				

Risk125 - Gap exists between 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	Improved	7 March 2022	High-Level	
			Impact	4
<p>Update - Welcome additional short-term Government funding was announced in December and January. Conditions are attached to some of the funding. The area remains a high risk, principally because the serious shortfall in the supply of care, (in relation to demand), is likely to put further upward pressure on prices. Operational and commissioning action is being taken to mitigate and reduce the financial risk. This is overseen by a Savings and Transformation Board which is jointly chaired by Corporate Directors, which track all the savings' plans. The new Dorset Care Framework will help shape the market. The impact of the Hospital Discharge Programme is still having an impact of the financial position of adult social care and so are workforce pressures. A workstream in a separate risk detail that further. The budget for 22/23 has been set, modelled on demand, costs, and forecasts for the year ahead so going to be as accurate as it is possible to be under adult social care variances. 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. 				

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	7 March 2022	High-Level	
			Impact	4
			Likelihood	3
<p>Update - Recruitment into all adult social care roles has and continues to be difficult, with a national shortage of some key posts, specifically Approved Mental Health Professionals, Occupational Therapists, and experienced Social Work managers.</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.</p> <p>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. Work is also progressing on the duties being carried out under Section 117 of the Mental Health Act on behalf of the Dorset Clinical Commissioning Group (CCG) and Continuing Health Care (CHC) arrangements.</p> <p>Controls - A series of clarification and reiteration points has been developed (exceptions work) that will support the workforce and partners in understanding the pressure that adult social care, alongside health, are under during the winter period of 2021-22. Local resilience forums continue, along with escalation and information sharing via system ODG, Bronze, Silver and Gold. Communication work to support suppression of some demand underway but undeveloped currently. Mitigation - Further action needed as winter pressures build. To be tracked at ASC leadership weekly meeting and 3x weekly risk and escalation meetings.</p>				

Adults & Housing – Commissioning

Risk298 - Failure to achieve infection control				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Commissioning	Improving	10 February 2022	High-Level	
			Impact	3
			Likelihood	4
<p>Update - Successful infection control across adult social care in Dorset is achieved through a combination of work by the Council, work by suppliers and care providers, and work in partnership, together with support from the Quality and Improvement team and continuous reminders about basic infection control procedures. One of the main drivers for reducing this risk is Government Regulations and guidance, including the general guidance about working safely in care homes, and the guidance for the management of staff and exposed residents.</p> <p>The Government guidance 'Living with Covid-19' outlines a range of possible futures for the course of the pandemic. All scenarios assume that a more stable position will eventually be reached - but over several years. In the 'reasonable best case' there may be a comparatively small resurgence in infections during autumn/winter 2022-23, and in the 'reasonable worst case' a very large wave of infections with increased levels of severe disease. The 'optimistic central' and 'pessimistic central' scenarios are considered the most likely. The emergence of new variants will be a significant factor in determining the future path of the virus. New variants of COVID-19 will continue to emerge. This could include variants that render vaccines less effective, are resistant to antivirals, or cause more severe disease. The pathway to greater stability will also be affected using vaccination and available treatments. In the meantime, the Government has said it will offer the adult social care sector with the following protections:</p> <ul style="list-style-type: none"> Supporting and encouraging the take-up of vaccines amongst care recipients and staff, including any further doses that may be recommended by JCVI for COVID-19 and other infections. Guidance on precautions for visitors and workers in adult social care; and Providing access to free PPE to the end of March 2023 or until the UK IPC guidance on PPE usage for COVID-19 is amended or superseded (whichever is sooner). <p>As part of living sustainably with COVID-19, by 1 April 2022 the Government will publish updated IPC guidance. This will replace current COVID-19 IPC guidance for care homes, home care and other adult social care services.</p> <p>Mitigation - The impact of the loss of care may be significant and the mitigating actions that are in place are focused on:</p> <ul style="list-style-type: none"> 'myth-busting' work to encourage vaccine take-up examining the legitimate scope of exemptions monitoring the possibility that care home workers who decline a vaccine may be redeployed to help meet the shortage in domiciliary care. <p>A risk assessment is being carried out for each care home, leading to a RAG rating for each home. The RAG rating will depend in part on the number of unvaccinated workers at the care home in relation to the home's overall number of care workers.</p>				

