

## Corporate Risk Management Summary

### Report of the Chief Fire Officer

For further information about this report please contact Alan Taylor, Chief Fire Officer, on 01743 260201 or Andy Johnson, Head of Risk Management, on 01743 260287.

#### 1 Purpose of Report

This is the third Annual Corporate Risk Management Summary Report to members. These reports aim to inform members about the corporate level risk management work that has been undertaken during the previous twelve months, as well as summarising the risk environment in which the service is currently operating.

#### 2 Recommendations

Members are asked to note the contents of this report.

#### 3 Background

Ongoing monitoring of the Authority's corporate risk management work is a responsibility of the Service's Policy Group and is also a delegated responsibility for the Strategy and Resources Committee. However, risk management best practice guidance also indicates that the full Fire Authority should receive a summary report on at least an annual basis.

Because this report only comes to the full Fire Authority on an annual basis, much of the report consists of detailed explanation of the information contained in each section. The Risk Manager will be available to answer any questions Members may have about the risks described in this report.

#### 4 Local Government Act 1972, Schedule 12A reporting exemptions

The public of Shropshire have a right to know that their Fire and Rescue Authority is taking appropriate measures to deal with risks that could potentially impact on its ability to deliver an effective emergency service. However, there are certain risks to which the Authority is exposed, the public disclosure of which could in itself present a risk to the Authority. For this

reason, although an ‘Open Session’ version of this report will always be made available, where an assessment against the requirements of the Local Government Act 1972, Schedule 12A indicates it would be appropriate, any exempted information would be excluded. Exempted information would then be incorporated in a separate ‘Closed Session’ report. ‘Open Reports’ will include all information about sensitive risks that is not likely to compromise the Authority (e.g. Risk ID, risk assessment results, Risk Owner etc), with only the sensitive information being exempted (e.g., Risk Description and any control measures included etc).

This approach should help to ensure that the public has as much information as possible, available to them, about the risk environment the Authority is operating in, whilst at the same time limiting any damage that could be caused through its inappropriate use.

## 5 Setting the Authority’s Risk Acceptance and Risk Tolerance levels

The assessment of risk is based on the analysis of the potential for the risk to do harm (the detrimental impact on the Authority) and the likelihood that they will occur. The potential impact on the Authority is measured against three criteria:

- a. Financial impact;
- b. Reputation impact; and
- c. Impact on the ability for the Authority to deliver its corporate aims and objectives.

Table 1 shows the three levels of impact against which Shropshire and Wrekin Fire Authority (S&WFA) assesses corporate risk. The assessment results in an impact level of either low, medium or high (corresponding to an ‘impact score’ of 1, 2 or 3) against each of the criteria. The impact with the highest score would be used to calculate the overall risk level. Table 2 goes on to show the assessment criteria in terms of likelihood. Again this results in a level of either low, medium or high, with corresponding ‘likelihood scores’ of 1, 2 or 3.

Impact level	Score	Descriptor for each impact type
High	3	<ol style="list-style-type: none"> <li>a. Financial impact on the Authority likely to exceed £75,000</li> <li>b. Significant stakeholder concern</li> <li>c. Significant impact on the Authorities Strategies and on the Fire and Rescue Services operational activities</li> </ol>
Medium	2	<ol style="list-style-type: none"> <li>a. Financial impact on the Authority likely to be between £25,000 and £75,000</li> <li>b. Moderate stakeholder concern</li> <li>c. Moderate impact on the Authorities Strategies and on the Fire and Rescue Services operational activities</li> </ol>
Low	1	<ol style="list-style-type: none"> <li>a. Financial Impact on the Authority likely to be less than £25,000</li> <li>b. Low stakeholder concern.</li> <li>c. Low impact on the Authority’s strategic or operational activities</li> </ol>

**Table 1 – S&WFA Impact assessment ratings.**

Likelihood level	Score	Description
High	3	Likely to occur each year or more than 25% chance of occurrence.
Medium	2	Likely to occur in a ten year time period or less than 25% chance of occurrence.
Low	1	Not likely to occur in a ten year period or less than 2% chance of occurrence.

**Table 2 – S&WFA Likelihood assessment ratings.**

The overall 'Risk score' is then simply calculated by multiplying the highest 'Impact score' by the 'Likelihood score', resulting in a 'Risk score' range of 1 to 9. Those risks scoring 1 (very low risk) should attract minimal effort in their control (although they should continue to be monitored), whilst those scoring 9 (very high risk) obviously require a lot more attention.

The purpose of risk management is not to eliminate all risk; as well as taking an inordinate amount of effort and resources to attempt to do this, it is ultimately impossible to achieve. Instead, risk management aims 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.

