



WILTSHIRE FIRE & RESCUE SERVICE

Wiltshire and Swindon Fire Authority

Strategic Risk Register



Version 1.4

This document will be updated monthly - 04/01/07

Introduction

This Strategic Risk Register has been produced following detailed planning involving the Elected Members of the Fire Authority and senior management of Wiltshire Fire and Rescue Service, all of whom have received specialist training from an external consultancy - Public Risk Management.

The Strategic Risk Register is not a stand-alone document – it is constantly evolving and, therefore, a regularly updated plan will be tabled as a Standing Agenda item at the Combined Fire Authority's Programme Board that meets quarterly.

The Strategic Risk Register is also a Standing Agenda item for the quarterly Combined Fire Authority public meetings, further evidence of demonstrating this Authority's commitment to continually assessing the changing risk within the environment in which it operates, together with employing appropriate control measures to reduce the risk to the lowest possible level.

Chairman, Wiltshire & Swindon Fire Authority
Mr. D J Willmott CBE QFSM

Handwritten signature of Mr. D J Willmott in black ink.

Chief Fire Officer
Andy Goves MA MSc LLB [Hons] MIFireE

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Risk Ref	Each risk or opportunity s given a unique reference number, these will not run in numerical order because some will be deleted as time goes by.
Risk & Opportunities	The name of each risk is inserted in this column, further information on the nature of the risk is available if required.
Impact	This refers to impact of the event. They are judged interns of impact on the organisation the organisation in terms of assets , People, Reputation, Information Technology, Business Continuity, and achieving targets and objectives
Without control	The impact and likelihood of the risk is assessed using the WF & RS risk management toolkit, this ensures that a consistent approach to analysing each risk is applied. This results in each risk being scored and a traffic light system is applied.
Risk Owner	The risk owner is allocated in this column CFA = Combined Fire Authority DCFO = Deputy Chief Fire Officer ACFO = Assistant Chief Fire Officer CFA Treasurer = Combined Fire Authority Treasurer
Existing Controls & Status	These are the controls that have been identified , each controls status is assessed using a traffic light system as follows Red - Control not yet in place Amber - Control under development Green - Control in place and functioning
Control Owners	The role responsible within WF & RS for the implementation, development and monitoring of the identified control measure.
Residual Risk	This is the residual risk left to WF & RS once analysis of the identified control measures has been carried out. This is established by using the WF & RS Risk Management Toolkit to re-access the impact and likelihood of the each risk once control measures have been identified. A final score is allocated and a traffic light system applied to each.
Risk Reduction Activity	Further plans or activities that are being undertaken to mitigate the impact of the risk . Not all risks need further activities to be taken, some risks will be accepted by the organisation as being acceptable, or further activities to reduce the risk would not be practicable or cost effective.
Actionee	The role responsible for the risk reduction activity within WF & RS.
Direction of Travel	Monitoring and review of risk will be required to determine how the risk has changed over time and if the control actions currently being taken continues to be adequate.. Risk identified as high will be assessed on the most regular cycle and a visual indication of the direction of travel of the risk will be provided.

Strategic Risk Register Version Control Document

This document constitutes the audit trail of any risk reviews, deletions, additions and amendment to any of the contents of each risk register.

The document is centrally controlled within the WF & RS Risk Registry corresponds to the electronic version of the risk register established in 25-04-06, The Corporate Risk and Performance Manager updates this monthly, and the Programme Board carries out a monthly review of its contents to assess the current status of all strategic risks to WF &RS, with reports being submitted to the Combined Fire Authority on a quarterly basis.

