Dorset & Wiltshire Fire and Rescue Authority

Item 26 Appendix A
Strategic Risk Register
7 July 2017

1.4 Make every penny count

Risk Code	0001	Direction of Risk
Risk	Failure to secure a one team approach to the new Service	⬌
Responsible Officer	Chief Fire Officer	

	Current Risk Assessment	Target Risk Assessment
Rating	Strategic	Department
Risk Score	16	9
Risk Strategy	Treat the risk	

Current Risk Assessment Heat Map

Impact	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
1- Minor	🟩	🟩	🟩	🟩	🟨
2- Moderate	🟩	🟩	🟨	🟨	🟧
3- Serious	🟩	🟨	🟨	🟧	🟧
4- Major	🟨	🟧	🟧	🟥 ✔	🟥
5- Catastrophic	🟧	🟧	🟥	🟥	🟥

Future Risk Controls

- Deliver the engagement delivery plan
- Deliver the outcomes from the *Eyes & Ears* staff survey
- Deliver the procedural alignment programme
- Progress against information systems migration plan
- Deliver the smarter working programme

Risk Owner Comments

Deliver the engagement delivery plan

The engagement delivery plan is monitored quarterly at SLT, and coordinates all engagement activities across the Service on a monthly basis. There are no significant issues associated with the delivery of this plan which remains on track. The approach has received a *substantial level* assurance following a recent internal audit by Gateway Assure and this is also supported by positive feedback in relation to our communication and engagement channels from manager's consultation days.

Deliver the outcomes from the *eyes and ears* staff engagement survey

The Service results have been delivered to SLT and Heads of Department, with an action planning workshop from the independent company running the survey. The high level and departmental results are in the process of being communicated with teams, via Heads of Department., who are being supported by HR Business Partners, the Head of Information and Communications and the Head of People Development. This approach will provide all staff the opportunity for discussion and feedback on the results and potential actions for improvements against focus areas. The Working Together Forum compromised of SLT and all Heads of Department will meet at the end of June to begin to collate this information and start to agree actions at both a local and corporate level. These actions will be monitored monthly by the forum and progress communicated to staff quarterly. A full report is to be considered by the Finance, Governance and Audit

Committee at its July meeting

Deliver the procedural alignment programme- single ways of working

Prior to combination, each work stream identified key procedures that needed to be aligned for the new Service. Procedures were prioritised for delivery over a 3year period. Some 84 were prioritised for completion before 1 April 2016 to ensure legal compliance. The remainder were programmed for alignment over the following two financial years. Although good progress is being made, there has been some slippage of the procedures still to be harmonised. These outstanding procedures have now been planned into departmental plans, along with those to be delivered in 2017/18. Progress is overseen by departments on a monthly basis and from SLT on quarterly perspective.

Progress against the information systems migration plan- single systems

This programme is monitored by SLT every month with a full quarterly review by them. Good progress is being made without significant issues at this time. 9 out of the 24 systems in the plan have now been combined into single databases / systems and are in use throughout the Service. In addition, a number of other non-corporate systems have migrated within Departments and these are monitored by Directors. The remaining corporate systems to be migrated have clearly defined project, stakeholder and communication plans following the principles outlined within the programme. These are currently on track to deliver single databases/systems within the agreed timescales.

Deliver the smarter working programme- more efficient working

A smarter working programme and action plan has been developed and a working group established. This programme will support teams and departments to work more efficiently over a wider geographic area and has a number of elements linked to the delivery of the Service delivery plan such as technology, property, leadership and management, information management. The programme is being discussed with all Heads of Department to ensure that existing work being delivered through them takes into account the principles of smarter working rather than creating something separate to it. The key elements currently being progressed through a technical working group are the move to Office 365 and a new staff intranet which are due to go live in October.

Risk Code	0004	Direction of Risk
Risk	Failure to have a competent and resilient workforce to meet the future needs of the Service	⬌
Responsible Officer	Director of People Services	

	Current Risk Assessment	Target Risk Assessment
Rating	Strategic	Department
Risk Score	16	9
Risk Strategy	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 development pathways and programme
- Delivery our leadership development strategy
- Delivery of apprentice scheme for uniformed and corporate posts
- Develop a talent management process linked to workforce and succession planning, development pathways and leadership development
- Strengthen our approach to strategic workforce planning

Risk Owner Comments

Completion of the Firefighter recruitment programme

During 2016/17 we undertook wholetime recruitment for the first time in a number of years across Dorset and Wiltshire and we are actively using the list of suitable candidates to make sure we have sufficient operational staff available to crew our fire appliances. In addition, we also took on 5 firefighter apprentices who successfully completed their programme and we currently have a further 6 firefighter apprentices who are currently going through their two-year qualification. A key area of focus for 2017/18 is the development of a positive action strategy which will aim to identify what we are able to do to actively encourage more successful applications from underrepresented groups when we go out for the next round of wholetime recruitment later in 2017. We are absolutely focused on improving our operational workforce profile through this process to better reflect the communities we serve, without reducing our standards which underpin firefighter safety.