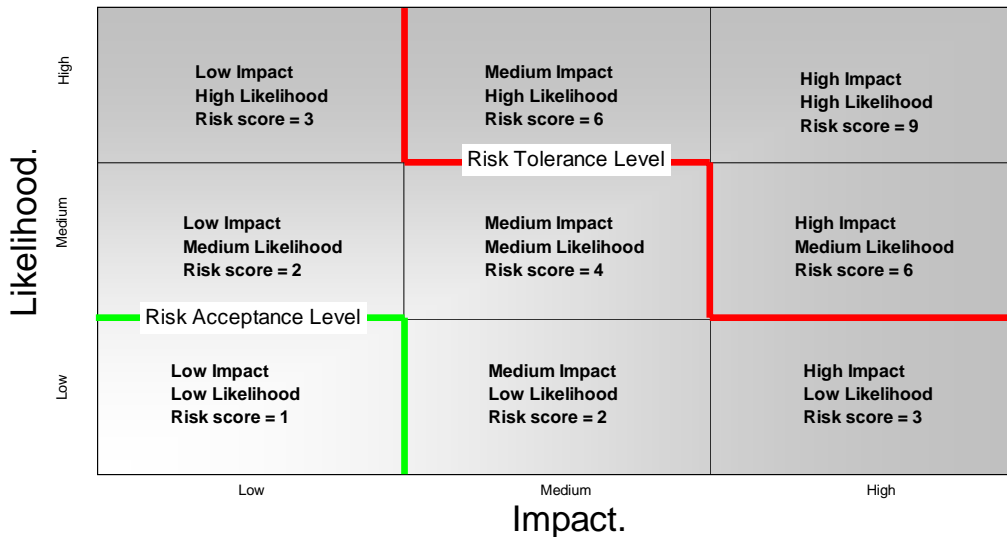
In addition to the upper level, it is also appropriate for the Authority to set a lower level target, known as the '**Risk Acceptance Level**'. Any risks assessed as being lower than this level should attract minimal effort and resources. This helps to ensure that resources are not wasted trying to reduce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

Members have previously agreed the following risk levels:

- '**Risk Acceptance Level**' = 1
- '**Risk Tolerance Level**' = 5

These are shown graphically in graph 1 below. This graph also describes the risks that sit either side of these levels.

## Risk Acceptance and Risk Tolerance Levels



**Graph 1 – S&WFA’s levels for Risk Acceptance and Risk Tolerance.**

The remainder of this report provides summary data on the current contents of the Authority’s Corporate Risk Register.

## 6 Risk Management progress

This section includes information about all events that have led to the current status with the Authority’s Corporate Risk Management system.

- **July 2007**

S&WFA received the last Annual Corporate Risk Management Summary report

The Risk Manager attended the Association of Local Authority Risk Manager’s (ALARM) annual conference in Cardiff.

The Risk Manager and Convergence Officer started to look at amalgamation of all risks relating to the FireLink and FiReControl projects.

- **August 2007**

The Risk Manager attended the Local Resilience Forum’s (LRF) Business Continuity Planning (BCP) Working Group at the Shirehall.

Councillor Jean Jones (Member Champion for Audit and Risk Management) met with the Risk Manager to discuss all issues relating to risk management, progress against the statement on internal control Improvement Plan and the new responsibilities pertaining to health and safety.

- **September 2007**

The Risk Manager and the Member Champion for Audit and Risk Management attended the ALARM Annual Fire Conference in Thame, Oxfordshire.

The Authority's Risk Management policies and procedures were audited by the Audit Commission as part of the 'Use of Resources' assessment.

The Risk Manager attended a conference which introduced British Standard 25999: Part 2 which provides an auditable specification for Business Continuity Management.

- **October 2007**

Internal Audit undertook a thorough review of the Authority's Risk Management procedures.

The Risk Manager and the Partnership Assessment Group Coordinator attended a seminar in Dudley, looking at Comprehensive Area Assessment and its relationship with risk management and partnerships.

- **November 2007**

The Risk Manager attended a seminar looking at the introduction of Annual Governance Statements (AGS). The requirement to produce an AGS replaced the Statement on Internal Control (SIC) in June of this year.

- **December 2007**

The Service's two day Strategic Planning Workshop was attended by all senior and middle managers, and included the annual risk assessment against the Authority's strategic aims and objectives.

- **January 2008**

Policy Group received a SIC Improvement Plan 2007/08 progress report.

All departments started to review their Business Continuity Plans (BCP).

The Risk Manager attended a LRF BCP Seminar in Worcester.

Exercises were conducted to test Fire Control's new Back-up facilities at Telford Central.

- **February 2008**

BCP awareness training sessions were held with Fire Control Watches and all other departments.

Officers from all relevant disciplines met to discuss the risks posed to the Service by the Regional FiReControl Project.

Policy Group received a report on the Annual Governance Statement process to be used for the 2007/08 statement.

- **March 2008**

The Strategy and Resources Committee received a report on the Annual Governance Statement process for the 2007/08 statement.

- **April 2008**

The Risk Manager attended an ALARM meeting in Redditch.

Members of Policy Group attended a training session in relation to the new Corporate Manslaughter Act.

- **May 2008**

The Executive Group met to discuss the risks posed to the Service by the Regional FiReControl Project.

The Strategy and Resources Committee received the draft Annual Governance Statement 2007/08 and draft AGS Improvement Plan 2008/09

- **June 2008**

The Fire Authority approved the Annual Governance Statement 2007/08 and the AGS Improvement Plan 2008/10

The Risk Manager and Programme Manager attended a seminar on the Comprehensive Area Assessment and its relationship to risk management

The Risk Manager attended an ALARM meeting in Redditch.

In addition:

- The **Strategy and Resources Committee** received Corporate Risk Management Summary Reports in October 2007, January and May 2008;
- The **Risk Management Group** met and discussed all matters relating to the Service's risk management procedures in August 2007, January and May 2008;
- The **Partnership Assessment Group** met to discuss the management procedures that govern all of the Service's partnerships in September and December 2007 and March 2008; and
- The **Insurance Review Group** met in December 2007 and March 2008

## 7 New Risks

There have been eight new threats added to the Corporate Risk Register since the last report. Summary details of each of these risks are included in the table below. These risks are listed in the order they were identified, starting with the most recent.

