



**DORSET & WILTSHIRE**  
**FIRE AND RESCUE**  
**AUTHORITY**


# **Dorset and Wiltshire Fire & Rescue Authority**

## **Strategic Risk Register**

*November 2016*

# Strategic Risks

## 1.3 Being there when you need us

<b>Risk Code</b>	63	<b>Direction of Risk</b> 
<b>Risk</b>	Lack of stability of the Capita Vision 4 Command and Control System	
<b>Responsible Officer</b>	Director of Service Support	

	Current Risk Assessment	Target Risk Assessment
<b>Rating</b>	Strategic	Department
<b>Risk Score</b>	15	10
<b>Risk Strategy</b>	Treat the risk	

### Current Risk Assessment Heat Map

		Likelihood				
		1- Virtually impossible to occur	2- Unlikely to occur	3- Has the potential to occur	4- More likely to occur than not	5- Almost certain to occur
Impact	1- Minor					
	2- Moderate					
	3- Serious					
	4- Major					
	5- Catastrophic			✓		

### Future Risk Controls

- Implement recommendation from the independent review.
- Provide private network

### Risk Owner Comments


Members are provided with a weekly update and detailed action plan. We have seen a second week on week reduction in the number of technical faults raised by SCC staff. We will continue to monitor both the number and type of faults through the triage system we have in place to assist in further investigations. This continued reduction in system faults being reported is having a positive effect on the operator confidence in the system.

The action plan is being advanced with partnership teams working with Capita which is showing a marked improvement in performance with all calls being answered within the 7 second target. The comprehensive action plan is updated and promulgated to the CFA weekly with monthly in-depth progress reports.

The three CFOs in the Network Services Control Partnership are meeting monthly with the strategic board and Capita having met in August, September and recently on the 3rd November. All issues are explored and progress within the action plan.

The welfare of staff remains a high priority with Occupational health, TRiM and managerial intervention as well as visits from the principle officers to all watches. Control crews are being included in the weekly updates and are advised regularly of the developments to the system. A staff engagement meeting was held at HQ on the 12/10/16 with a further meeting planned on the 28th November. The recent meeting was attended by the CFA Chair Rebecca Knox, Councilor Joe Tray, all of the Strategic Leadership team and Paul Eggleton from Capita.

## 1.4 Make every penny count

<b>Risk Code</b>	0001	<b>Direction of Risk</b>
<b>Risk</b>	Failure to secure a one team approach to the new Service	
<b>Responsible Officer</b>	Director of Prevention and Protection	


	Current Risk Assessment	Target Risk Assessment
<b>Rating</b>	Strategic	Department
<b>Risk Score</b>	16	9
<b>Risk Strategy</b>	Treat the risk	

Current Risk Assessment Heat Map					
Likelihood					
	1- Virtually impossible to occur	2- Unlikely to occur	3- Has the potential to occur	4- More likely to occur than not	5- Almost certain to occur
Impact	1- Minor				
	2- Moderate				
	3- Serious				
	4- Major				✓
	5- Catastrophic				

Future Risk Controls
<ul style="list-style-type: none"> <li>Continue to deliver the staff communication strategy</li> <li>Deliver internal elements of the Service Transformational Programme</li> </ul>

Risk Owner Comments
<p>The key People themes for the Service Transformation Programme are Visionary and Transformational leadership, Performance Management, Workforce Development, Good Employer, Engagement, involvement and communications and Smarter ways of working.</p> <p>Work-stream leads have now been assigned and governance arrangements are in place with reporting of progress at monthly SLT meetings. The programme and associated projects are in the process of being resourced along with project plans being developed. Activity is underway in a number of key areas:</p> <ul style="list-style-type: none"> <li>- Visionary and Inspirational Leadership - Leadership and decision making principles have been agreed at Working Together Forum in September and this has been cascaded to Heads of Department. A number of associated projects are currently being detailed.</li> <li>- Strategic Workforce planning and Talent Management – A strategic workforce planning group is now in place and meeting regularly. A project plan is in place to implement a single management system across the Service with a target date for this to be completed by the end of March 2016. This will provide a number of benefits including access to information and availability of management information.</li> <li>- Workforce Development - A new Corporate Induction process has been developed and launched across the Service. Further work is being conducted in this area to improve induction into team working and to undertake regular 'settling in' reviews with new staff.</li> </ul>

- Good Employer - An external review of the Service's recruitment process for Corporate staff has been completed and a number of actions have been agreed to improve retention and recruitment (N.B This action also helps to mitigate risk 003- Failure to retain and attract key corporate staff with appropriate skills and experience).
- Engagement, involvement and communications - An extensive programme of Workplace Visits (85 during Sept/Oct by SLT) has been delivered along with and the continuation of the staff telephone Question Times with the CFO and his management team. Weekly and monthly newsletters and bulletins are now a regular feature of the new Service along with a podcast from the CFO to all staff. Three one day events have been arranged for middle Managers to discuss and agree action plans to improve one team working across the Service. The staff engagement plan is on track.

