



**DORSET & WILTSHIRE  
FIRE AND RESCUE  
AUTHORITY**


Item 17/57 Appendix A

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

## **Appendix A - Strategic Risk Register**

*15 December 2017*

1.3 Being there when you need us

<b>Risk Code</b>	0009	<b>Direction of Risk</b>
<b>Risk</b>	Failure to have a robust and financially sustainable on-call duty system to meet the needs of the Service.	
<b>Responsible Officer</b>	Director – Support Services	

	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**

- Create and maintain effective recruitment processes for On Call
- 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 and engagement plan has now been established as well as an On Call working party/sounding board to support development and delivery of the project deliverables. The Review team has established its place on Area Management Team Agendas to promote regular dialogue and also links to the media team to provide Service-wide updates

**On Call Impact Assessments**

A robust On Call 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 are engaged at the right time to challenge the impacts of change across duty systems. The On Call Review lead has met with the Equality, Inclusion and Cultural Change Manager to review the format of the On-Call Impact Assessments. It has been decided that the template is fit for purpose and will be included in a wider impact assessment process using the impact on the “workforce” element of the process as a link point to the On Call Impact Assessment process.

### **On Call Salary Scheme**

A schedule to introduce new stations to the salary scheme has been presented to SLT. Several stations have hosted visits and stations are now agreeing their cover arrangements with their Area Management Teams. 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. Visits to Stations have resulted in the following progress:

Portland – Cover agreed by Area

Wareham – Station agreeing cover

Cranborne - Station agreeing cover

Gillingham – On Hold

Bere Regis - Station agreeing cover

Amesbury – Now Live

Pewsey - Station agreeing cover

Mere - Station agreeing cover

Marlborough – On Hold

Westbury - Station agreeing cover

Progress in this area of work is in line with the On Call Consultation document. Once agreed, the salary scheme can be taken from its trial status. This will then allow recruitment literature to advertise the scheme and we will see the effect on recruitment interest.

**District Support Officers (DSO)** 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 trial has started in Wiltshire Area and this support role for On-Call stations 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 station area will be supported by one DSO although resources can be shared where necessary to meet demand for certain work. An interim review meeting took place in mid-October and progress is on target. Once the three-month trial is complete, work will begin on evaluating it and then recruiting into posts across all of the station areas in the Service. Work on secondary contracts has started and is also being supported by a member of staff from the Wiltshire Area Command. 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.

### **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 that we are working towards will realise similar benefits for staff in terms of flexibility and time.

## 1.4 Making every penny count

<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 and Treasurer	

	Current Risk Assessment	Target Risk Assessment
<b>Rating</b>	Strategic	Discuss with Director
<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

- Achieve the aims and objectives of the efficiency strategy
- Undertake an annual review of Medium Term Financial Plan
- Deliver the projects within the Communities Programme to support the achievement of financial sustainability

### 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. 97% of the targeted efficiencies and savings have been achieved to date.

Financial expenditure is reported to the Finance, Governance 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.

The Medium Term Financial Plan (MTFP) has been updated for the period 2017/18 to 2020/21 and has been approved by the Policy & Resources Committee on 19th October 2017. The MTFP identified a balanced budget can be achieved for 2018/19, based on the planning assumptions as approved by the Policy & Resources Committee, and also indicative budget deficits for 2019/20 and 2020/21 in excess of £1m and £2m respectively.


The recent technical consultation on the provisional finance settlement for 2018/19 has been returned to the Department for Communities and Local Government, expressing our concern over future funding mechanisms, which has been echoed by the National Fire Chiefs Council (NFCC) and the Fire Finance Network (FFN).

Further work continues within the Communities Programme, following a number of senior manager and Member presentations held, in the run up to approving the Revenue and Capital Budgets for 2018/19 at the February Authority meeting, in order to identify proposals to bridge future financial budget deficits as identified in the MTFP. Work to date on

the Communities Programme is approximately 60% complete. Following an SLT presentation in September and P&R committee in October, agreement has been reached on Aerial Ladder Platforms (ALP) crewing arrangements and numbers/locations of ALPs and investment in On-call systems to continue with the roll out of the Salary Scheme and On call Support Officers. We are now formulating options for operational efficiencies to bridge deficits within the MTFP ensuring current emergency response standards are maintained.

All of the above require Representative Body engagement, to discuss and agree watch alignment, annual leave, interim overtime and crewing shortfall arrangements.

## 1.5 Supporting and developing our People

<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>	DCFO	

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

Risk Owner Comments
<p><b>Deliver the engagement delivery plan</b></p> <p>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 an internal audit. Senior managers are currently undertaking over 60 workplace visits to directly engage staff from across the Service. In addition, a new intranet with the ability to target communications to specific staff groups and departments has gone live.</p> <p><b>Deliver the outcomes from the eyes and ears survey</b></p> <p>The Service results have been delivered to SLT, Heads of Department and Members of the Finance, Governance and Audit Committee, with an action planning workshop from ORC, the independent company conducting the survey. The high level and departmental results have been communicated with teams, via Heads of Department. This approach provided all staff with the opportunity for discussion and feedback on the results and the potential actions for improvements against focus areas. The Working Together Forum comprising of all senior managers continue to discuss the staff engagement and the improvement actions. In response to the survey, the Service is moving away from directorate structures and centring ways of working on delivering the strategic priorities through a more matrix style approach to delivery. A new meetings structure is currently being rolled out to better support cross departmental planning and delivery of the actions and projects set out</p>

in the service delivery plan. A new staff survey is planned for February to re-engage to better understand the progress being made and to support the forth-coming inspection process.