Opportunity or Threat	ID	Risk Description	Raised by	Risk Owner	Pre-Risk Result	Action Required	Control Owner	Post-Risk Result
Threat	71	If the paper records held by the Fire Safety department were damaged or destroyed by a catastrophic event, then the Service would not be able to fulfil its fire safety enforcement role as effectively.	Paul Raymond	Paul Raymond	6	Digitisation of all Fire Safety Premises files to form electronic replacement of existing paper records.  Paper records will be held as backup for at least three months, after which time consideration will be given to destroying them.	Mike Ablitt	3
Threat	70	If Equality and Diversity is not fully mainstreamed and integrated into all Authority activities, there will be adverse impact on financial, ethical and service delivery issues.	Member Champion for Risk and Audit	Alan Taylor	9	<ol style="list-style-type: none"> <li>1. Ensure all appropriate legislative schemes are in place and monitored.</li> <li>2. Maintain all Brigade Orders relating to E&amp;D</li> <li>3. Work with all departments to develop a prioritised plan for EQIA's</li> <li>4. Ensure all departments implement their EQIA Plans</li> <li>5. Develop a plan to meet the requirements of the Government's E&amp;D Strategy</li> <li>6. Implement the E&amp;D Strategy Plan according to the agreed timetable.</li> <li>7. In collaboration with the Training Department, develop a Brigade wide E&amp;D Training Programme based on a Training Needs Analysis.</li> <li>8. Implement the E&amp;D Training Programme</li> </ol> <p>An E&amp;D Strategy Group is to be set up to develop and monitor the required progress in this area.</p>	Lisa Vickers	2



Opportunity or Threat	ID	Risk Description	Raised by	Risk Owner	Pre-Risk Result	Action Required	Control Owner	Post-Risk Result
Threat	69	If the Authority does not take full account of the implications of Comprehensive Area Assessment and the new local government performance management framework, then its reputation as a strong performing Authority could be impacted.	Member Champion for Risk and Audit	Alan Taylor	9	Senior Officer involvement in CAA development process. Monitor developments through attendance at seminars/conferences during 2008/09 to gain a greater understanding of the implications of CAA.	Steve Worrall	6
Threat	68	If the Brigade does not have policies and procedures, relating to water rescue incidents, that effectively balance the risks to staff versus the risk to the public, then the Fire Authority could be subject to prosecution under health and safety law or a significant loss in reputation.	Policy Group	Paul Raymond	9	Full review of current water safety/rescue provision with fully costed risk assessed recommendations for change to be undertaken following release of National Guidance and the reviews undertaken into the floods of summer 2007.	Martin Timmis	2
Threat	67	The limited experience the Service currently has in prosecuting offenders under the Regulatory Reform Order, increases the likelihood that a court action could be lost and costs have to be borne by the Authority.	Paul Raymond	Paul Raymond	3	Look at obtaining the services of an experienced Legal Services team to assist in prosecutions. Consider whether it is possible to develop this work at the regional level. Ensure a public interest test is undertaken prior to any potential prosecution going forward.	Mike Ablitt	2

Opportunity or Threat	ID	Risk Description	Raised by	Risk Owner	Pre-Risk Result	Action Required	Control Owner	Post-Risk Result
Threat	66	If the FireLink/FiReControl projects are not effectively managed they may have a significant impact on current and future service delivery. Risks relate to effective management of costs, resources and functionality, prior to, during and post-implementation. Amalgamation of risks ID. 26, 32 and 47	Andy Johnson	Alan Taylor	9	Various measures are to be implemented to deal with the numerous individual risks identified during the project. Action Plan detailed within the minutes of the Exec Group RCC Risk group meetings.	Executive Group	3
Threat	65	If the implications of the various ICT projects, currently ongoing in the Brigade, are not coordinated, then there is a risk that the individual projects will not be implemented effectively.	Policy Group	Steve Worrall	6	All IT projects to be coordinated through one programme identified by TecCom	Helen Jones	1
Threat	64	If the implications of the Government's proposals for the Long Term Capability Management of all 'New Dimensions' assets (as described in FSC 26/2007) are not fully considered, then there is a risk that the Authority's budgets may be detrimentally impacted into the future.	Policy Group	Alan Taylor	6	Monitor situation	Paul Raymond	6

## 8 Closed Risks

Fourteen risks have been closed since the last year's Annual Report. Details of these risks are provided in the table below. They are presented in the order that they were closed, with the most recently closed risk being given first.