Date Of Review	Date Of Next Review	Changes Made	Reason For Change	Authorisation Signature
25-04-06		Strategic risks from Health and safety department risk register added		<i>S J CARPENTER</i>
2-08-06		Risk 9 merged with risk 4	Duplication	<i>S J CARPENTER</i>
2-08-06		New risk indentified 9 ,following meeting with CFO		<i>S J CARPENTER</i>
2-08-06		Risk 7 refined	Clarification	<i>S J CARPENTER</i>
2-08-06		Risk 8 redefined	Clarification of issue	<i>S J CARPENTER</i>
2-08-06		Risk 10 refined to Performance Management, other areas in CPA improvement plan	Clarification	<i>S J CARPENTER</i>
2-08-06		Risk 22 merged with risk 10 as it is an output of Performance Management	Clarification	<i>S J CARPENTER</i>
2-08-06		Risk 11 delegated to Corporate Service Department		<i>S J CARPENTER</i>
2-08-06		Risk 12 delegated to Finance, Human Resources and Technical Services Department		<i>S J CARPENTER</i>
2-08-06		Risk 14 refined to local political issues	Clarification	<i>S J CARPENTER</i>
2-08-06		Risk 15 refined to Regional Management Board Failure	Clarification	<i>S J CARPENTER</i>
2-08-06		Risk 16,17,18,20 combined to form one risk	Clarification	<i>S J CARPENTER</i>
2-08-06		Risk 21 refined to refer to internal business disruption only	Clarification	<i>S J CARPENTER</i>
2-08-06		Risk 25 merged with risk 15,this is an output of the RMB failure	Clarification	<i>S J CARPENTER</i>
29-08-06		Risk 4 refined to refer to CPA 2006 process	Clarification of issue	<i>S J CARPENTER</i>
29-08-06		Risks 1,2,3,4,5,6,7,8,9,10,13,14,15,18,19,21,23,24 - control measures and residual risk entered	Management Board Workshop	<i>S J CARPENTER</i>
23-0-06		Risks linked to Business Plan priorities	As recommended by CPA Auditor	<i>S J CARPENTER</i>
16-11-06		Risk Register Endorsed by Programme Board, approval given for publication	Action within CPA improvement plan	<i>S J CARPENTER</i>
04-01-07		Risk Register Updated 2. 4. 5. 10. 19.	Update by CFO	<i>STEVE LAW</i>