Risk343 - 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 Corporate Director for Adult Social Care	No Change	10 February 2022	Extreme	
			Impact	4 Likelihood 5
<p>Update - A combination of adverse factors has led to a waiting list for domiciliary care packages that people have been assessed as needing in accordance with Care Act 2014 eligibility criteria and/or the mandated hospital discharge policy. The number of people waiting for care varies by the day, but it is a significant number and has been as many as 300 people. Fuller details are provided in this report to the People and Health Scrutiny Committee on 1 November 2021:</p> <p>https://modern.gov.dorsetcouncil.gov.uk/documents/s26424/People%20and%20Health%20Scrutiny%20Committee%20-%20Market%20Sufficiency%20Nov%202021.pdf</p> <p>The adverse factors include:</p> <ul style="list-style-type: none"> - Coronavirus hospital discharge requirements which increased the demand for domiciliary care through more people leaving hospital with higher needs. - high levels of hospital admissions. - The legacy of the particularly buoyant 2021 'summer economy' which drew a proportion of providers' workforces into the hospitality sector. - The impact of social isolation rules/decisions. - A reduced number of workers from EU countries coming to work in Dorset, (Care workers, care assistants and home care workers are now eligible for the Health and Care Visa as a response to pandemic pressures, but it is only valid for 12 months). - Recruitment activities, which have suffered because of the pandemic. <p>This risk is categorised as 'Extreme' because it has crystallised and there is unmet eligible need in Dorset. The issues have affected 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 have been considering significant changes to their business models. Tricuro can offer some capacity in their role as our 'provider of last resort'. However, this impacts on their capacity to provide residential care - itself often a statutory duty.</p> <p>Helpfully, two tranches of workforce recruitment and retention funding were announced by the Government as part of the Winter Plan 2021/22. Dorset has passed this funding directly to the frontline. On 1 March 2022, following a consultation, the Government announced it will revoke the regulations that made vaccines mandatory for social care workers. The new Dorset Care Framework offers the opportunity to develop the capacity and competitiveness of the market over time.</p> <p>Controls - This risk is principally managed through a range of statutory and commissioning frameworks and contracts and through targeted Government funding.</p> <p>The other mitigating actions we are taking with people include:</p> <ul style="list-style-type: none"> - where safe and appropriate, 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 fully met with a reduced number of care visits, on a temporary basis, which allows hours to be offered to people elsewhere. 				

Risk5 - 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	Worse	10 February 2022	High-Level	
			Impact	4 Likelihood 4
<p>Update - 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. On 16 December 2021 the Government published further detail on the future funding available, including its expectations for fair cost of care and market sustainability, conditions of funding and distribution for 2022 to 2023. This was to enable local authorities to begin preparing local markets for reform. It was followed by a grant determination letter and further guidance in early 2022.</p> <p>Four key activities for preparing our markets include:</p> <ul style="list-style-type: none"> - Cost of care exercise - determining sustainable rates - Engaging with providers to improve data on operational costs / engaging with self-funders to understand the impact of reform on the market - Strengthening capacity for greater market oversight and - Using the additional funding to "genuinely increase fee rates" <p>Work is underway towards achieving all four expectations and meeting the funding requirements, although the timescales are very onerous. In terms of area 1. above, Dorset's cost of care exercise is nearly complete. It highlights that new/forthcoming key cost pressures for providers include food, utilities, and NI contributions.</p>				

Housing

Risk 180 - Increased homeless population						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Director for Housing and Community Safety	No Change	7 March 2022	High-Level			
			Impact	4	Likelihood	4
<p>Update - The number of homeless approaches is monitored. Levels returned to pre-pandemic levels in summer 2021; Increases were anticipated due to delayed evictions, income loss due to rises in unemployment and the removal £20 Universal Credit top up; Further income pressures due to increases in utility costs will add to these pressures in 2022. Recent data shows a large increase the number of homeless approaches in quarter 4 21/22 and a analysis of causal factors is being monitored. Acquisitions under government initiatives (NSAP and RSAP) and council capital funding have increased the number of placements available for selected cohorts concentrated of rough sleepers. Work with the council property and assets service and social landlord continues to identify opportunities to increase the number properties available for placements through acquisitions or repurposing. Placements into bed and breakfast accommodation increased because of the pandemic 'Everyone In' initiative and remains high. A lack of suitable alternatives has meant placement of families with children into bed and breakfast has been unavoidable. A new plan to exit bed and breakfast has been developed with Department for Levelling Up, Housing and Communities (known as DLUHC). Internal re-design of processes, a refresh of housing web pages and the introduction of new software aims to provide a simpler process for households to access support. Work continues to provide additional self-accessed support and guidance for homeless households and those at risk of homelessness. Additional homeless prevention resources are included in the internal housing service restructure to reduce the number of homeless accommodation placements and will be in place for July 2022. Advice and guidance are also available within the community e.g., Citizens Advice Bureau and Race Equality group. Where people become homeless who 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>Controls - Regular monitoring of trends. 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

As of 9 March 2022

Children's Services

Extreme Risks

Schools and Learning	EXTREME	<p>Schools and Learning</p> <p>Risk 272 - Failure to stabilise the budget for the High Needs Block - Accountable Officer - Corporate Director for Education & Learning (Impact 5 Likelihood 5)</p>
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High-Level Risks

HIGH-LEVEL	<p>Children's Care & Protection</p> <p>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)</p> <p>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)</p> <p>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)</p> <p>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)</p> <p>Commissioning & Partnerships</p> <p>Risk 277 - Insufficient availability of local placements and supported accommodation to meet local needs - Accountable Officer - Corporate Director for Commissioning & Partnerships (Impact 3 Likelihood 4)</p> <p>Risk 278 - Major safeguarding failure by placement providers - Accountable Officer - Corporate Director for Commissioning & Partnerships (Impact 4 Likelihood 3)</p>
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Management Update