ID	Risk Description	Opportunity or Threat	Risk Owner	Date closed	Reason for closure
37	If the organisation does not make adequate succession planning arrangements, then when key staff leave the organisation there may be an impact on our ability to deliver our services.	Threat	Alan Taylor	27/05/2008	Investors in People (IiP) review successfully completed in July 2007. IPDR process uptake being monitored with HR supporting departments with planning for changes as appropriate. The control measures, now in place, are considered to be 'business as usual' and are effectively managing this risk. The risk is therefore being closed.
53	The national FireBuy project, looking into the possibility of setting up a Mutual Insurance Company for Fire Authorities, may present this Authority with the chance to reduce its insurance premiums. However, there are attendant risks in this approach that need to be explored.	Opportunity	Alan Taylor	02/05/2008	FRAML has ceased trading and those Authority's in the Mutual are looking to put new policies in place for 1 October. This is a consequence of the recent judgment in the court case - RMP Vs Brent Council.  The Authority has benefited from the existence of FRAML, through very competitive premiums from our current insurers (possibly due to concerns about the new competitor in the FRS insurance market). This opportunity will now be closed. A report on this matter was taken to Strategy and Resources Committee in May
67	The limited experience the Service currently has in prosecuting offenders under the Regulatory Reform Order, increases the likelihood that a court action could be lost and costs have to be borne by the Authority.	Threat	Paul Raymond	30/04/2008	A service Level Agreement has been developed and introduced between SFRS and Sandwell Borough Council. Sandwell BC solicitors will become the preferred legal team for all West Midlands Regional Brigades. This will ensure considerable expertise in fire safety law and enforcement work is maintained. All Fire Safety managers have undertaken advanced training in investigative practice and are able to management prosecution work effectively. A user group has been set up amongst the West Midlands Region CFOA Group, so that best practice in enforcement and prosecution work can be shared.

ID	Risk Description	Opportunity or Threat	Risk Owner	Date closed	Reason for closure
50	Lack of understanding of the proposed Manslaughter Bill and its implications, could render the Authority more likely to be prosecuted in the event of an on-duty death of an employee.	Threat	Alan Taylor	29/04/2008	Policy Group training session was conducted on 18/4/2008. With appropriate health and safety procedures in place this risk should be avoided. Appropriate insurance cover in place to cover any court costs likely to be incurred. Risk can now be closed.
55	The Service is going through a period of change in the way it manages and records all of the on-station training activities. If the methods used to manage this process are not sufficiently robust then there is a risk that the organisation may be subject to prosecution under health and safety legislation.	Threat	Paul Raymond	27/03/2008	Training time targets have been included in station business plans. Individual Development Records have been revised to enable easier completion. CFS targets have been revised to ensure appropriate balance between prevention and training is encouraged. District Office audit process is now well embedded and ensures that IDR's and IPDR's are being used effectively. In view of this progress, it is appropriate to treat these control measures as business as usual. The risk can therefore be closed.
62	The electrical system at Shrewsbury will be shut off to enable full testing of the circuits. This could cause faults to occur in the various communications and IT systems within headquarters, which may also have an impact on operational effectiveness.	Threat	Steve Worrall	20/03/2008	All testing is now complete. Risk can be closed.
58	The Government's Comprehensive Spending Review 2007 presents the Fire Authority with a lot of uncertainty about its future funding.	Threat	Alan Taylor	11/02/2008	Risk has passed as the grant settlement is confirmed as favourable.
32	If the financial costs of the new Regional Controls is not known, then the Authority will not be able to make appropriate budget plans, which could impair our ability to meet the Authority's stated priorities.	Threat	Alan Taylor	25/01/2008	This risk has been amalgamated with the new FiReControl/FireLink risk ID 66.

ID	Risk Description	Opportunity or Threat	Risk Owner	Date closed	Reason for closure
49	If the two confidential databases used by CFS, 'Contact Point' (previously Information Sharing Assessment partnership) and the Fire Setters database) are not subject to effective controls then there is a risk that people may be able to gain and make improper use of confidential information.	Threat	Mike Ablitt	03/01/2008	All control measures in place for the T&W 'Contact Point'.  If SCC choose to provide a similar facility in the future, we will review that risk independently.  Risk is now closed
61	National proposals to change from the Long Service Increments payment system to a Continuous Professional Development payment system could have a significant financial impact on the Authority.	Threat	Alan Taylor	28/11/2007	Now shown to be containable within the 2007/08 Pay and Prices Contingency. Risk closed.
59	Until the Regional Fire Control Local Authority Company is set up and has its own insurance arranged, the Authority's insurance cannot indemnify its representative on that company and would therefore have to indemnify any claims from its own reserves. The contribution the Authority will have to make to the insurance is also currently unknown.	Threat	Paul Raymond	24/09/2007	Insurance for Directors now in place through Sandwell Borough Council.  Risk no longer exists and therefore can be closed
38	If the pension arrangements are subject to significant change at this late stage, then there could be a financial and social impact on the Authority.	Threat	Alan Taylor	01/08/2007	Uniformed pension scheme now updated and embedded. Non-uniformed also appears to be resolved satisfactorily.  No longer a risk.

ID	Risk Description	Opportunity or Threat	Risk Owner	Date closed	Reason for closure
47	If the Regional Fire Control/Fire Link projects suffer long delays or fail, then the Brigade's ability to maintain a robust command and control function may be comprised. This would also have an impact on all future planning decisions for the Service.	Threat	Paul Raymond	31/07/2007	This risk has been amalgamated with the new FiReControl/FireLink risk ID 66.
26	Information exempt from publication by virtue of the Local Governments Act 1972, Schedule 12A, paragraph 3.	Threat	Paul Raymond	31/07/2007	This risk has been amalgamated with the new FiReControl/FireLink risk ID 66.

## 9 Current entries in the Corporate Risk Register

This section provides an overall summary of all entries in the Fire Authority's electronic Corporate Risk Register. Table 2 below includes previous, as well as current, figures for comparative purposes.

