

# Corporate Risk Management Summary

## Report of the Chief Fire Officer

For further information about this report please contact Rod Hammerton, Chief Fire Officer, on 01743 260201 or Ged Edwards, Planning, Performance and Communications Manager, on 01743 260208.

### 1 Purpose of Report

This report updates Members on the status of risks on the Corporate Risk Register.

### 2 Recommendations

The Committee is asked to note the contents of the report.

### 3 Background

Following risk management training in March 2016 Members requested that the Corporate Risk Register should be reported to the Fire Authority twice a year, with the Audit and Performance Management Committee (APMC) receiving a quarterly report.

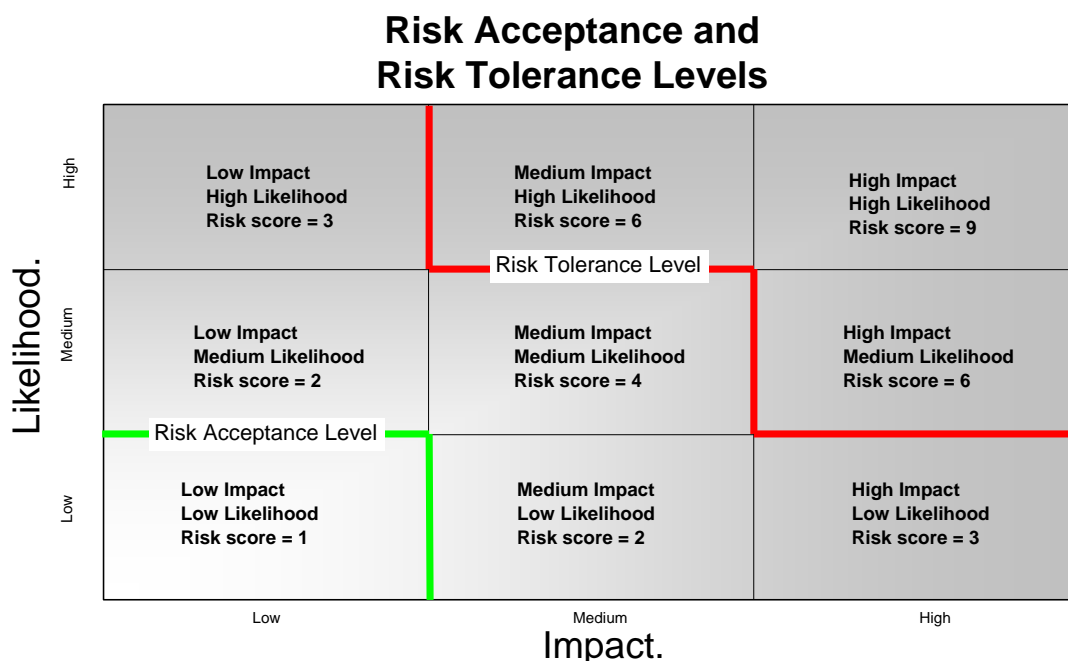
Following discussions with the Risk Member Champion and the Vice Chair of APMC, the format of this report has been varied from previous reports. Appendix A is a summary of the Corporate Risk Register and Appendix B covers all details that are captured about each risk on the register.

### 4 Risk Acceptance and Tolerance Levels

The purpose of risk management is not to eliminate all risk, but to reduce the risk to a level that the Authority is prepared to tolerate. This will vary depending on the Authority's current level of 'Risk Appetite' and is defined by the Authority setting its 'Risk Tolerance Level'. This level essentially acts as a target, with any risks higher than this level attracting appropriate effort and resources in an effort to reduce it to below this level. This target therefore acts as a management indicator, with greater levels of monitoring being required for those risks above the level, than for those below it.

In addition to the upper level, it is also appropriate to set a lower level target, called the 'Risk Acceptance Level'. Any risks assessed as being lower than this level should attract minimal effort and resources. This helps to ensure that resources are not wasted trying to reduce risks unnecessarily.