Risk Ref Number	Risk & Opportunities	Link to Business Plan Strategic Priority	Impact	Without Control			Risk Owner	Existing controls	Control status	Control Owners	Residual risk			Risk Reduction Activity	Actionee	Direction of Travel
				Impact	Likelihood	Score					Impact	Likelihood	Score			
1	Consultation	2A 4F 4B	Minimal risk reduction to community. Uncertain delivery of key service objectives. Proactive resistance to change by stakeholders	4	3	12	DCFO	Business Plan consultation - Staff seminars - Representative Body engagement - Member Engagement - Consultation with Taxpayers - After incident surveys - Consultation Policy - Business Plan consultation - Stakeholder consultation - Peoples Voice - Head to Reach Strategy - External Communications Officer	Amber Green Green Green Green Green Green Green Green	CFO,DCFO,ACFO CFO,DCFO,ACFO CFO Head of Corporate Services Service Accountant Consultation and Planning Officer. Consultation and Planning Officer. Consultation and Planning Officer. Consultation and Planning Officer Area Manager Risk DCFO	2	2	4	Appointment of Corporate Communications Manager Development of Communication Strategy with Alexander Consulting.	DCFO, Planning Officer & Consultation Officer	↔
2	Member Engagement	4D	Minimal risk reduction to community. Under achievement against critical targets, adverse external audit report. Legal consequences requiring senior management involvement, high external interest	4	4	16	DCFO	Programme Board Members development programme Members handbook CFA Work streams Finance review committee CFA structure Member/officer involvement Conflict of interest declaration	Green Green Green Amber Amber Green Green Green Green	CFO,DCFO,ACFO Senior Training and Development Manager Click to CFA ACFO DCFO Service Accountant	2	2	4	Additional funding from Capacity Building Fund Carry out training related to Government White Paper on Community Leadership	DCFO, Head of Corporate Services DCFO, Head of Corporate Services	↑
3	Capacity	4A 4E	Under achievement of critical targets impacting on a number of performance indicators. Uncertain delivery of key service objectives	4	3	12	DCFO	Governance Framework, Risk and Project Management frameworks Project Management of Service Business Plan	Green Red Amber	DCFO Head of Corp Services Group Manager Corporate Services	4	3	12	Prioritisation of workloads Development of Member Manager structure Increase capacity of staff or transfer staff Produce performance management indicators (SMART)	DCFO DCFO/ACFO CFO Head of Corporate Services	↔
4	CPA	2D	Under achievement of key objectives. Possibility of DCLG intervention, National Media, local MP's interest. Low staff morale	4	4	16	DCFO	Ops Assurance team Engagement of Audit Commission. Use of Resources Team established. Risk based project management approach CPA Improvement plan reports to Management Board Development of services 4 year business plan Governance Framework Consultant guidance and support Secondment of staff to DCLG projects Membership of CPA national sounding board DOT Team established	Amber Amber Green Amber Amber DCFO DCFO CFO CFO Area Manager Risk	Area Manager Risk Group Manager Corporate Services Bridgde Accountant Group Manager Corporate Services Group Manager Corporate Services DCFO K Strickland DCFO CFO CFO Area Manager Risk	4	2	8	Demonstrate to Auditors satisfactory performance (Awaiting outcome)	DCFO ACFO	↔
5	Financial savings	4A	DCLG concern, adverse national media coverage	3	3	9	CFA Treasurer	Strategic Budget Management Group Procurement Strategy partially implemented Efficiency Savings Statement Produced Use of P Cards Officer appointed to develop an efficiency savings monitoring and measuring framework	Green Green Green Green Green	Service Accountant Head of Corporate Services Service Accountant Corporate Services Manager Corporate Services Manager	3	2	6	Training of managers linked to procurement strategy to take place Medium term financial plan under development Procurement Strategy partially implemented	Head of Corporate Services Service Accountant	↑
6	Resilience	2E 4E	Under achievement of key objectives. Possibility of DCLG intervention, National Media, local MP's interest. Low staff morale	4	3	12	DCFO	Business Continuity Planning LRF Planning New Dimension Officer and equipment Pandemic Plan Partnership Working local, regional, national levels Mutual Assistance agreements	Amber Green Green Amber Amber Green Amber Amber	Group Manager Business Continuity ACFO Area Manager Risk Group Manager Business Continuity ACFO Area Manager Risk	3	2	6	Training of business continuity teams Rehearsals exercises Development of strategy to improve resilience Mutual Assistance Agreements with other FRS, Category 1 Responders	Group Manager Continuity Group Manager Business Continuity DCFO Area Manager Risk	↔
7	Succession Planning	1A 1B	Failure to meet a series of critical targets impacting on a number of performance indicators. Uncertain delivery of key service objectives. Death or major permanent injury, catastrophic injury	4	3	12	ACFO	IPDS strategy and project IPDS lead officer Interim Assessment Centres. Progression Policy. Training Strategy Grievance and discipline policies Succession Planning Member champion Senior Manager representative at national championship committee	Amber Amber Green Amber Amber Amber Amber Amber Amber	Service Training and Development Manager. Senior Training and Development Manager. Senior Training and Development Manager. Senior Training and Development Manager. Senior Training and Development Manager. Human Resource Advisor CFA Senior Training and Development Manager.	4	3	12	secondments to other organisations Appraisal Scheme Delivery of leadership training	CFO Human Resource Advisor Senior Training and Development Manager.	↔
8	Compliance	2G	Under achievement of key objectives. Possibility of DCLG intervention, National Media, local MP's interest. Death or major permanent injury, catastrophic incident resulting in prosecution for Corporate Manslaughter. Severe legal consequences	4	4	16	DCFO	Health, Safety & Environmental Strategy and management framework. Governance Framework Information and Security officer appointed Members Handbook Risk Management Framework Equality and Diversity Strategy Impact Assessment training and Standard Operating Procedure Corporate Risk Registry Department Management of data packages and information	Green Green Green Green Amber Amber Amber Amber	Health Safety & Environmental Advisor Head of Corporate Services Data Protection Officer Click to CFA Amber Corporate Risk Manager Equality and Diversity Advisor Area Manager Risk Area Manager Risk Data Warehouse Officer	4	2	8	CFA Members workshops and training on Governance, Risk Management and leadership.	Head of Corporate Services Human Resource Advisor CFO	↔
9	Recruitment & Competence	1A 1B	Death or permanent injury Severe legal consequences Catastrophic incident Under achievement of national performance indicators	4	4	16	ACFO	Recruitment Officer IPDS Framework Retained Station Supervisors Crew management training at FSC Station Audits Operational Audits Leavers Survey Retained availability review Appraisal system for managers	Amber Amber Green Green Amber Amber Amber Amber Amber Amber	Human Resource Advisor Senior Training and Development Manager. Area Manager Risk Senior Training and Development Manager. Area Manager Risk Area Manager Risk Area Manager Risk Area Manager Risk Area Manager Risk Human Resource Advisor	4	3	12	Develop retained station plans linked to performance management Create employment in remote rural areas Retained Annual leave policy Introduction of electronic availability system Carry out review of retained duty system	Area Manager Risk Management Board Area Manager Risk Area Manager Risk	↔
10	Performance Management	4C 3D	Under achievement of key objectives. Possibility of DCLG intervention, National Media, local MP's interest. Low staff morale	4	4	16	DCFO	CFA Members workshops and training on Governance, Risk Management and leadership. Governance framework Statement of Internal control Members Programme Board Data Warehouse Manager in post Risk Management Framework in place Development of Performance Management Strategy and Action Plan	Green Amber Green Amber Amber Amber Green Green	Head of Corporate Services Head of Corporate Services Head of Finance Head of Corporate Services Head of Corporate Services Head of Corporate Services Risk Manager Head of Corporate Services	4	2	8	Resource department to deliver performance management Implementation of action plan Improve quality of data	Head of Corporate Services Human Resource Advisor	↔