Descriptor	Number	Comment
Total number of entries	44	<b>Previous figure 36</b> This will increase over time. The rate at which it increases will demonstrate how active the Risk Management process is.
Total number of threats	40	<b>Previous figure 32</b> Comment as above
Total number of opportunities	4	<b>Previous figure 4</b> Comment as above
Total number of closed entries	22	<b>Previous figure 8</b> Comment as above
Number of 'live' threats	19	<b>Previous figure 24</b> Whilst we do not want to discourage risk reporting, we would want this to remain within a manageable number. Identifying the optimum number of manageable risks to have in the risk register will come through experience to be gained over the coming months and years.
Average risk level of all currently 'live' threats.	5.63	<b>Previous figure 4.92</b> This is on a scale where 1 is minimal risk, through to 9, which is maximum risk. Although there will inevitably be times when this figure increases (especially in the early stages of managing high risks), we would be looking for this figure to show a general downward trend. This would demonstrate that the Fire Authority is successfully managing its risks.
Number of 'live' opportunities	3	<b>Previous figure 4</b> We would be looking for this figure to increase, but again not to the extent that it becomes unmanageable. Inclusion of opportunities in the risk register is an area that is under development within both this and other fire authorities' risk registers. The importance and usefulness of this side of risk management is expected to increase as the Fire Authority's risk management process matures.
Average level of opportunity	5.33	<b>Previous figure 4.25</b> Scale of 1 to 9 We would tend to want this figure to grow.

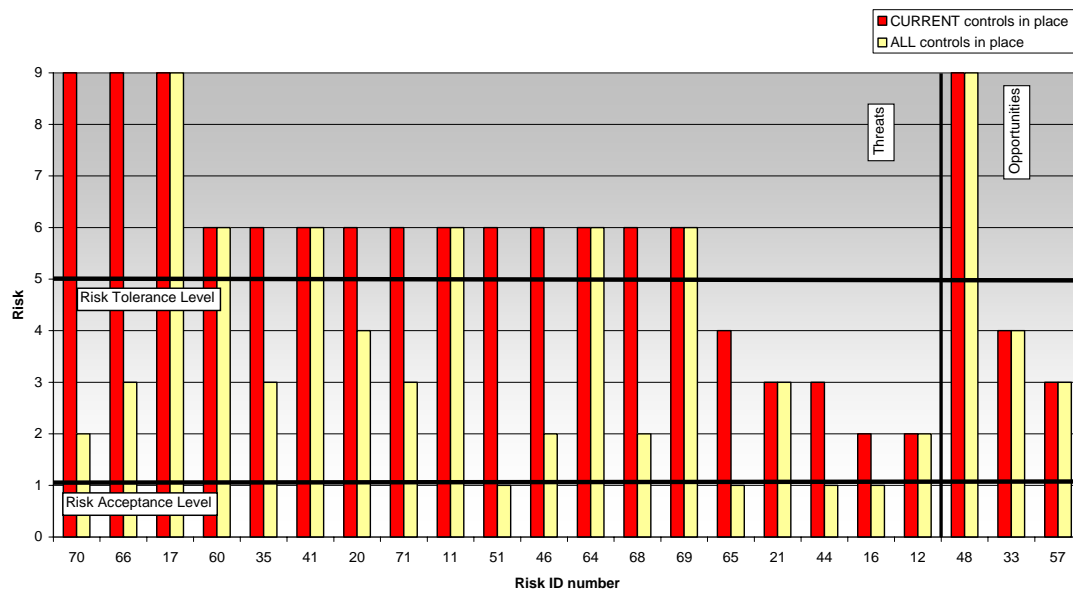
## 10 Graphical representation of the Corporate Risk Register

This section aims to provide Members with an overall impression of the level and type of risk environment in which the Fire Authority is currently operating.

Graph 1 shows the impact that the risk control measures, currently in place, are having on each of the individual threats and opportunities that are currently 'live' in the risk register. This graph compares the CURRENT level of risk with the TARGET level of risk considered to be achievable if all control measures were fully implemented. As such, this graph provides Members with an indication of how much more work those controlling the risks think they have to do to get the risk down to its lowest practicable level.

Members should note that, whilst the aim of risk control for 'threats' is to reduce the level of risk, the purpose of risk control for 'opportunities' is actually to increase the likelihood and/or benefit to be gained.

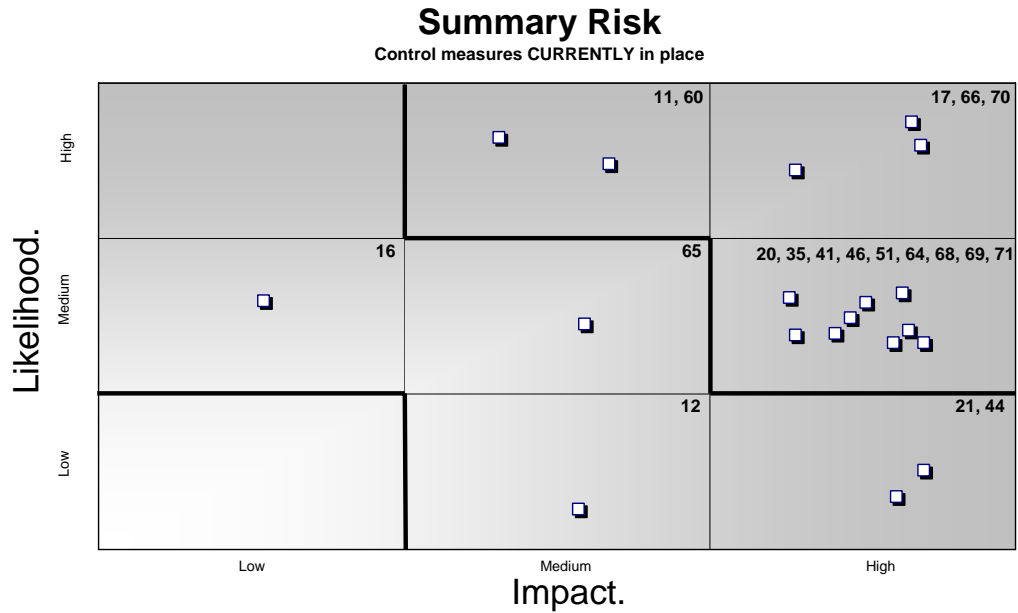
Detailed information about each of the threats and opportunities shown in Graph 1 is provided in the appendix.



