Corporate Risk Management Summary

Report of the Chief Fire Officer

For further information about this report please contact Rod Hammerton,
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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 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.

Risk Acceptance and Risk Tolerance Levels
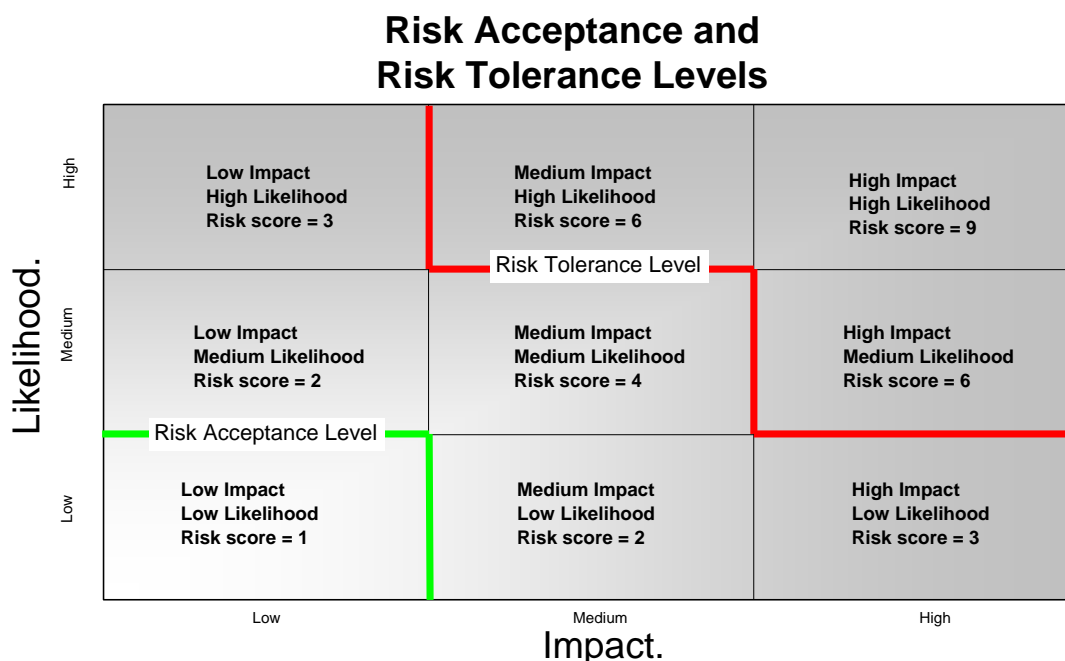
5 Risk Management Process

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 the successful payroll runs using Fire Service Rota (FSR), all the major activities to mitigate against the potential loss of functionality for the replacement Finance, HR and Payroll systems have been implemented. A recommendation to remove this risk from the Corporate Risk Register will be presented to Risk Management Group (RMG) in October.

The risks relating to the Command and Control System and the ICT infrastructure have been downgraded following a reduction in the number of reported faults over the last 12 months.

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 12 – Exempt Section of Corporate Risk Register

11   Background Papers

There are no background papers associated with this report.

Appendix A to report on
Corporate Risk Management Summary
Shropshire and Wrekin Fire and Rescue Authority
Standards, Audit and Performance Committee
18 September 2019

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.	2	2	4	→	Ged 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
Information	Rod Hammerton	30/9/2015	There is a risk that the Emergency Services Mobile Communications Project (ESMCP) will not deliver in time for when the Airwave contract expires. There is also a risk that the level of coverage across Shropshire will not be available as it is based upon 4G which is currently not available in Shropshire.	1	1	1	↓	Sally Edwards

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Categories of Risk	Raised by	Date Raised	Description	Current Probability	Current Impact	Current Risk Rating	Direction of Travel	Owner
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	Ged Edwards	24/8/2017	The tight timescales for migrating across to a new provider for Payroll, HR and Finance systems may result in a short term degradation in system functionality.	1	1	1	↓	Ged Edwards
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.

Appendix B to report on
Corporate Risk Management Summary
Shropshire and Wrekin Fire and Rescue Authority
Standards, Audit and Performance Committee
18 September 2019

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	01/04/2012	Adopt robust processes for ensuring data is entered into departmental systems correctly and consistently. (In progress see action history) System ownership should be allocated to departmental managers and administration of systems should be appropriately assigned. (In progress see action history) Process mapping of all major departmental systems that generate reporting at a corporate level should be undertaken. (In progress see action history) 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)	4	August 2019 The original roll out plan to provide dashboards to all departments is complete. Work is continuing on the dashboards as part of the introduction of HR, Training and Fire Service Rota (FSR) systems. The first set of reports from FSR are now ready to be demonstrated to Area Command. However, capacity within the team is having to be managed as demand increases. # As a consequence, this risk will remain open until at least the introduction of reports through FSR and a further review of forthcoming activities.