Risk Ref Number	Risk & Opportunities	Link to Business Plan Strategic Priority	Impact	Without Control			Risk Owner	Existing controls	Control status	Control Owners	Residual risk	Risk Reduction Activity	Actionee	Direction of Travel UP DOWN NO CHANGE		
				Impact	Likelihood	Score									Impact	Likelihood
13	Financial reserves	3C 4A	Failure to meet a series of critical targets impacting on a number of performance indicators. Uncertain delivery of key service objectives. Unplanned financial costs	4	3	12	CFA	Financial Reserves in place Financial Regulations Budget management group Internal Audit External Audit Finance Review Committee Internal finance procedures Management Board reports and scrutiny Alterations to Pension Legislation Finance and Performance Management Work stream	Green Amber Amber Amber Green Amber Green Green Green Green	CFA Treasurer Service Accountant Service Accountant Service Accountant CFA Service Accountant Head of Finance CFA CFA	4	2	8	Develop Budget forecasting system Consider utilisation of reserves Consider precepting level Medium term financial strategy linked to business plan and annual revenue budget	Financial Accountant CFA CFA Head of Finance	↔
14	Political challenges	3 & 4	Non-delivery of key objectives. Possibility of DCLG intervention, National Media. Local MP's interest	3	3	9	CFA	Communication Consultation Member Engagement Management of media Staff awareness Marketing	Amber Amber Amber Amber Amber Amber	CFA CFA CFA CFA CFA CFA	3	2	6	CFA structure Governance and organisation	CFA	↔
15	Regional Management Board	3 & 4	Regional approach Merged Combination of Fire & Rescue Service Opportunities to realise 6 Regional Management Programmes not achieved	4	3	12	CFA	Contribution to Regional Management Board CFA representation Management contribution to all 6 RMB Programmes	Green Green Green	CFA CFA Management Board	4	1	4			↔
19	Partnerships	3C 2F 2B	Under achievement of critical targets impacting on a number of performance indicators. Uncertain delivery of key service objectives. Unplanned financial costs	3	3	9	ACFO	Governance and accountability systems CFA engagement Partnership register Partnership Policy Risk Assessment of current individual partnership arrangements Establish financial controls and systems for partnerships	Green Green Green Green Green Green	Area Manager Risk Head of Corporate Services Area Manager Risk Area Manager Risk Area Manager Risk Area Manager Risk	3	1	3			↑
21	Business Continuity	3B	Non-delivery of key objectives. Possibility of DCLG intervention, National Media. Local MP's interest	4	3	12	DCFO	Partnership working at local, regional and national level Business Continuity Policy Business Continuity Plans Outsourcing of IT infrastructure Training and rehearsals Validation of business continuity plans by qualified BCI practitioner	Green Green Amber Green Amber Green	Group Manager Business Continuity Group Manager Business Continuity Group Manager Business Continuity Head of IT & Communications Group Manager Business Continuity Group Manager Business Continuity	3	1	3	Process mapping of business critical functions Further outsourcing of business critical functions Development of IT infrastructure to support home working	New Business Management Team Management Board Head of IT & Communications	↔
23	Regional Control Project	2H	Increased Business Continuity costs across a wide range of FRS and Out Stations. It will also have an impact on the Project team continuity Inability to report statutory/local performance. Cost implication of upgrading/existing MIS systems	4	3	12	ACFO	Regional project plan Convergence planning. Business continuity plan, Human Resource Strategy. Level officer appointed to project team Management of risks to CFA. Management of industrial relations Management of Reputational Risk Management of Political risk Management of RCC in scope/ out of scope arrangements	Amber Red Amber Amber Green Amber Amber Amber Amber Amber	Head of IT & Communications Group Manager Regional Control Project Corporate Risk & Performance Manager Human Resource Advisor Area Manager Risk CFA CFO CFO Amber	4	3	12	CFA Member appointed to LACC	CFA South West Regional Management Board Management Board	↔
24	Assets	3A	Loss of resources physical and financial, misappropriation of funds. Legal implication requiring senior management involvement. National media coverage. Unplanned additional cost in excess of £250,000	4	3	12	DCFO	Strategic review of assets carried out by ATIS REAL Outcomes presented to Management Board Presented to Programme Board Action plan to engage members on outcomes Vehicle replacement programme Strategy for premises maintenance Contract with DSA Tramway system Inventory system Agriplus stores system IT equipment database	Green Green Green Green Green Green Green Amber Amber Green Green Green	Area Manager Resources Area Manager Resources Area Manager Resources Area Manager Resources Workshops Manager Technical Services Manager Technical Services Manager Fleet Administrator/Workshops Manager Area Manager Risk Service Accountant Head of IT & Communications	3	3	9	Develop monitoring process for DSA Commission Services' Insurers to carry out review of equipment losses at fires Risk based approach to asset management currently under development	Technical Services Manager Corporate Services Manager/ Head of Technical Services Head of Corporate Services CFA Management Board	↔