**Graph 1 - Risk levels for all 'live' threats and opportunities in the Corporate Risk Register.**

Graph 2 maps all of the **threats** against their corresponding likelihood and impact ratings, based on the level of control CURRENTLY in place. Graph 2 does not include the three 'Opportunities'. It therefore presents a picture of the **known** risk that currently exists in the Fire Authority. The numbers in the upper right corner of each section of the graph are the Risk Identification numbers for the risks that sit in that particular portion of the graph. These numbers correlate to the Risk ID numbers given in the detailed risk summary table included as the appendix to this report.



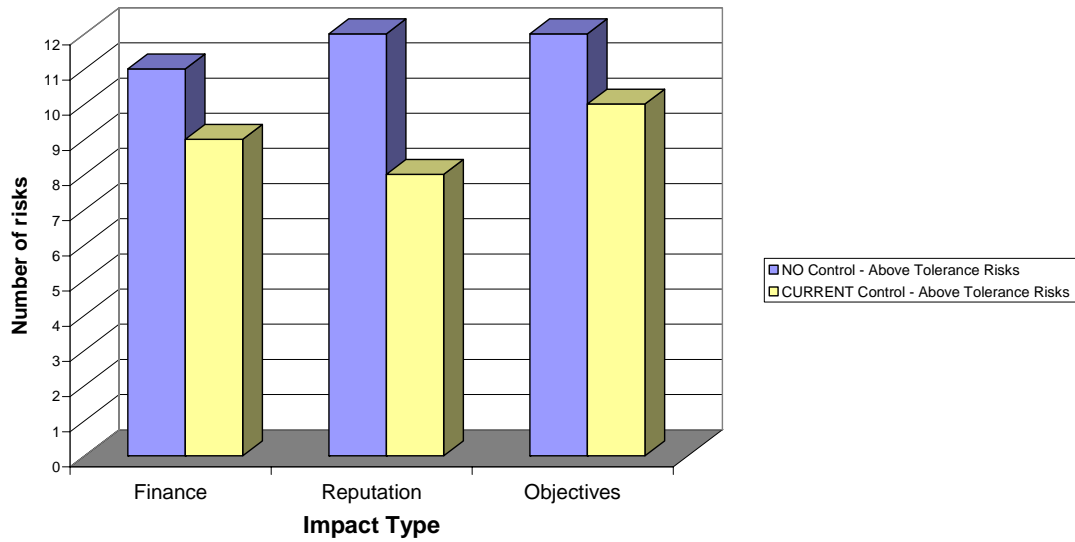


**Graph 2 - Overall risk levels with current levels of control in place**

## 11 Overall Summary

Whilst graphs 1 and 2 show that there are 14 risks that are currently assessed as being above the Fire Authority's 'Tolerance Level', this graph does not demonstrate which of the three impact assessments (financial, reputation or service objectives) is at greatest risk. Indeed, some of these risks could have a potentially significant impact on more than one of these areas. Graph 3 attempts to demonstrate this by showing how many risks are above the 'Tolerance Level', assuming firstly (in the blue column) that we had no risk controls in place and secondly (in the yellow column) that we have the current level of risk controls in place. Each of the three separate areas of impact, i.e. finance, reputation and objectives, is depicted in the graph.

### 'Intolerable' risks faced by the Fire Authority



**Graph 3 - Number of 'Intolerable' risks to which the Fire Authority is currently exposed, as assessed against each risk impact type**

The graph suggests that the Fire Authority is currently facing threats to all three risk types to a fairly similar extent. It also suggests that the Fire Authority's risk management process is having slightly greater effect on threats to its reputation, rather than its objectives or finances; a third of all reputation threats have already been reduced down to a tolerable level.

The most significant risks currently facing the Fire Authority are Risks 17, 66 and 70. Details about these particular risks, including how they are being dealt with, are given in the three boxes below.

**Figure 1 – Details about Risk 17**

<b>Risk ID:</b>	<b>17</b>
<b>Risk Description:</b>	<b>If the Retained Firefighters "Working Time" court case goes against Fire Authorities, then there is potential for this Authority to have to pay significant sums of money out in court costs, and backdated pension contributions.</b>
<b>Risk Owner:</b>	Alan Taylor (Chief Fire Officer)
<b>Control Owner:</b>	Keith Dixon (Treasurer)
<b>Risk Score based upon:</b>	
a. NO Controls in place:	9
b. ALL Controls in place:	9
c. CURRENT Controls in place:	9
<b>Actions taken to date:</b>	
Information on the outcome of the court judgment and its possible consequences for this Authority was presented in a report to the Fire Authority on 30 <sup>th</sup> April (report 19). That information remains current.	