<b>Risk Code</b>	0004	<b>Direction of Risk</b>
<b>Risk</b>	Failure of workforce and succession planning arrangements to meet the future needs of the Service	
<b>Responsible Officer</b>	Director of Prevention and Protection	

	Current Risk Assessment	Target Risk Assessment
<b>Rating</b>	Strategic	Department
<b>Risk Score</b>	16	9
<b>Risk Strategy</b>	Treat the risk	

**Current Risk Assessment Heat Map**

		Likelihood				
		1- Virtually impossible to occur	2- Unlikely to occur	3- Has the potential to occur	4- More likely to occur than not	5- Almost certain to occur
Impact	1- Minor					
	2- Moderate					
	3- Serious					
	4- Major				✓	
	5- Catastrophic					

**Future Risk Controls**


- Completion of fire-fighter recruitment programme
- Deliver a skills pathway and development programme
- Delivery of apprentice scheme for uniformed and corporate posts
- Delivery of a leadership strategy and talent management

**Risk Owner Comments**

Talent Management is a key theme in the new organisational development framework and is an area of focus as a work-stream within the Service Transformation Programme.

Fire fighter attrition and retirements continue to be monitored on a monthly basis and we are currently recruiting 10 whole-time firefighters to commence in September/October. An intake of 6 Fire Fighter Apprentices has now happened.

As part of a Service wide workforce planning review, further research is currently being undertaken regarding the Apprenticeship Levy and the possibility of launching a rolling Apprenticeship programme across the Service for both Corporate and Operational staff. Conclusions from this research will be included in the Apprenticeship paper due to be taken to Members once accessing the national levy is clearer.

<b>Risk Code</b>	0006	<b>Direction of Risk</b>
<b>Risk</b>	Failure to secure financial sustainability	
<b>Responsible Officer</b>	Director of Finance	

	<b>Current Risk Assessment</b>	<b>Target Risk Assessment</b>
<b>Rating</b>	Strategic	Department
<b>Risk Score</b>	16	12
<b>Risk Strategy</b>	Treat the risk	

**Current Risk Assessment Heat Map**


		Likelihood				
		1- Virtually impossible to occur	2- Unlikely to occur	3- Has the potential to occur	4- More likely to occur than not	5- Almost certain to occur
Impact	1- Minor					
	2- Moderate					
	3- Serious					
	4- Major				✓	
	5- Catastrophic					

<b>Future Risk Controls</b>
<ul style="list-style-type: none"> <li>• Deliver a IRMP</li> <li>• Deliver Efficiency Plan</li> <li>• Revise and further develop a comprehensive MTFP</li> </ul>

**Risk Owner Comments**

The Authority approved to apply to Government for four-year funding allocations, subject to the development of an Efficiency Plan which has subsequently been approved by the Authority at its meeting in September. The Authority is well under way in driving through its efficiency plans through the combination process undertaken to date and planned through to 2019/20, establishing savings targets. Financial expenditure is reported to the Finance and Audit Committee on a quarterly basis.

In terms of future planning, a series of budget strategy days with senior managers are planned, the outcome of which will result in proposals for the Authority to consider at its budget seminar in January.

<b>Risk Code</b>	0009	<b>Direction of Risk</b>
<b>Risk</b>	Failure to have a robust and financially sustainable retained duty system to meet the needs of the Service.	
<b>Responsible Officer</b>	Director of Operations	

	Current Risk Assessment	Target Risk Assessment
<b>Rating</b>	Strategic	Department
<b>Risk Score</b>	16	12
<b>Risk Strategy</b>	Treat the risk	

**Current Risk Assessment Heat Map**

		Likelihood				
		1- Virtually impossible to occur	2- Unlikely to occur	3- Has the potential to occur	4- More likely to occur than not	5- Almost certain to occur
Impact	1- Minor					
	2- Moderate					
	3- Serious					
	4- Major				✓	
	5- Catastrophic					

**Future Risk Controls**


- Review the RDS pay model and long term investment needs
- Further investment in baseline budget
- Review critical policies, procedures, systems, and contracts that have significant impacts on the RDS, particularly in the areas of employment contract, recruitment, competence, training and development, performance, and employer engagement
- Review the RDS fire fighter and manager establishment

**Risk Owner Comments**

**Review the RDS fire fighter and manager establishment** - Initial work has clarified the differences between previous Service establishment levels and outline options have been included in a strategic investment proposal for improvements to the RDS pay model. These options include a flexible approach to setting firefighter and manager availability, so resources can be maximized for periods where responding staff need the most flexibility. This could help to strengthen availability during working hours and weekends.