#### **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 which have all been programmed into departmental workloads. Progress continues to be monitored within Sytle and reported to SLT quarterly. Progress remains on track.

#### **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 has been 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 programme has now been widely advertised and promoted through an e-learning module; a training programme; a new intranet and through the 60 workplace visits by senior managers. The key elements currently being progressed through a technical working group are the move to Office 365 and a new staff intranet which have gone live as planned. A working group has been established to look at the potential to rationalise the Poundbury estate and a IT technical coordinating group is soon to be convened to support the programme.

#### **Progress against the systems migration plan**

Good progress is being made 13 out of the 24 systems in the programme have now been combined into single databases / systems and are in use throughout the Service. The remaining 11 systems have clearly defined project, stakeholder and communication plans following the principals outlined within the programme. SLT continue to monitor the programme on a monthly basis. The programme is currently on track to deliver single databases / systems within the agreed timescales.

<b>Risk Code</b>	0004	<b>Direction of Risk</b>
<b>Risk</b>	Failure to have a competent and resilient workforce to meet the future needs of the Service	
<b>Responsible Officer</b>	Director - People Services	

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

A key area of focus has been our positive action work ahead of commencing our whole-time recruitment. Our positive action campaign “#BeOneOfUs” was launched in October 2017. Posters, leaflets and banners have been produced and our website included a link to an inspirational promotional video about a career in the Fire Service and provided a structured 12-week fitness programme for potential applicants to follow. Six “have a go day” were held across the Service area and encouraged those attending to carry out some of the practical elements of the role such as hose running and wearing breathing apparatus.

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

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.**

A first draft of our leadership development strategy has been developed and will be discussed with SLT and Heads of Department in the New Year. 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 was delivered in September and feedback received 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. This collaboration has already had a positive impact on our review of our RESPECT values framework whereby we have been able to align our values and behaviours with the recently developed Police values framework. 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. Service wide planning for apprenticeships is being considered as part of the wider People Services work on strategic workforce planning. Marketing materials have been developed to promote future firefighting apprentice opportunities and these have been distributed at community events. We are working with our constituent local authorities on potential to collaborate for mutual benefit, particularly through shared procurement of apprentice training providers. We are continuing to develop new apprenticeship standards for the fire sector as part of the employer trailblazer group. Work has commenced on the recruitment of apprentices to identified corporate roles.

**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.

Formal consultation on pathways for operational staff closed on 22 October. Pathways for other staff groups are defined in the L&D Framework and line managers are currently being consulted on final content of these.

**Strengthen our approach to Strategic Workforce Planning**

We are creating stronger links between our workforce transformation plans and our workforce planning and establishment control to ensure close alignment to our financial forecasts. We continue to improve the integration of our systems so that we can provide workforce data that enables better monitoring, intervention and organisational learning. Further refinements are being made to our HR system to improve management reporting processes which will assist our workforce and financial planning. Mindful of our ageing workforce and our corporate target to increase the diversity of our workforce, we are setting in place workforce and succession plans to ensure we have the right people, with the right skills at the right time.

This starts at the point of attraction and we have reviewed our recruitment literature to ensure that applicants are well informed and have a good understanding of the varied career opportunities that we offer. We have carried out an external review of our recruitment processes and have developed an action plan to further streamline and enhance the work that we do in this area. As part of this work we have invested in our E Recruitment system to improve its functionality and

interface.

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.

Gateway Assure will be undertaken an audit of our Strategic Workforce Planning arrangements during Block 4 of the Audit Programme and a report will be presented to the Finance, Governance & Audit Committee when this is done.

## 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

Area / Department	Risk Score				Total
	1-8	9-12	13-16	17-25	
[AREA] Bournemouth & Poole	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>1</u>
[AREA] Dorset	<u>0</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>3</u>
[AREA] Swindon	<u>1</u>	<u>0</u>	<u>0</u>	<u>0</u>	<u>1</u>
[DEP] Assets	<u>1</u>	<u>4</u>	<u>0</u>	<u>0</u>	<u>5</u>
[DEP] Democratic Services and Corporate Assurance	<u>0</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>2</u>
[DEP] Financial Services	<u>2</u>	<u>2</u>	<u>0</u>	<u>0</u>	<u>4</u>
[DEP] HR	<u>1</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>4</u>
[DEP] Information & Communications	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>1</u>
[DEP] Operational Training	<u>1</u>	<u>6</u>	<u>2</u>	<u>0</u>	<u>9</u>
[DEP] Prevention	<u>1</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>4</u>
[DEP] Protection (Fire Safety)	<u>1</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>4</u>
[DEP] Service Support	<u>5</u>	<u>3</u>	<u>0</u>	<u>0</u>	<u>8</u>
[DEP] Strategic Planning & Knowledge Management	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>1</u>
Director of Service Support	<u>0</u>	<u>1</u>	<u>0</u>	<u>0</u>	<u>1</u>
<b>Total</b>	<b><u>14</u></b>	<b><u>32</u></b>	<b><u>2</u></b>	<b><u>0</u></b>	<b><u>48</u></b>