Item 17/44

Dorset & Wiltshire Fire and Rescue Authority

Appendix A - Strategic Risk Register

29 September 2017

Strategic Risks

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	Department
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 effective recruitment processes for RDS
- Create and maintain station degradation plan
- Implement the On Call Review Project deliverables
- Increase work life balance through On-call pay model
- Reduce managerial burden through On-call impact assessments

Risk Owner Comments

Providing a strong and sustainable On Call Duty System

It is nationally recognised that the Grey Book - Pay as You Go scheme presents significant risk to long term retention of On Call 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 On Call working party/sounding board to support development and delivery of the project deliverables.

A robust On Call Duty System 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.

A project team is now in place and the On Call Duty System Review project plan has progressed across a number

of key areas. These include the On Call Salary scheme, the District Support Officer programme, Work on secondary contracts for both wholetime and corporate members of staff who wish to undertake On Call duties, the Tri-Service Support Officer role and the development of On Call Impact Assessments.

A schedule to introduce new stations to the On Call Salary scheme has been presented to SLT. Several stations have hosted visits and some stations are now agreeing their cover arrangements. Further visits are planned on a rolling basis until all relevant stations are ready to align their cover and move onto the scheme. Greater detail of station progress is given below.

The District Support Officer trial has started in Wiltshire Area. This is a support role for On Call stations and will assist with recruitment, assessment, development programme support for staff, delivering realistic training and exercises, community engagement and also support stations with open days and larger events. Essentially, each district will be supported by one DSO although resources can be shared where necessary to meet demand for certain work. Once the three-month trial is complete, work will begin on evaluating it and then recruiting into posts across all of the districts in the Service.

Secondary contract work has started and is also being supported by a member of staff from the Wiltshire Area Command.

The Tri-Service Safety Officer programme is a partnership approach to funding and supporting a prevention officer role in the community. A successful 1-year trial in Hayle, Cornwall was undertaken 2015/16 and saw collaboration between Police, Fire and Ambulance. Whilst primarily a prevention role, there is also an element of response for each Service too. In DWFRS, this project is in its initial stages and the project team is liaising with both Dorset and Wiltshire Police along with other FRS's who have experience in this work. South West Ambulance Service Foundation Trust have recently expressed their interest in joining this project.

Work to replace the two legacy contract arrangements for staff undertaking On Call duties from both wholetime and corporate staff has started and is being supported by a member of staff from the Wiltshire Area Command to give additional resources.

A robust On Call duty system 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 existing set of On Call Impact Assessments will be developed further in the coming weeks after consultation with the Equality, Inclusion and Cultural Change Manager

The On Call Impact Assessment suite will be developed in the coming weeks after consultation with the Equality, Inclusion and Cultural Change Manager.

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 On Call

Work to align and streamline On Call recruitment is continuing.

Availability and response data is discussed in detail at Local Performance and Scrutiny Committees and the effects of On Call recruitment and retention link to this. Workforce planning information is being developed to give a more detailed Service-wide view of the On Call establishment.

The District Support officer trial has been launched in Wiltshire Area and will be key to supporting the sustainability of the On Call Duty System in overall terms but will make recruitment its priority.

Eyesight and fitness standards is being challenged nationally by other Services and DWFRS is linking to this through the Chief Fire Officers Association Communities. We are currently streamlining our two former Service legacy recruitment processes into one. The On Call project team has met with the Media and Communications team to support the launch of proactive social media on stations that currently have no active accounts and also to look at the Services website to ensure that potential applicants find the information about recruitment easily. The new roles of District Support officers are integral to this. The new collective agreement for the salary scheme has been drafted. Once agreed, the potential recruitment draw of the scheme may be realised through our various recruitment campaign media. Until now, the fact that the scheme has only been a trial has prevented this.

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 On Call Pay model

The Salary scheme rollout in the Dorset county area is progressing well. This includes On Call stations in the Dorset Area command and two stations in the Poole Area.

Station visits have taken place at Portland, Wareham and Gillingham and visits will take place in Charmouth and Cranborne this month. Staff are given a detailed presentation with an opportunity to ask any questions. After this, staff discuss and agree cover levels between themselves and then submit to the Area team for approval.

The initial cover assessments for Portland have been received and are being considered by the Dorset Area team. Wareham staff are currently agreeing their cover at station level.

The next stations to join the salary scheme in the Wiltshire Area will be Amesbury, Marlborough and Mere. These stations are familiar with the scheme and do not require station visits. They are working closely with the Wiltshire Area Management Team to agree levels of cover and expected availability.

In parallel to the salary scheme work, a new collective agreement has been drafted to support it. The first draft is awaiting SLT approval prior to dissemination to the representative bodies for consultation.

Reduce managerial burden and more efficient administration

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. By moving to Office 365 all of our staff will be able to securely access their email, calendar and key documents from any device, anywhere with an internet connection. This technology will enable On Call staff to achieve this balance more easily without the need to rely on station PC's on a drill night. Additionally, the new competence recording system will realise similar benefits for staff in terms of flexibility and time.

1.4 Making every penny count

Risk Code	0006	Direction of Risk
Risk	Failure to secure financial sustainability	
Responsible Officer	Director of Finance	

	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

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	Green	Green	Green	Green	Yellow
2- Moderate	Green	Green	Yellow	Yellow	Orange
3- Serious	Green	Yellow	Yellow	Orange	Orange
4- Major	Yellow	Orange	Orange	Red ✔	Red
5- Catastrophic	Orange	Orange	Red	Red	Red

Future Risk Controls

- Achieve the aims and objectives of the efficiency strategy
- Undertake an annual review of Medium Term Financial Plan

Risk Owner Comments

The Authority applied to Government for four-year funding allocations, on submission of its Efficiency Plan which was subsequently accepted by the Government and formed part of the final finance as notified on 20 February 2017.