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	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) 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) The full assessment will consider whether any further actions need to be addressed in order to mitigate against potential poor performance/contract failure. (Ongoing).	9	August 2019 Ongoing - Brexit impact on supply chains has now been identified as a national risk and is being addressed by NFCC Procurement, with a request that individual Brigades do not also approach suppliers. Initial NFCC documents are not specific to particular suppliers or high risk items.
Security & Resilience of the C&C System	Information	Sally Edwards	01/01/2012	Backup of C&C (Ongoing) Replication off-site (Work complete. BC Exercise to be undertaken) Implement procedures for anti-virus and patch updates MDT hardening (Completed see action history)	3	September 2019 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.

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
				Move C&C LAN to a virtualised environment (Completed see action history) Implement new Station End Equipment (SEE) (Completed) Increase the SLA levels with the WAN (Wide Area Network) prior to roll out of new SEE. (Completed)		
Security & Resilience of IT Network	Information	Sally Edwards	01/08/2012	Implement the recommendations of the 2 internal audit IT reports (in progress) Review and improve internal policies and procedures (In progress) Defining IT team roles, responsibilities and competencies Implement 24/7 IT cover (complete) Implement management and reporting tools for preventative maintenance (In progress) Continually review and improve technical infrastructure (Ongoing)	2	September 2019 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.

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
				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)		
RDS Staff - European Working Time Directive "opt-out" option	People	Germaine Worker	17/03/2009	Maintain involvement in national CFOA People and Organisational Development Committee to be sighted on any indication of changes on the issue. (On going) Obtain legal advice at 6 monthly intervals to ensure that the legal picture hasn't changed. (On going) Specify the facility to monitor working time (as well as availability) when the procurement of an appropriate IT system for RDS finally happens.	1	August 2019 No further update - the position remains the same: The LGA have recently received some legal advice on the implications of this case. The Counsels advice and note is confidential and subject to legal privilege. To prevent loss of privilege the information can only be used for purposes of advising our internal clients on a strictly need to know basis. The advice refers to some similarities between Matzak's working practices and our RDS however our RDS have considerably more flexibility and individual discretion therefore it is less likely that all on call time would be considered working time under the WTD Regs.

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
Introduction of PSN/ESMCP	Service Delivery	Sally Edwards	30/09/2015	ICT Manager is currently researching other options for connectivity if 4G is not available and is also exploring the potential for collaboration with other Fire Services and other emergency services in Shropshire.	1	September 2019 Ongoing: Currently exploring new technologies to supplement the 4G network during peak demands. The Airwave contract has now been extended beyond 2020.
Changes from the Policing and Crime Act	Service Delivery	Rod Hammerton	17/03/2016	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 CFOA with the HO PCC has been invited as a non-voting participant in FRA Shrops, H&W and Warwickshire Police and Fire Collaboration Group formed and focusing on "quick wins" in its formative period. Shropshire, Herefordshire and Worcestershire (SHAW) Fire Alliance being cultivated to focus initially on technological collaborations. FRA and Officers actively engaged in PCCs development of a	6	August 2019 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). Fire alliance now in place. Four key projects are advancing.

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Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
				business plan to identify where PCC can add most value. This is to ensure SFRS are able to influence outcomes. Officers actively engaged in developing necessary plans and documentation for a successful transfer. 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.		
Rules that apply to Governments specific funding	Finance	Joanne Coadey	23/09/2015	Officers and members will continue to lobby Government where appropriate. 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.	6	August 2019 No further update: The Service has reviewed and commented on the NFCC submission to the Treasury on the Spending Review, and will continue to participate in local regional or national initiatives regarding future funding

Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
Replacement Payroll, HR, Finance and Training Systems	Information	Ged Edwards	24/08/2017	The options to transfer over from SC to T&W to maintain using Resourcelink has now been agreed.	1	August 2019 All work has now been completed. Risk downgraded and will be removed following a recommendation to the next Risk Management Group (RMG) in October.
Cyber Security Risk	Service Delivery	Sally Edwards	19/07/2017	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 is conducting a full controls audit this year to check the IT environment is controlled and managed in line with best practice. 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.	6	September 2019 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.

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Risk Title	Risk Category	Risk Owner	Date Raised	Controls or Counter Measures	Risk Rating (current assessment)	Action History
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	September 2019 A review is currently being taken on the current contract for implementing the replacement ICCS as there have been delays incurred and some queries regarding the technical specification. The review will consider the options for minimising this risk and these will be presented to the Board for approval.
Impact of the new fitness standards	Service Delivery	Kev Faulkner	13/11/2018	Support and communication with staff. Potential to delay full implementation until April 2020 to allow staff to improve levels of fitness.	6	August 2019 We have now received the first fitness level report for 19/20 which shows a general increase in fitness standards across the Service with the exception of one station with a significant downturn in standards. The Area Group Command is investigating this, the station involved has not yet been provided with a treadmill or bike. The fitness reports will help determine the priority stations for equipment and support. The report is now a standing item on the Fitness Group meeting and Senior Management Team where performance will be monitored.

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