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	4 January 2022	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 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>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> <ul style="list-style-type: none"> Sufficiency strategy to understand need and identify plans for increasing sufficiency Strengthening Fostering service improvement board Improvements in Care Planning 						

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	8 December 2021	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	No Change	8 December 2021	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 chair 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.</p> <p>Multi-agency tactical group meeting is held regularly to understand and share intelligence on exploitation locally.</p>						

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	No Change	9 December 2021	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 <p>Mitigation</p> <ul style="list-style-type: none"> 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

Commissioning & Partnerships

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	8 March 2022	HIGH-LEVEL	
			Impact	3 Likelihood 4
<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. The placement sufficiency strategy was approved by Cabinet in January 2021 and is a 3-year plan for delivery of additional placements. 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. Progress is now being made on the development of the new build children's homes and these are expected to be ready in April 2022. In addition, plans are in place for registration of additional provision of DC owned premises, however the availability of local placements remains a challenge. There remain delays in developing the care leaver accommodation in Weymouth; however, we expect this to be open in August 2022. We will be retendering for a supported accommodation framework later in the year.</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 <p>Mitigation</p> <ul style="list-style-type: none"> Planning permission has been secured to build additional local residential provision. The placement sufficiency strategy was approved by Cabinet in January 2021 and is a 3-year plan for delivery of additional placements. Market engagement and tendering activity has taken place to attempt to secure additional children's homes places, better access to local independent fostering agencies, and to bring supported accommodation into line with the incoming regulatory framework. 				

Risk278 - Major safeguarding failure by placement providers				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Corporate Director for Commissioning & Partnerships	No Change	31 December 2021	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. Controls and Mitigation</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	Worse	4 January 2022	EXTREME	
			Impact	5 Likelihood 5
<p>Update - Response: Failure to stabilise the pressures in the HNB budget will result in a further increase in the deficit in the DSG and could potentially affect the Council's financial position. 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. Control and Mitigation - Work is being undertaken to move to early intervention and support for families across Dorset; 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</p>				

Risk Management Update Report

Corporate Services

Extreme and High-level Risks

As of 9 March 2022

Corporate Services

Extreme Risks

EXTREME

Risk 286 - Loss of ICT service or data through a cyber-attack - Accountable Officer - Head of ICT Operations
(Impact 5 Likelihood 5)

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)

High-Level Risks

HIGH-LEVEL

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)

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)

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)

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)

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)

Legal & Democratic Services

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 3 Likelihood 4)

Risk 388 - Information Compliance - Insufficient uptake of data protection training and inadequate awareness of statutory obligations - Accountable Officer - Service Manager for Assurance
(Impact 3 Likelihood 5)

Risk 393 - Information Compliance - Inadequate "data protection by design and default" culture and processes - Accountable Officer - Service Manager for Assurance
(Impact 4 Likelihood 3)

Business Insight & Corporate Communication

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

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)

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

Risk 314 - Lack of ability to focus on core campaigns (Comms) - Accountable Officer - Chief Executive and Service Manager for Communications and Engagement
(Impact 3 Likelihood 4)

Risk 315 - Burn out of team members due to volume of work (Comms and Chief Exec's) - Accountable Officer – Head of Chief Exec's Office, Service Manager for Communications and Engagement and Service Manager for Business Intelligence and Performance
(Impact 3 Likelihood 4)

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)

HIGH-LEVEL

Corporate Management Team

Risk 385 - Failure to deliver the medium-term financial plan leads to service cuts - Accountable Officer - Corporate Service Management Team
(Impact 5 Likelihood 3)

Risk 377 - Failure to understand the impact of government policy changes on future service delivery - Accountable Officer - Corporate Service Management Team
(Impact 4 Likelihood 4)

Risk 378 - Failure to inspire a future generation of political leaders - Accountable Officer - Corporate Service Management Team
(Impact 5 Likelihood 3)

Risk 379 - Conflict between delivering aspirations from the Council plan and ongoing Covid response demands - Accountable Officer - Corporate Service Management Team
(Impact 4 Likelihood 4)

HIGH-LEVEL

Management Update

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	No Change	18 July 2021	High-Level			
			Impact	3	Likelihood	4
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	No Change	19 July 2021	High-Level			
			Impact	3	Likelihood	4
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 DC HR 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	No Change	27 July 2021	High-Level			
			Impact	4	Likelihood	3
Update - Will impact on our ability to continue to fund services delivered to DC, due to c£400k of income underpinning costs of resources in teams/roles supporting DC services. Continued increase in large MAT's, in line with Govt direction, increases likelihood that schools will convert to larger MAT's, where direct employment of HR resources is more viable/common, resulting in schools ceasing to buy into DC HR Services.						
Controls - Continued focus on service improvement and promotion of DC HR Services, including added value offered as being part of LA and specialists in supporting educational settings with people management matters .						

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	No Change	17 August 2021	High-Level			
			Impact	3	Likelihood	5
Update - Will impact on individual and collective decision making leading to a range of impacts from administrative errors to lengthy and expensive employee relations disputes - Lack of clarity a round role of managers in dealing with people management matters and willingness of managers to engage in this way of working, potentially influenced by experience or lack of confidence in dealing with people management matters.						
Controls Monitoring of volume of managers working outside of current self-service model, with escalation of any patterns or areas of concern. Work underway to introduce improvements to systems and process (i.e., DES, Recruit) to simplify common tasks performed by managers .						