**Review the RDS pay model and long term investment needs** - It is nationally recognized that the Grey Book - Pay as You Go scheme presents significant risk to long term retention of RDS staff. This could impact the resilience of our emergency response in rural communities. Existing duty systems have been considered and viable options for convergence, improvement and future investment have been explored. Outline investment needs have been established against the cost of implementing the current pilot 'salary scheme'.

**Review critical policies, procedures, systems, and contracts** - A robust RDS is also dependent on changes to critical policies, systems and procedures. A new process of assessment has been established, to ensure the right people get round the table at the right time to challenge the impacts of change across duty systems. New strategic 'delivery principles' are now being developed for critical areas: the recruitment process; training and competence; development programmes; promotions, skills pathways and transferability; and individual performance appraisals.

<b>Risk Code</b>	0010	<b>Direction of Risk</b>
<b>Risk</b>	Uncertainty of the future vision & governance arrangements for Fire and Rescue Services.	
<b>Responsible Officer</b>	Chief Fire Officer	

	Current Risk Assessment	Target Risk Assessment
<b>Rating</b>	Strategic	Strategic
<b>Risk Score</b>	16	16
<b>Risk Strategy</b>	Tolerate the risk	

**Current Risk Assessment Heat Map**

		Likelihood				
		1- Virtually impossible to occur	2- Unlikely to occur	3- Has the potential to occur	4- More likely to occur than not	5- Almost certain to occur
Impact	1- Minor					
	2- Moderate					
	3- Serious					
	4- Major				✓	
	5- Catastrophic					

Future Risk Controls
<ul style="list-style-type: none"> <li>Continued review of the emerging government position for the Fire and Rescue Service</li> </ul>

Risk Owner Comments
<p>In the Fire Authority meeting in June Members gave Officers a clear steer on the Authority's response to the Home Office on issues associated to the role of the Police &amp; Crime Commissioner and proposals for their involvement with Fire &amp; Rescue Authorities. The CFO and Chairman met with both Police and Crime Commissioners and Chief Constables in August 2016 and regular meetings will continue over the next 6-12 months. The CFO and chairman continue to have regular contact with the Minister and senior officials within the Home Office particularly with regards to the Police and Crime Bill. This Bill is anticipated to gain Royal Assent later this year to include statutory duties for Police, Fire and Ambulance to work closely together and the Authority is continuing to develop work in this area.</p>



## Service Wide Department Level Risks

Since the last report the department risks have broadly remained the same with no major or significant issues to report, Directors continue to monitor on a monthly basis.

<b>Departmental Level Risks – September 2016</b>				
<b>Area/Department</b>	<b>1-8</b>	<b>9-12</b>	<b>13-14</b>	<b>Total</b>
[AREA] Swindon, Bournemouth & Poole	1	0	0	1
[AREA] Dorset	0	1	0	1
[AREA] Wiltshire	0	3	0	3
[DEP] Assets	1	2	1	4
[DEP] Democratic Services and Corporate Assurance	0	2	0	2
[DEP] Financial Services	2	1	0	3
[DEP] Health & Safety	0	1	0	1
[DEP] HR	1	2	0	3
[DEP] ICT	0	1	0	1
[DEP] Information & communications	1	1	0	2
[DEP] Operational Training	0	5	2	7
[DEP] People Development	1	0	0	1
[DEP] Prevention	2	2	0	4
[DEP] Protection (Fire Safety)	1	3	0	4
[DEP] Service Support	3	1	2	6
[DEP] Strategic Planning & Knowledge Management	1	1	0	2
<b>Total</b>	<b>14</b>	<b>26</b>	<b>5</b>	<b>45</b>

<b>Departmental Level Risks – November 2016</b>				
<b>Area/Department</b>	<b>1-8</b>	<b>9-12</b>	<b>13-14</b>	<b>Total</b>
[AREA] Swindon, Bournemouth & Poole	1	0	0	1
[AREA] Dorset	0	4	0	4
[AREA] Wiltshire	0	3	0	3
[DEP] Assets	1	3	0	4
[DEP] Democratic Services and Corporate Assurance	0	2	0	2
[DEP] Financial Services	2	1	0	3
[DEP] HR	1	2	0	3
[DEP] ICT	0	1	0	1
[DEP] Information & communications	1	1	0	2
[DEP] Operational Training	0	5	1	6
[DEP] People Development	1	0	0	1
[DEP] Prevention	2	2	0	4
[DEP] Protection (Fire Safety)	1	3	0	4
[DEP] Service Support	3	1	2	6
[DEP] Strategic Planning & Knowledge Management	1	1	0	2
<b>Total</b>	<b>14</b>	<b>29</b>	<b>3</b>	<b>46</b>