**Figure 2 – Details about Risk 66**

<b>Risk ID:</b>	<b>66</b>
<b>Risk Description:</b>	<b>If the FireLink/FiReControl projects are not effectively managed they may have a significant impact on current and future service delivery. Risks relate to effective management of costs, resources and functionality, prior to, during and post-implementation. Amalgamation of risks ID. 26, 32 and 47</b>
<b>Risk Owner:</b>	Alan Taylor (Chief Fire Officer)
<b>Control Owner:</b>	Executive Group
<b>Risk Score based upon:</b>	
a. NO Controls in place:	9
b. ALL Controls in place:	3
c. CURRENT Controls in place:	9
<b>Actions taken to date:</b>	
<b>February 2008</b>	Initial meeting held with various departmental practitioners, from within the Brigade, which took an overview of the RMB RCC risk register and previous risks included in the Corporate Risk Register.
<b>May 2008</b>	Report on outcomes from the discussions by the practitioners was taken to Policy Group. It was agreed that the Executive Group should meet to discuss this issue on a regular basis.
	Executive Group's initial meeting to discuss the risks from the RCC project. List of agreed controls, both current and additional required, were captured in the minutes for that meeting.
	Meeting held between all of the Brigade Project Leads, Regional Project Manager (Neil Backes) and the RMB Risk Manager (Andy Johnson) to discuss and update the risks included in the RMB Risk Register.
	The LACC ratified the Initial Staffing Pool (ISP) plan which detailed the timetable and staffing numbers required by each Brigade as they move across to the Regional Control.
	A workshop involving practitioners from all Brigades was held to specifically look at the potential risks likely to be incurred through the implementation of the ISP.

**Figure 3 – Details about Risk 70**

<b>Risk ID:</b>	<b>70</b>
<b>Risk Description:</b>	<b>If Equality and Diversity is not fully mainstreamed and integrated into all Authority activities, there will be adverse impact on financial, ethical and service delivery issues.</b>
<b>Risk Owner:</b>	Alan Taylor (Chief Fire Officer)
<b>Control Owner:</b>	Lisa Vickers (HR Manager)
<b>Risk Score based upon:</b>	
a. NO Controls in place:	9
b. ALL Controls in place:	2
c. CURRENT Controls in place:	9
<b>Actions taken to date:</b>	
<p>Details about the progress being made in managing this risk were included in a report to the Fire Authority on 30 April 2008 (report 13). The following activities have been undertaken since that report:</p> <ul style="list-style-type: none"><li>• Further Equality Impact Assessment (EQIA) training for Senior Managers</li><li>• The Service's Equality Standard for Local Government (ESLG) Self Assessment Report has been completed and sent off to the auditors. The EQIA process and procedures have been updated to reflect current best practice.</li><li>• The Service's EQIA 3 year plan has been developed and good progress is being made towards completion of the Year 1 activities.</li></ul> <p>All of this work continues to be coordinated and monitored by the Equality and Diversity Steering Group.</p>	

## **12 Legal Comment**

There is no legislative duty for the Fire Authority to assess the risks to which its business objectives are faced. Corporate Risk Management does, however, form a fundamental element of good corporate management practices.

The Fire Authority has the power to act as proposed in this report. Care will need to be taken to ensure that the provisions of Schedule 12A of Local Government Act 1972 are correctly applied.

## **13 Equality Impact Assessment**

Officers have considered the Service's Brigade Order on Equality Impact Assessments (Personnel 5 Part 2) and have determined that the information contained within this report is purely historical summary data. As such it contains no proposals for changes to current policies and procedures which could involve discriminatory practices or differential impacts upon specific groups. An Initial Equality Impact Assessment has, therefore, not been completed.

## **14 Appendix**

Detailed information on all current entries in the Corporate Risk Register

## **15 Background Papers**

### **Shropshire and Wrekin Fire Authority**

30 April 2008, Report 13 – Equality Standard for Local Government

30 April 2008, Report 19 - Retained Firefighters and the Part-Time Workers Regulations - Tribunal Outcome

Implications of all of the following have been considered and, where they are significant (i.e. marked with an asterisk), the implications are detailed within the report itself.

Balanced Score Card		Integrated Risk Management Planning	
Business Continuity Planning		Legal	*
Capacity		Member Involvement	*
Civil Contingencies Act		National Framework	
Comprehensive Performance Assessment	*	Operational Assurance	
Efficiency Savings		Retained	
Environmental		Risk and Insurance	*
Financial	*	Staff	
Fire Control/Fire Link		Strategic Planning	*
Information Communications and Technology		West Midlands Regional Management Board	
Freedom of Information / Data Protection / Environmental Information		Equality Impact Assessment	*

**Detailed information on all current entries in the Corporate Risk Register (in order of 'Current Risk' level)**

Threat or Opportunity	Risk ID	Description	Risk Owner	Control Owner	Risk with NO Controls	Risk with ALL Controls	Current Risk	Links to other risks	Review Status
Threat	70	If Equality and Diversity is not fully mainstreamed and integrated into all Authority activities, there will be adverse impact on financial, ethical and service delivery issues.	Alan Taylor	Lisa Vickers	9	2	9		Review COMPLETED
Threat	66	If the FireLink/FiReControl projects are not effectively managed they may have a significant impact on current and future service delivery. Risks relate to effective management of costs, resources and functionality, prior to, during and post-implementation. Amalgamation of risks ID. 26, 32 and 47	Alan Taylor	Executive Group	9	3	9	26, 32, 47	Review COMPLETED
Threat	17	If the Retained Firefighters "Working Time" court case goes against Fire Authority's, then there is potential for the Authority to have to pay significant sums of money out in court costs, and backdated pension contributions (Emp Circular 20/2005).	Alan Taylor	Keith Dixon	9	9	9		Review COMPLETED