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	No Change	27 July 2021	High-Level			
			Impact	4	Likelihood	3
Update - Without incurring significant additional cost to the council, it will be difficult to introduce a set of terms and conditions for all employees that will not see any reduction in terms in some areas, which may lead to employees deciding to leave the council (i.e., potential reduction in annual leave for Social Workers).						

Controls - Engagement with directorate leads to understand the potential impact of changes to terms and conditions on different elements of the workforce. Early engagement with TUs. Full consideration of different implementation options.

ICT Operations

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	16 September 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: Reducing the likelihood of an attack requires multiple layers of protection around the infrastructure and staff accounts. This is known as the 'defence in depth' principle.</p> <p>Implemented mitigations: Phishing/Social Engineering – Around 80% of successful attacks are caused by successful phishing attacks. This would usually be staff being tricked into providing their username and password or downloading malicious software to their work computer. Cyber Security awareness training helps staff identify fraudulent emails and phone calls and reduces the likelihood of being tricked into this type of attack. This control is in place and needs maturing.</p> <p>Multifactor Authentication – Multifactor authentication is a technical control that requires staff to provide additional information to log into a system. This helps protect accounts from compromise even if the username and password is known. This reduces the likelihood of complete account compromise in some situations even where the account password is known.</p> <p>Conditional Access – Only allows account access if certain conditions are met. Defines when multifactor is required to log in.</p> <p>Vulnerability Management – identifies vulnerabilities in technology. Reduces likelihood by enabling ICT Operations to proactively resolve vulnerabilities before they are exploited in an attack.</p> <p>Further planned impact reduction mitigations:</p> <ul style="list-style-type: none"> Security Event and Incident Management (SEIM) – Assists with the detection of an attack or a breach. Can reduce the impact of a breach by detecting it earlier. This capability is being installed. Immutable backup – This is a 'backup of last resort' and is specifically intended to provide a countermeasure to a ransomware attack. Immutable backups provide a read only copy of data that would be difficult to compromise during a ransomware attack and would enable the Council to recover data if primary systems had been compromised. <p>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. Application rationalisation (Likelihood) will reduce the total number of vulnerabilities in the infrastructure therefore reducing the attack surface of the council. Target score is 12 with optimal controls in place.</p> <p>Controls</p> <ul style="list-style-type: none"> Cyber Awareness Training (Likelihood) – Awareness training is provided using a 3rd party service and includes content on phishing activities. The product also runs a automated phishing simulation emails to all staff and provides reports indicating susceptibility to phishing emails over time. Conditional Access (Likelihood) – Conditional Access technologies are in place to protect staff account identities. Conditional Access has been implemented, Vulnerability Management (Likelihood) – Capabilities have been implemented and are being matured. Security Event and Incident Management (Impact) - Capabilities have been implemented and are being matured. 				

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	No Change	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

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	8 March 2022	High-Level	
			Impact	3
			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. Capacity in the information compliance team has been challenging, with team resources focussed on "firefighting" Freedom of Information; Subject Access Requests and Data Breaches, leaving limited time to move forward strategic information governance improvements. A business case to increase capacity was approved by SLT and recruitment is underway (initial recruitment campaign was only partially successful). A fully resourced team will be able to provide greater focus on strategic information compliance issues.</p> <p>Controls - Portfolio of information governance policies, GDPR training, Information Governance Group, and Information Governance Action Plan</p> <p>Mitigation - Additional resourcing to be recruited, following approval of business case</p>				

Risk388 - Information Compliance - Insufficient uptake of data protection training and inadequate awareness of statutory obligations				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Assurance	No Change	8 March 2022	High-Level	
			Impact	3
			Likelihood	5
<p>Update - The mandatory data protection eLearning module was revised in early 2021. As of March 22, completion levels remain disappointing. Managers can monitor completion rates within their teams via the learning portal.</p> <p>Completion of data protection training is one of the KPIs included within monthly performance monitoring, owned by the HR & OD team</p>				

Risk393 - Information Compliance - Inadequate "data protection by design and default" culture and processes				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Service Manager for Assurance	No Change	10 December 2021	High-Level	
			Impact	3
			Likelihood	4
Update - Work is necessary to embed a culture of Data Privacy Impact Assessments for any transformational change proposals				

Business Insight & Corporate Communication

Risk317 - Policy work slower than required (Chief Exec's)				
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating	
Head of Chief Exec's Office	No Change	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				

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	No Change	19 July 2021	High-Level	
			Impact	3
			Likelihood	4
<p>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</p> <p>Information Governance Action Plan</p> <p>Controls - EDI training is mandatory for all employees</p> <p>Mitigation - Additional resourcing to be recruited, following approval of business case</p>				

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	No Change	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.						