Deliver Development Pathways and Programme

To support talent management and a consistent approach to progression, work has commenced on Development Pathways for all staff groups. Our focus during 2016 has been the Pathway for uniformed, operational staff where it is essential that we have sufficient numbers of competent people who are ready to take on the next level of role to enable effective incident management and response. This Development Pathway is currently being rolled out and communicated across the Service with anyone in legacy development arrangements being transitioned to the new process. Work has commenced with stakeholders on Development Pathways for other staff groups and an implementation programme is in place to introduce these during 2017. This approach will allow us to align development requirements and the provision of interventions to

ensure a fair and consistent approach to progression, to enable effective development of talent, and to be open and realistic with staff about expectations. We are actively engaging with partner organisations such as the Police and RNLI to identify learning and development collaboration opportunities.

To support the implementation of new development programmes and to encourage personal responsibility for development, we are improving our blended approach to Learning & Development and have begun using DWdle (our e-learning portal) during 2016 to produce and market a number of e-learning modules to support managers and leaders in their day to day activities. This method of learning enables consistent delivery of knowledge to a wide audience; reduces costs of travel and attendance at courses; facilitates on-line assessments; and, for our dispersed learners who are working a number of different duty patterns, enables access to a wide range of learning at a time and place to suit them. Many of these resources are freely available for people to make use of for their personal development and, as we continue to build the content of our Development Pathways, we intend to make more use of DWdle to provide pre-course learning, post-course evaluations and knowledge assessments.

Delivery and deliver our leadership development strategy

The leadership development strategy continues to be developed and the memorandum of understanding with RNLI is in place. Outcomes from the Eyes and Ears Survey are currently being considered and will be fed into the developing strategy.

Delivery of apprentice scheme for uniformed and corporate posts

A number of changes have been made to UK apprenticeships during 2016/17, not least the introduction of an employer levy (effective 6 April 2017) and public sector apprentice targets. During 2016/17, we contributed to national consultations about the proposed changes and have been working with public sector partners to understand implications and identify opportunities for collaboration. As part of the changes, new apprentice standards are being developed to replace old frameworks and we are a member of the Employer Trailblazer group which is working on development of a new apprentice standard for Operational Firefighter. As part of Service workforce planning, we are intending to recruit a further cohort of eight operational apprentices in 2018 which should give sufficient time for the new standard to be agreed and will enable us to build positive action activities into the apprentice process.

Now that new arrangements are known and the digital apprenticeship service (on-line levy portal) is in place, we have also identified potential apprentice standards which could benefit existing staff and add to our learning offering for the workforce. A communications plan has been developed to increase understanding of new apprenticeships and we are working with line managers to identify potential apprenticeship opportunities in Corporate departments. We are seeking to maximise our use of levy funding through providing training that meets our needs as well as developing and motivating our people. We are continuing to build relationships with partner services with a view to efficiently procuring apprentice training providers and to enable effective benchmarking and shared approaches to further develop in the future

Develop a talent management process, linked to workforce and succession planning, development pathways and leadership development

Discussions are continuing to develop the talent management process and organizational requirements for talent management and frameworks

Work is being undertaken to develop the organizational requirements for talent management and the associated frameworks, procedures and processes. This work will complement the strategic workforce plan to ensure that we are able to develop and grow talent throughout the service to meet the future needs of the organization. The approach we adopt will also need to be able to deliver outcomes aligned to our values and behaviors framework which form the foundations of our emerging approach to leadership which are being progressed with the RNLI and through the South West Emergency Service Collaboration (SWESC).

Development our approach to Strategic Workforce Planning

The existing workforce planning arrangements are in place and have been audited with a substantial assurance provided by Gateway Assure our internal auditors. The Strategic plan is being further strengthened based on predicted retirements. There has been a need identified to build in future organisational requirements with links to the work of the communities programme overseen by the P&R.