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Threat	46	By undertaking a cultural audit, staff expectations will be raised and the identification of significant issues could result in a large increase in work load for the service and a reduction in morale if expectations are not managed/met.	Louise McKenzie	Lisa Vickers	6	2	6		Review COMPLETED
Threat	11	If the county suffers a harsh winter, then there is a chance that the Service will not be able to deliver an appropriate level of service to the people of Shropshire.	Paul Raymond	Martin Timmis	9	6	6	20	Review COMPLETED
Threat	35	Information exempt from publication by virtue of the Local Governments Act 1972, Schedule 12A, paragraph 4.	Alan Taylor	Paul Raymond	6	3	6	12, 23, 36	Review COMPLETED
Threat	20	If the organisation is not able to use its buildings, its people and/or its other resources due to a disaster scenario, then it is unlikely to be able to deliver essential services to the communities of Shropshire (not including strike action).	Alan Taylor	Andy Johnson	6	4	6	35, 11	Review COMPLETED
Threat	41	The current push by government for centralised purchasing of Fire Service products and services (FiReControl and FireBuy etc) could impact on the commercial viability of the Authority's current contracts.	Alan Taylor	Andrew Kelcey	9	6	6	30, 32, 47	Review COMPLETED

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Threat	71	If the paper records held by the Fire Safety department were damaged or destroyed by a catastrophic event, then the Service would not be able to fulfill its fire safety enforcement role as effectively.	Paul Raymond	Mike Ablitt	6	3	6		Review COMPLETED
Threat	51	If the Brigade's data quality systems lack the appropriate quality processes and controls, then the Brigade's funding and its allocation of resources against stated objectives may be compromised.	Alan Taylor	Helen Jones	9	1	6	21, 16, 26, 44, 48	Review COMPLETED
Threat	64	If the implications of the Government's proposals for the Long Term Capability Management of all 'New Dimensions' assets (as described in FSC 26/2007) are not fully considered, then there is a risk that the Authority's budgets may be detrimentally impacted into the future.	Alan Taylor	Paul Raymond	6	6	6	33	Review COMPLETED
Threat	60	Organisation structural changes to the council in Shropshire, as a result of the recent Local Government White Paper, could present potential threats to the way the Fire Authority achieves its strategic objectives, depending on the shape and structure any new Unitary Authority.	Alan Taylor	Paul Raymond	6	6	6	57	Out for REVIEW

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Threat	68	If the Brigade does not have policies and procedures, relating to water rescue incidents, that effectively balance the risks to staff versus the risk to the public, then the Fire Authority could be subject to prosecution under health and safety law or a significant loss in reputation.	Paul Raymond	Martin Timmis	9	2	6		Out for REVIEW
Threat	69	If the Authority does not take full account of the implications of Comprehensive Area Assessment and the new local government performance management framework, then its reputation as a strong performing Authority could be impacted.	Alan Taylor	Steve Worrall	9	6	6		Review COMPLETED
Threat	65	If the implications of the various ICT projects, currently ongoing in the Brigade, are not coordinated, then there is a risk that the individual projects will not be implemented effectively.	Steve Worrall	Helen Jones	6	1	4		Review COMPLETED
Threat	21	If the Authority does not meet all financial regulations, then it may be subject to fraudulent activity, unnecessary or illegal (ultra-vires) expenditure.	Alan Taylor	Keith Dixon	9	3	3		Out for REVIEW

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Threat	44	There are risks inherent in the Fire Authority working in partnership with other agencies/groups. If these are not properly controlled they could potentially impact on the financial standing and reputation of the Fire Authority.	Alan Taylor	Paul Raymond	6	1	3	30, 32, 41	Review COMPLETED
Threat	16	If the Brigade does not have appropriate procedures in place to meet the requirements of the Data Protection Act, then it may be subject to penalties.	Steve Worrall	Helen Jones	6	1	2		Review COMPLETED
Threat	12	If neighbouring brigades suffer industrial action, then the support from those brigades during large incidents in our county is likely to be reduced thereby impacting on our ability to deal with incidents effectively.	Paul Raymond	Martin Timmis	2	2	2	35, 36	Out for REVIEW
Opportunity	48	If the Authority does not monitor its budgets closely then it could miss the opportunity to reinvest identified under-spends where this occurs in its various budgets, or take action to deal with any loss of service that may have occurred.	Alan Taylor	Joanne Coadey	3	9	9		Review COMPLETED

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Opportunity	33	If the Authority is not clear as to the rules that apply to Governments specific Funding, then it could miss the opportunity to seek additional funding for the activities it is required to undertake in order to meet the Government's Modernisation Agenda and local priorities.	Alan Taylor	Keith Dixon	4	4	4	64	Out for REVIEW
Opportunity	57	Organisation structural changes to the council in Shropshire, as a result of the recent Local Government White Paper, could present potential opportunities to the way the Fire Authority achieves its strategic objectives, depending on the shape and structure any new Unitary Authority.	Alan Taylor	Paul Raymond	3	3	3	60	Review COMPLETED