Risk314 - Lack of ability to focus on core campaigns (Comms)						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Chief Executive and Service Manager for Communications and Engagement	No Change	11 May 2021	High-Level			
			Impact	3	Likelihood	4
Update - Reactive, responses constantly required throughout the pandemic resulting in inability to resource full range of campaigns to support council priorities - Weekly (and sometimes daily) work prioritisation - Work with the team to identify workable solutions e.g., splitting reactive and proactive work to specific individuals.						

Risk315 - Burn out of team members due to volume of work (Comms and Chief Exec's)						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Chief Exec's Office; Service Manager for Business Intelligence and Performance; Service Manager for Communications and Engagement	No Change	11 May 2021	High-Level			
			Impact	3	Likelihood	4
Update - During pandemic response, both teams have been working above and beyond and there is a danger that this becomes normalised - Supporting colleagues and signposting them to support tools that the council provides, encouraging people to take leave - Be clearer with colleagues in frontline services about what we can and can't do. Work with them to prioritise key activity.						

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	No Change	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						

Corporate Management Team

Risk385 - Failure to deliver the medium-term financial plan leads to service cuts						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Corporate Service Management Team	New Risk	24 November 2021	High-Level			
			Impact	5	Likelihood	3

Risk377 - Failure to understand the impact of government policy changes on future service delivery						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Senior Leadership Team	New Risk	11 November 2021	High-Level			
			Impact	4	Likelihood	4
Update - Identified by CSLT 13 September 2021 – Controls; Continue to work closely with MPs, continue monitoring all government consultations, develop relationships with Peers living in Dorset, and Engage with CCN's Policy and Strategy Group						

Risk378 - Failure to inspire a future generation of political leaders						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Senior Leadership Team	New Risk	11 November 2021	High-Level			
			Impact	5	Likelihood	3
Update - Identified by CSLT 13 September 2021						

Risk379 - Conflict between delivering aspirations from the Council plan and ongoing Covid response demands						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Senior Leadership Team	New Risk	11 November 2021	High-Level			
			Impact	4	Likelihood	4
Update - Needs discussion and refinement at SLT						

Risk Management **Update Report**

Place Directorate

Extreme and High-level Risks

April 2022

Place

Extreme Risks

EXTREME	<p>Waste Commercial and Strategy</p> <p>Risk 381 - Cost of contracted services (HRCs operation, transportation) increases when retendered - Accountable Officer - Head of Commercial Waste and Strategy (Impact 5 Likelihood 4)</p>
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High-Level Risks

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 3)

Risk 138 - Breach of health and safety at an occupied premise - Accountable Officer - Head of Assets & Property

(Impact 4 Likelihood 3)

Economy Infrastructure and Growth – DORSET TRAVEL

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

(Impact 3 Likelihood 4)

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

(Impact 3 Likelihood 4)

Risk 365 - MARKET FORCES Failure to understand and influence factors affecting DCs spend on contracted-out transport services - resulting in significant overspend - Accountable Officer - Service Manager for Travel Operations

(Impact 3 Likelihood 4)

Economy Infrastructure and Growth – HIGHWAYS

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)

HIGH-LEVEL

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

Risk 292 - Winter Service budget pressures - Accountable Officer - Service Manager for Network Operations
(Impact 4 Likelihood 3)

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)

Economy Infrastructure and Growth – PLANNING

Risk 141 - Changes to national planning policy led to delays to prep of the Local Plan Review - Accountable Officer - Head of Planning
(Impact 4 Likelihood 3)

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)

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)

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)

Management Team

Risk 375 - Gap exists between amount of available resource and ability to deliver statutory demand - Accountable Officer - Place Management Team
(Impact 4 Likelihood 3)

Risk 373 - An inability to recruit into key / critical posts - Accountable Officer - Place Management Team
(Impact 3 Likelihood 4)

Commercial Waste & Strategy

Risk 293 - Failure to secure capital to develop and maintain waste infrastructure - Accountable Officer - Head of Commercial Waste and Strategy
(Impact 4 Likelihood 3)

Risk 382 - Change of regulations leads to higher cost of waste treatment - Accountable Officer - Head of Commercial Waste and Strategy
(Impact 4 Likelihood 4)

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)

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)

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)

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)

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)

HIGH-LEVEL

Management Update

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	Improving Risk	9 December 2021	High-Level			
			Impact	4	Likelihood	3
Update - Latest inter-governmental guidance is used when designing coast defences, design life of 50 years. Shoreline Management plan review – agree to use managed realignment of coastline in areas. May have to design coastal defences for 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. 100-year plan being developed for Weymouth in conjunction with Environmental agency. Controls - Use latest inter-governmental guidance when designing coast defences, design life of 50 years. Shoreline Management plan review						

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	9 December 2021	High-Level			
			Impact	4	Likelihood	3
Update - Many sites now have a nominated Premises Responsible Person. However, restructuring of services and a doption 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 – DORSET TRAVEL