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 will be repeated for establishing the 2018/19 budget. 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 currently being undertaken to revise the spending and income assumptions to allow based on latest intelligence and a structural review to update the MTFP in preparation for the 18/19 budget.

Work continues for establishing sustainable budgets for 2018/19 in preparation for the Feb 2018 CFA meeting.

1.5 Supporting and developing our People

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 our internal engagement delivery plan
- Deliver the outcomes from the Eyes & Ears staff survey
- Deliver the procedural alignment programme - Single ways of working
- Deliver the Smarter Working Programme
- Progress against Information Systems Migration Plan - Single systems to work with

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. The approach has received substantial assurance following a recent internal audit and this is also supported by positive feedback in relation to our communication and engagement channels from managers' consultation days.

Deliver the outcomes from the eyes and ears survey

The Service results have been delivered to SLT and Heads of Department, with an action planning workshop from ORC. 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 will meet at the end of June to begin to collate this information and start to agree actions both local and corporate. These actions will be monitored monthly by the forum and progress communicated to staff quarterly - the messages around "you said" and "we've done" is critical for the success and value of this and future surveys.

Deliver the procedural alignment programme

Prior to combination, each work stream identified key procedures that needed to be aligned for the new Service. Procedures were prioritised for delivery over 3 years. Some 84 were prioritised for completion before 1 April 2016 to ensure legal compliance. The remainder were programmed for alignment over the following 2 financial years. A total of 108 procedures were originally programmed in for completion during 2016/17. Over the course of the year, a total of 60 were published. There are 48 procedures remaining. These will be programmed into departmental plans and for 2017/18 – progress will be monitored within Sycle and reported to SLT quarterly.

Overall, good progress has been made during this quarter with 24 out of the 35 procedures having been published. Of the 11 slippages, 7 have been consulted upon, 3 are in progress and 1 is yet to be started, but is being prioritised.

Deliver the smarter working programme

A smarter working programme and action plan has been developed and a working group established. This programme 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.

Progress against the systems migration plan

Good progress is being made. 9 out of the 24 systems in the plan have now been combined into single databases / systems and are in use throughout the Service. The remaining 15 systems have clearly defined project, stakeholder and communication plans following the principals outlined within the programme. These are currently on track to deliver single databases / systems within the agreed timescales.

	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
- Develop a talent management process linked to workforce and succession planning, development pathways and leadership development
- Develop and deliver our leadership development strategy and define our Leadership development requirements for the Service; plan and implement initiatives to meet identified needs
- Develop and implement a Service wide apprenticeship programme to maximise on the apprenticeship levy
- Implement and embed development pathways for all staff groups with alignment where relevant to the Fire Professional framework
- Strengthen our approach to strategic workforce planning

Risk Owner Comments

Completion of the fire-fighter 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 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.

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 organisational requirements for talent management and frameworks

Work is being undertaken to develop the organisational 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 organisation. The approach we adopt will also need to be able to deliver outcomes aligned to our values and behaviours 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).

Develop and deliver our leadership development strategy and define our Leadership development requirements for the Service; plan and implement initiatives to meet identified needs

The leadership development strategy continues to be developed and SLT began a piece of work in early September which will provide important input to this in terms of the Service's leadership approach needed for the future. In the meantime, we are arranging a series of three modular leadership programmes for first line managers whilst development of the new Lifesaving Leaders Programme continues with the RNLI. A prototype of the latter is being delivered in September for feedback which will inform a pilot programme for a larger cohort of delegates early in 2018. Work with the South West Emergency Services Collaboration partnership is picking up pace and we are taking part in the Culture and Leadership work stream under the Programme Board. This is providing us with opportunities to identify where we can share practice and products with Police, Ambulance and other FRSs across the South West and begin to align our strategies, cultures, values and behaviours. We are working particularly closely with Wiltshire Police to explore areas for collaboration and alignment.

Develop and implement a Service wide apprenticeship programme to maximise on the apprenticeship levy

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. We are currently considering our approach to Apprenticeships to ensure we make the most effective use of our levy.

Implement and embed Development Pathways for all staff groups with alignment where relevant to the Fire Professional framework

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.

Strengthen our approach to Strategic Workforce Planning

Data for Establishment Control purposes is being brought together and aligned to our salary budgets. We are bringing together the elements of our strategic workforce plan which will include a review of the Terms of Reference of our Workforce Planning Group to ensure stronger links to SLT and to ensure the outcomes of our strategic assessment are incorporated. We have forecasted the number of retirements over the next 5 years to enable succession planning for all staff categories to be considered. Alongside this we are in the process of identifying potential future workforce changes linked to Communities and On Call Review to ensure these areas are considered within our workforce planning activities. The strategic workforce plan will also ensure leadership development, progression and talent management activities and interventions are all connected. We are also ensuring that our leadership development and talent management arrangements are linked to our workforce plans.

Risk Summary

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] Swindon	1	0	0	0	**1**
[DEP] Assets	1	4	0	0	**5**
[DEP] Democratic Services and Corporate Assurance	0	2	0	0	**2**
[DEP] Financial Services	2	2	0	0	**4**
[DEP] HR	1	3	0	0	**4**
[DEP] Information & Communications	0	1	0	0	**1**
[DEP] Operational Training	1	6	1	1	**9**
[DEP] Prevention	1	3	0	0	**4**
[DEP] Protection (Fire Safety)	1	3	0	0	**4**
[DEP] Service Support	4	3	0	0	**7**
[DEP] Strategic Planning & Knowledge Management	0	1	0	0	**1**
Director of Service Support	0	1	0	0	**1**
Total	**13**	**33**	**1**	**1**	**48**