The Risk Management Brigade Order reflects the current risk Tolerance and Acceptance level and are shown in the table below.



## 5 Risk Management Process

The table in Appendix A shows a summary of the current risks on the corporate risk register. Appendix B shows more detailed information on each of the individual risk including: the risk title, the risk owner, a description of that risk, the counter measures that are either being applied or Officers are working to apply, the level of risk without controls, with controls and an assessment of the current level of risk. There is also a narrative column to enable risk owners to comment on the information provided where relevant.

## 6 Current Position

Following Risk Management Group (RMG) on 1 October 2019, the following risks were removed from the Corporate Risk Register.

In light of the extension to the Airwave contract, the Emergency Services Mobile Communication Project Risk (ESMCP) has been removed. This will now be monitored on the ICT departmental risk register.

The risk relating to the transition over to Telford and Wrekin Council for the provision of Payroll, Human Resources, Training and Finance systems has now been removed from the register.

The risk rating that relates to the provision of performance information has been increased due to capacity issues within the Business Intelligence team. Options to build additional capacity into the team is currently being developed.

## **7 Financial Implications**

There are no financial implications arising from this report.

## **8 Legal Comment**

There are no legal implications arising from this report.

## **9 Equality Impact Assessment**

There are no equality or diversity implications arising from this report. An Equality Impact Assessment is not, therefore, required.

## **10 Appendices**

### **Appendix A**

Summary of Corporate Risk Register Entries

### **Appendix B**

Details of all Open Corporate Risk Register Entries

### **Appendix C**

Paper 13 – Exempt Section of Corporate Risk Register

## **11 Background Papers**

There are no background papers associated with this report.

## Summary of Corporate Risk Register Entries

Categories of Risk	Raised by	Date Raised	Description	Current Probability	Current Impact	Current Risk Rating	Direction of Travel	Owner
Information	Ged Edwards	01/4/2012	The provision of accurate management information is dependent upon the adoption of high quality data management principles.	3	2	6	↑	Sally Edwards
Service Delivery	Internal Audit	21/12/2011	The Service has various contracts with suppliers which if were to fail or be impacted by poor performance could have a detrimental impact on the delivery of key service streams/functions.	3	3	9	→	Andrew Kelcey
Information	Sally Edwards	01/1/2012	To ensure the maximum availability of the Command & Control system as a mission critical function of the Service.	1	3	3	→	Sally Edwards
Information	Sally Edwards	01/8/2012	Provide robust and resilient hardware and communications platforms to ensure availability of electronic systems to support service delivery.	1	2	2	→	Sally Edwards
People	Risk Management Group	17/3/2009	If the "opt-out" option, the UK currently holds from the European Working Time Directive is removed, then this could have an impact on the availability of RDS staff.	1	1	1	→	Germaine Worker
Policy	Fire Authority Members	17/3/2016	The uncertainty surrounding changes in legislation from the Policing and Crime Bill 2016 (Duty to collaborate and potential for a change in governance) could impact upon services ability to effectively undertake long term planning and the delivery of strategy.	3	2	6	→	Rod Hammerton
Finance	Joanne Coadey	23/9/2015	Reduction in government funding - insufficient income to cover Service revenue budget'	3	2	6	→	Joanne Coadey

Information	Chris Mellings	19/7/2017	ICT is crucial for public service delivery and this imposes a risk of disruption or damage to the reputation of SFRS in the event of a failure of its information technology systems as a result of a cyber attack.	2	3	6	→	Sally Edwards
Service Delivery	Ged Edwards	17/11/2017	With little notice period the system supplier has informed the Service that the current Integrated Communications Control System (ICCS) will no longer be maintained beyond April, next year, as it becomes obsolete. In the event of a system failure after this date, the Service may be unable to restore the ICCS system.	2	1	2	→	Sally Edwards
Service Delivery	Kev Faulkner	13/11/2018	Staffing could be adversely affected following the adoption of the new fitness standards.	2	3	6	→	Kev Faulkner

#### Key to Direction of Travel:

→ shows that the general direction of the risk is unchanged.