Risk362 - 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 Travel Operations	New Risk	8 March 2022	High-Level			
			Impact	3	Likelihood	4
Update - Providing revenue support to a public route beyond our current position would have significant financial implications – not just for one route, but for others in the network. This would need careful consideration and support from Cabinet. National Bus Strategy project has raised the profile and commitment to public transport in Dorset, so should lower the risk of sudden loss of routes. Slow recovery from COVID. a lack of confidence in public transport and reduction in government funding support is making it difficult for operators to maintain service levels at pre COVID frequencies.						
Government have agreed to extend the Bus Recovery Grant for another 6 months which is welcome. Provision of interim financial support (COVID emergency funds or de minimis payments). No available transport for children, so they can't get to school (if using this route); General public can't get to employment or key services; Financial cost if we must support continuation of the route; Reputational damage to the Council if we fail to react. Long lasting impact of COVID has meant passenger numbers are not recovering very quickly, which in turn may result in lower frequency or complete loss of some routes. Control - Lobbying government for more funding support for bus companies - through ATCO and through Portfolio Holder.						
Provision of interim financial support (COVID emergency funds or de minimis payments) - Mitigation - Seek out sources of additional developer funding that may support the route, Tender route through Dynamic Purchasing System (DPS), Explore options to increase operator re-imburement rate for ENCTS, work closely with operator and other key stakeholders to assess possible options						

Risk364 - OVERHANGING TREES Unviability of school bus routes caused by failure to cut back overhanging trees and vegetation (e.g., those operated by First Wessex and others)						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Travel Operations	New Risk	8 March 2022	High-Level			
			Impact	3	Likelihood	4
Update - Other bus companies are also experiencing problems on routes - Yellow Bus and Damory. The Arb team have a backlog of 300 incidents to deal with. Recent storms have made matters worse. Some work has started in West Dorset to address tree issues in Netherbury area this week, but response times to tree problems are generally slow. First Wessex may withdraw from the contract if they deem the costs of additional vehicles is too high - service delivery, financial and reputational risk; Retendering these routes may result in a sharp increase in costs of school transport; School children may be put at risk from vehicles impacting with branches if they insist on using double decker on unsuitable routes - safety and reputational risk; Children may be late to school if there is damage and other problems arising from tree						

damage - delivery and reputational risk; Legal challenge from other operators if DC are seen to be subsidising First Wessex to mitigate the impact on their operation. Control - Dorset Travel have procured a specialist tree cutting vehicle. We need maps from operators detailing most critical locations for tree cutting. Mitigation - Facilitate communication and cooperation between First and DC's Highways and Arboriculture teams. Establish clear understanding amongst all parties of the problem tree locations and the scale of work and timeframes involved. Get a detailed and practical back up plan from First Wessex on how they will deliver their routes using alternative vehicles at the start of the school term. Instigate emergency tree cutting where necessary. Provide additional financial support for extra vehicles on routes affected

Risk365 - MARKET FORCES Failure to understand and influence factors affecting DCs spend on contracted-out transport services - resulting in significant overspend

Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Travel Operations	New Risk	8 March 2022	High-Level			
			Impact	3	Likelihood	4

Update - A forecast overspend of 20% has been built into the budget. Recent tenders suggest a price increases running at >30%. Recent sharp rises in fuel costs due to Ukraine conflict only add to the problem. Overspend is unsustainable over time and contributes to financial collapse of Council; Some transport operators may go out of business, leading to less competition and inability to deliver services; Delays in awarding routes means that compliant transport cannot be provided in an acceptable timeframe.

Control - A programme of contractor meetings is planned to gain a better mutual understanding of the current position. Routes need to be reviewed for possible rationalisation. Perhaps make more use of Personal Travel Budgets (PTBs) for parents - this will require a more flexible approach. Various Transformation programmes in place to reduce costs. Work more closely with Licensing team to try and streamline related workstreams and reduce costs. Possible lobbying of government through ATCO and other bodies.

Mitigation - Tendering in blocks to allow contractors to optimise their bids. Optimising lengths of contract. Ensure that we have maximised the number of companies on our DPS to improve competition (but without sacrificing quality). Working with Children's and Adult Services on a rational commissioning strategy. Meeting regularly with contractors to improve our understanding of the market and their understanding of DC's needs. Review costs and practicalities of providing transport services in-house. Better training and resourcing of contract management within the team. Work closely with colleagues in Finance and Procurement on market changes. Expanding resource within contracts team

Economy Infrastructure and Growth – HIGHWAYS

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	7 February 2022	High-Level			
			Impact	4	Likelihood	4

Update - Dorset Council assumed responsibility from Dorset County Council (DCC) to manage the pedestrian level crossing in Wareham. The lease agreement between Network Rail and Dorset Council for the level crossing runs until 2038; this crossing will close in 2038 as per the terms of the lease. If no suitable alternative is delivered before 2038 Dorset Council would be found to be breaching Equalities legislation. In 2008/9 The Office for Road and Rail (ORR) raised safety concerns with the pedestrian level crossing in Wareham. The ORR stated that mitigating measures had to be put in place or they would force the closure of the crossing. As a result, DCC paid for the provision of security guards at the crossing to improve compliance and safety at the crossing. In more recent years, following an additional review by the ORR the crossing has been managed with electronic gates closed by security guards when a train is approaching. The crossing is currently managed between 6am and 1am (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.