		Current Risk Assessment	Target Risk Assessment
Risk Code	0006		
Risk	Failure to secure financial sustainability		
Responsible Officer	Director of Finance		

Direction of Risk

		Current Risk Assessment	Target Risk Assessment
Rating		Strategic	Discuss with Director
Risk Score		16	12
Risk Strategy		Treat the risk	

Current Risk Assessment Heat Map

Likelihood

Impact		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
	1- Minor					
	2- Moderate					
	3- Serious					
	4- Major				✔	
	5- Catastrophic					

Future Risk Controls

- Undertake an annual review of Medium Term Financial Plan and efficiency strategy

Risk Owner Comments

The Authority applied to Government for four-year funding allocations, on submission of its Efficiency Plan which has subsequently been accepted by the Government and formed part of the provisional finance settlement as notified in December 2016. The final settlement was notified on 20 February 2017 with no change from the provisional.

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.

Financial expenditure is reported to the Finance and Audit Committee on a quarterly basis, and the latest forecast reports an underspending position against the revenue budget, which will add to general balances and will provide greater flexibility and resilience in future years.

A series of budget strategy days with senior managers and a number of member presentations were held in the run up to approving the Revenue and Capital Budgets for 2017/18 and Medium Term Financial Plan at its CFA meeting on 9 February. This provided some stability to 2019/20, with a manageable budget deficit in 2019/20 estimated at £991k based on current planning assumptions.

Work is now currently planned for establishing sustainable budgets for 2018/19.

Risk Code	0009	Direction of Risk
Risk	Failure to have a robust and financially sustainable on-call duty system to meet the needs of the Service.	⟷
Responsible Officer	Director of Operations	

	Current Risk Assessment	Target Risk Assessment
Rating	Strategic	Discuss with Director
Risk Score	16	12
Risk Strategy	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

- Create and maintain degradation plan
- Create and maintain effective recruitment processes for RDS
- increase work life balance through RDS pay model
- Reduce managerial burden through RDS impact assessments

Risk Owner Comments

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 upon 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'.

A core project team and delivery plan has now been established as well as an RDS working party/sounding board to support development and delivery of the project deliverables.

A robust RDS is also dependent on changes to critical policies, systems and procedures. A new process of assessment is now in use, to ensure the right people get round the table at the right time to challenge the impacts of change across duty systems.

The project plan includes key principles for critical areas: the recruitment process; training and competence; development programmes; promotions, skills pathways and transferability; and individual performance appraisals.

Create and maintain degradation Plan

The Service now has a robust degradation plan in place as part of its business continuity arrangements supported by crewing policies, both of which are currently under review as part of a process of continuous improvement.

Create and maintain effective recruitment processes for RDS

Recruitment processes are now being managed within Area Commands supported by key departments such as HR and this is already starting to have a positive impact in a number of areas.

District Support Officers are being established and will have a key role to play in managing crewing levels, succession planning and therefore recruitment, as well as contributing to the retention of existing staff by freeing up On-call firefighters time to concentrate on key response activities including training.

Increase work life balance through RDS Pay model

Interest in adoption of the Wiltshire trial salary scheme has grown after a period of skepticism. A number of station will be visited in the coming months to begin the process of adopting the scheme. Ultimately, a new collective agreement between the Service and the Representative Bodies will substantiate the scheme across the entire organisation, taking it out of the trial phase.

Reduce managerial burden through RDS Impact Assessments

Any new policy or procedure is now subject to an impact assessment that specifically considers matters from an on-call perspective and therefore ensures that no additional burdens are placed on our on-call firefighters that would have a detrimental effect on their ability to balance availability with their primary employment or home lives.

Service Wide Departmental Level Risks

Since the last report the Departmental Level Risks have broadly remained the same with no major or significant issues to report. Directors continue to monitor these on a monthly basis

Departmental Level Risks – July					
Area / Department	**Risk Score**				**Total**
	1-8	**9-12**	**13-16**	**17-25**	
[AREA] Bournemouth & Poole	1	0	0	0	**1**
[AREA] Dorset	0	4	0	0	**4**
[AREA] Wiltshire	0	2	0	0	**2**
[DEP] Assets	1	3	0	0	**4**
[DEP] Democratic Services and Corporate Assurance	0	2	0	0	**2**
[DEP] Financial Services	2	1	0	0	**3**
[DEP] HR	1	3	0	0	**4**
[DEP] ICT	0	1	0	0	**1**
[DEP] Information & communications	1	1	1	0	**3**
[DEP] Operational Training	0	6	1	1	**8**
[DEP] People Development	1	0	1	0	**2**
[DEP] Prevention	1	5	0	0	**6**
[DEP] Protection (Fire Safety)	1	3	0	0	**4**
[DEP] Service Support	3	2	2	0	**7**
[DEP] Strategic Planning & Knowledge Management	1	1	0	0	**2**
Total	**13**	**34**	**5**	**1**	**53**