↓ shows that the general direction of the risk is reducing.

↑ shows that the general direction of the risk is increasing.

## Details of all Open Corporate Risk Register Entries (Open Session)

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
Provision of Information for Management Decision Making	Information	Ged Edwards – Now Sally Edwards	01/04/2012	<p>Adopt robust processes for ensuring data is entered into departmental systems correctly and consistently. (In progress see action history)</p> <p>System ownership should be allocated to departmental managers and administration of systems should be appropriately assigned. (In progress see action history)</p> <p>Process mapping of all major departmental systems that generate reporting at a corporate level should be undertaken. (In progress see action history)</p> <p>Process mapping will give an understanding of what data is captured in systems, how it is processed and improvements to be made. (In progress see action history)</p>	6	<p>November 2019</p> <p>Recruitment is currently taking place to temporarily build capacity in the BI team.</p>

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
Failure of Primary Contractor/ Supplier	Service Delivery	Andrew Kelcey	11/03/2013	<p>Review current contracts register (Contracts in excess of £10,000) and risk assess all suppliers against the criteria of Poor Performance and Contract Failure. (Completed)</p> <p>Any supplier classed as high risk in either criteria will be identified as a departmental risk and be subject to a full supplier risk assessment and contingency plan if required. (Started and Ongoing)</p> <p>The full assessment will consider whether any further actions need to be addressed in order to mitigate against potential poor performance/contract failure. (Ongoing).</p>	9	<p>November 2019</p> <p>Awareness raising among contract managers is taking place and a formal training package agreed for future delivery.</p>
Security & Resilience of the C&C System	Information	Sally Edwards	01/01/2012	<p>Backup of C&amp;C (Ongoing)</p> <p>Replication off-site (Work complete. BC Exercise to be undertaken)</p> <p>Implement procedures for anti-virus and patch updates</p>	3	<p>November 2019</p> <p>The position remains the same regarding staffing however, the number of faults over the last 12 months has proven that the current architecture and configuration is resilient and stable.</p>

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
				<p>MDT hardening (Completed see action history)</p> <p>Move C&amp;C LAN to a virtualised environment (Completed see action history)</p> <p>Implement new Station End Equipment (SEE) (Completed)</p> <p>Increase the SLA levels with the WAN (Wide Area Network) prior to roll out of new SEE. (Completed)</p>		
Security & Resilience of IT Network	Information	Sally Edwards	01/08/2012	<p>Implement the recommendations of the 2 internal audit IT reports (in progress)</p> <p>Review and improve internal policies and procedures (In progress)</p> <p>Defining IT team roles, responsibilities and competencies</p> <p>Implement 24/7 IT cover (complete)</p>	2	<p>November 2019</p> <p>The position regarding the staffing remains the same however, the approach that has been adopted is to implement hardware technology platforms that minimise the need for highly trained specialist staff in order to mitigate this risk.</p>



Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
				<p>Implement management and reporting tools for preventative maintenance (In progress)</p> <p>Continually review and improve technical infrastructure (Ongoing)</p> <p>A detailed low level audit of the network configuration to be carried out before making further improvements to the infrastructure by removing single points of failure. (In progress)</p>		
RDS Staff - European Working Time Directive "opt-out" option	People	Germaine Worker	17/03/2009	<p>Maintain involvement in national CFA People and Organisational Development Committee to be sighted on any indication of changes on the issue. (On going)</p> <p>Obtain legal advice at 6 monthly intervals to ensure that the legal picture hasn't changed. (On going)</p> <p>Specify the facility to monitor working time (as well as availability) when the procurement of an appropriate</p>	1	<p>November 2019</p> <p>Further contact received from Telford and Wrekin Legal team informing us that are going to close the case as no further information has been received on this since Feb 2019. On this basis I would like to request that this item is removed from the risk register.</p>