Network Rail and the Council have tried twice before to resolve this by proposing ramped bridges adjacent to the existing footbridge but failed to obtain planning permission from the then Purbeck District Council owing to local objections. The crossing continues to be a financial commitment with ongoing reputational concerns as there is no suitable alternative means for all to cross the rail lines if the crossing is closed – there is a stepped footbridge adjacent to the crossing. A parallel footway/cycleway along the A351 is being explored in the area to address an existing network deficiency.

There remains commitment from Dorset Council and Network Rail to finding a resolution. Commitment from central government appeared more likely following a visit by the Minister for Rail to the site and meeting with key stakeholders on 23 January 2020. The Minister for Rail stated that he was committed to finding a solution and that safety and accessibility were of paramount importance which would likely mean that a degree of compromise is required when considering suitable alternatives. Network Rail have agreed to explore and exhaust all possible technological options for providing an automated level crossing, however, it is more likely that an alternative step free route over the rail lines will be the most viable solution. Nov 2021 - No definitive permanent plans are proposed, or funding secured for a suitable alternative. Michael Tomlinson MP is lobbying Network Rail and Transport Minister for a solution and funding. Procurement of level crossing security contract in August 2021 to make revenue savings for council to continue to deliver service.

- * This has been an ongoing issue for 25 years. Network Rail have tried twice before to resolve this but failed due to planning issues.
- * Currently costing the authority £120,000 per year for security guards (with costs rising).
- * Introduce ramps, with crossing fenced off, and removal of security guards.
- * Continued lobbying and negotiations with Network Rail.
- * Implement main recommendation of ramped solution.

- * Open public meeting held in the evening chaired by MP. Ramp proposal met with overwhelmingly hostile local reaction.
- * Working to modify Network Rail asset, the existing bridge, has triggered more demanding NR assurance requirements.
- * Introduction of ramps (main recommendation) failed to get planning permission.
- * Access for All funding bid by South West Railways and Network Rail for DfT funding to install lifts failed.
- * The crossing continues to be a high risk for safety, continuing financial commitment and reputational damage. Risk being realised with recent crossing incidents, lack of attendants and crossing closure.

Cause:

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

Consequence:

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

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

Risk73 - Failure to attract funding for asset maintenance

Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Infrastructure & Assets	No Change	7 February 2022	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 and create a document for bidding purposes. Changes to processes so future maintenance funding is considered when bidding for funds. Cycleway assets - digitised in a way that allows defects to be assigned in confirm. Avoid over specifying schemes. Develop inspection regime for cycleways. Design schemes in the most suitable/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); Nov 2021 - £6.3M secured for maintenance activities from corporate capital programme for 2021/22. Bid submitted to CSAM for £6.3M for 2022/23, awaiting outcome.

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. 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.

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.

Control - 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.

Risk292 - Winter Service budget pressures

Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Service Manager for Network Operations	No Change	7 February 2022	High-Level			
			Impact	4	Likelihood	3

Update - The legal position relating to the Highway Authority's responsibility in respect of the winter service is set out in a 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.

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 Sever Weather Fund held outside of the service. New risk is that salt price has gone up by 60% because of transport costs.

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.

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	7 February 2022	High-Level			
			Impact	4	Likelihood	3

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.

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

- Highway maintenance revenue budget report
- Annual business cases for capital investment in highway maintenance.
- Develop a risk-based approach to cyclic drainage maintenance
- Further bids for extra funds from central government, and other sources, where appropriate.

Deliver Action Plan to achieve full available funding from DfT incentivised funding. 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.

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.

Control - 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 available funding from 2017 until 2021. Executive Advisory Panel set-up to seek additional capital and revenue funding with drainage and proactive maintenance.

Economy Infrastructure and Growth – PLANNING

Risk141 - Changes to national planning policy led 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.

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						

Management Team

Risk375 - Gap exists between amount of available resource and a ability to deliver statutory demand						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Place Management Team	New Risk	17 August 2021	High-Level			
			Impact	4	Likelihood	3
Update - Risk identified during July 2021 risk workshop with the Place Management Team. Management update and mitigation action plan to be delivered by Risk Owner. Place provides several statutory services. Increasing demand and/or pressures on financial resources mean that there is a risk of a gap in the level of resource available and the statutory service delivery requirements. This risk is mitigated within the service budget by prioritising statutory service functions over discretionary ones.						

Risk373 - An inability to recruit into key/ critical posts						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Place Management Team	New Risk	10 December 2021	High-Level			
			Impact	3	Likelihood	4
Update - New risk identified at Place Management Team risk workshop in July 2021. Pressure points are:						
<ul style="list-style-type: none"> Highways - Driver shortages – Capacity within our supply chain is significantly reduced. However, by Christmas 21 it is expected that 8-10 additional drivers will have completed training. In addition, sickness levels remain low in comparison to historic figures. Waste – Driver shortages – High levels of disruption in Q2 which are especially reflected within missed collections performance indicators. 						

Place Based Services – COMMERCIAL WASTE & STRATEGY

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
Update - Waste services property forms an integral part of the Place Service depot review. Representation on the group will highlight the ongoing and future pressure on the service and importance of increasing capacity across sites.						

Risk381 - Cost of contracted services (HRCs operation, transportation) increases when retendered						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Commercial Waste and Strategy	New Risk	18 November 2021	Extreme			
			Impact	5	Likelihood	4
Update - Current contract will expire in 2024. Prices have increased (labour, fuel) and high uncertainty of recycled prices are likely to increase prices when the service is retendered.						

Risk382 - Change of regulations leads to higher cost of waste treatment						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Head of Commercial Waste and Strategy	New Risk	18 August 2021	High-Level			
			Impact	4	Likelihood	4

Update - Changes to regulations regarding Persistent Organic Pollutants (in domestic furniture and electronic equipment) and hazardous wood waste requires additional separation of materials and higher disposal costs.

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
Update - 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.				
Controls				
<ul style="list-style-type: none"> 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. 				

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. 				
Control - 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. There is a risk that the current increase in waste growth due to the pandemic and resulting shift to home working will continue as this change in working habit becomes normalised. This continued growth has potential to adversely affect our recycling rate and lead to increased costs in disposal. The recycling team are continuing their various projects to reduce waste and maintain high recycling performance (see controls and mitigation sections).				
Controls - Extensive communication and education plan to include communal improvement project, container messaging, side waste reduction trial, enhanced home compost bin subsidies, real nappies starter packs, free caddy liner trials and 'right stuff, right bin' messaging. Replacement vehicle programme to ensure waste is collected and public continue to support service.				
Mitigation - Continue to promote educational campaigns focussing on waste reduction and reuse, such as home composting, reducing food waste, using real nappies etc. Also, we will continue to promote the 'right stuff, right bin' campaign to maintain and increase material capture rates for recycling and composting. Use the new in cab BARTEC system to help further drive efficiencies from the existing R4D service. Continue with the development of a central strategic waste transfer station and a new HRC in the East of the county to support our reuse, recycling, and composting activities.				

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	No Change	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	No Change	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 is 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.

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

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Risk Management Update Report

Public Health

Extreme and High-level Risks

As of 9 March 2022

Public Health

Extreme Risks

None

High-Level Risks

HIGH	Risk 413 – Outbreak Management Plan - Accountable Officer - Director of Public Health (Impact 4 Likelihood 3)
HIGH	Risk 423 – Budgets - Accountable Officer - Director of Public Health (Impact 4 Likelihood 4)
HIGH	Risk 429 – Health Protection Responsibility - Accountable Officer - Director of Public Health (Impact 5 Likelihood 3)
HIGH	Risk 430 – CYPHPS Performance - Accountable Officer – Programme Manager (JW) (Impact 4 Likelihood 4)

Management Update

[Risk and Resilience - Dorset Council - Service Risks - Public Health \(sharepoint.com\)](#)

Risk413 - Outbreak Management Plan - ability to maintain effective COVID response with tiring team and renewed pressures						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Director for Public Health	New Risk	12 April 2021	High-Level			
			Impact	3	Likelihood	4
Update - Continuity of Public Health arrangements and evolution of outbreak management plan (Day Response desk and Consultant's rota)						
Mitigation - Change in government policy makes local government responsibilities unclear. Contingency funds still ringfenced, means we can stand up activities if required at short notice.						

Risk423 - Budgets						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Director for Public Health	New Risk	11 October 2021	High-Level			
			Impact	4	Likelihood	4
Update - BCP and Dorset Council budget pressures and NHS providers on A4C to receive 3% pay rise, which needs considering. PH being asked to review their budgets to support BCP/DC, but any retained funds must be used within the PH Grant criteria.						
Mitigation - Budget actions agreed with Joint Public Health Board for 22/23.						

Risk429 - Health protection responsibility						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Director for Public Health	New Risk	2 February 2022	High-Level			
			Impact	5	Likelihood	3
Update - Operation ramp down and the withdrawal of national COVID measures there is a risk local public health teams will be asked to maintain outbreak management with no additional funding - this is outside current agreed statutory roles.						
Mitigation - Current national discussions underway - have escalated concerns via regional partnership board and regional DPH						

Risk430 - CYPHPS Performance						
Accountable Officer	Direction of Travel	Last Reviewed	Risk Rating			
Deputy Director for Public Health	New Risk	7 February 2022	High-Level			
			Impact	4	Likelihood	4
Update – The Children and Young People Palliative Hub (CYPHPS) is a gateway site that was developed to assist parents, guardians, carers and the wider public in understanding what children's palliative care is and seeks to filter the wide range of information available on the internet.						
Quarterly data for Oct-Dec 21 indicated considerable reduction in performance for New Birth Visits and 6–8-week checks.						
Control - Contract notice issued; response being reviewed.						
Mitigation - Contract Notice Query raised and Excusing Notice received. remedial Action plan agreed with DHC, includes reviewing data monthly for this quarter. Regional and national data on mandated checks shows significant variation. Mitigations agreed, however, note there are long term improvements in recruitment and skill mix needed.						

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)	Catastrophic Score 5	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	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	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	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	Day-to-day operational problems; Financial loss less than £100k

Likelihood (Probability)	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.

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

be rated as either LOW, MEDIUM, HIGH-LEVEL, OR EXTREME and will be colour-coded according to the Risk Assessment Matrix.

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

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