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
				IT system for RDS finally happens.		
Changes from the Policing and Crime Act	Service Delivery	Rod Hammerton	17/03/2016	<p>Government and local policy regarding election and powers of PCCs monitored for potential risk impact on SWFRA. Regular meetings with PCC taken place. Better engagement through CJOA with the HO</p> <p>PCC has been invited as a non-voting participant in FRA</p> <p>Shrops, H&amp;W and Warwickshire Police and Fire Collaboration Group formed and focusing on "quick wins" in its formative period.</p> <p>Shropshire, Herefordshire and Worcestershire (SHAW) Fire Alliance being cultivated to focus initially on technological collaborations.</p> <p>FRA and Officers actively engaged in PCCs development of a business plan to identify where PCC can add most value. This is to ensure SFRS are able to influence outcomes.</p>	6	<p>November 2019</p> <p>No change - Judicial Review "failed". Leave sought for appeal. Public poll undertaken – FRA received over 90% support for continuing to resist PCC governance. Home Secretary petitioned to undertake contemporary review (potential JR2).</p> <p>Fire alliance now in place. Four key projects are advancing.</p>

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
				<p>Officers actively engaged in developing necessary plans and documentation for a successful transfer.</p> <p>Fire Alliance now in place with a programme of change focusing on ICT, Control, IRMP and procurement. The primary objectives of the Alliance are to create capacity and resilience for both organisations.</p>		
Rules that apply to Governments specific funding	Finance	Joanne Coadey	23/09/2015	<p>Officers and members will continue to lobby Government where appropriate</p> <p>Finance will ensure that timely strategic financial planning is carried out to inform management of the Service and Members of the Authority. The development of 2020 scenario planning will attempt to implement changes in the Service to close the funding gap in later years.</p>	6	<p>November 2019</p> <p>Chancellor's Spending Round in September announced that a rollover settlement would be in place for 2020/21. It is anticipated that 19/20 settlement plus inflation would be payable. Response has been completed for technical consultation on 20/21 settlement. Fire and Rescue recommendation is that referendum principles include precept of 2% or £5, whichever is higher.</p>

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
Cyber Security Risk	Service Delivery	Sally Edwards	19/07/2017	<p>There are a number of counter measures including work being undertaken on the Remedial Action Plan (RAP) from the IT Health Check (ITHC) to tighten security controls. Internal audit are conducting a full controls audit this year to check the IT environment is controlled and managed in line with best practice.</p> <p>There are a number of initiatives for improving staff awareness so they can protect themselves. The greatest vulnerability is maintaining specialist technical skills within the ICT team.</p>	6	<p>November 2019</p> <p>There has been no change - there is continual investment in technology platforms to protect the infrastructure. The biggest risk is the level of skills and capacity within the ICT team to carry out the routine maintenance.</p>
Integrated Communications Control System (ICCS)	Service Delivery	Sally Edwards	17/11/2017	Liaison with the system supplier to extend the maintenance period. Liaise with other FRA's who use the same product to put pressure on the supplier to continue to offer maintenance beyond the current notice period. Investigate the possibility of migrating onto an alternative solution. Have manual contingency arrangements in place in the event of a failure.	2	<p>November 2019</p> <p>The Board has approved for the implementation of the ICCS solution as per the submission from Motorola, A technical design meeting has been arranged for early December 2019.</p>

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
Impact of the new fitness standards	Service Delivery	Kev Faulkner	13/11/2018	<p>Support and communication with staff.</p> <p>Potential to delay full implementation until April 2020 to allow staff to improve levels of fitness.</p>	6	<p>November 2019</p> <p>Fitness test results at Wholetime stations is good, however there are still a significant number of On Call staff falling into amber with a handful so far falling into the red category. A number of these in red have been able to reach amber on the treadmill which suggests this may be a more suitable test. The Wattbike is now being used for fitness tests in Lancashire where the CFO is also the NFCC lead for firefit. This would suggest that this is therefore a suitable test which we could look to adopt. The Firefighter APP has also now been launched by Wattbike to provide individualised training programmes for firefighter fitness. A more detailed assessment of the impacts of adopting the fitness standard in its entirety will be produced for SMT early 2020 for consideration.</p>