

Corporate Risk Management Summary

Report of the Chief Fire Officer

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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 as was receiving a quarterly report. The Standards, Audit and Performance (SAP) Committee will continue to receive these reports.

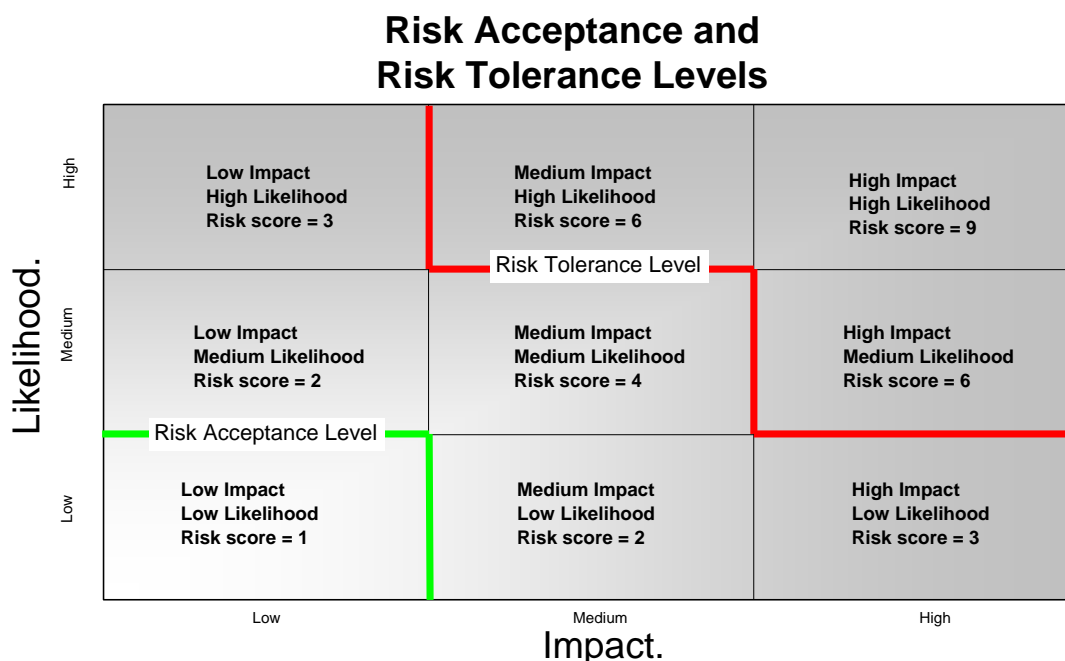
Following discussions with the Risk Member Champion and the Vice Chair of SAP, the format of this report has been varied from previous reports. Appendix A is a summary of the Corporate Risk Register and Appendix B covers all details that are captured about each risk on the register.

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 risks 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

There are no changes to the direction of travel for any of the risks currently on the risk register.

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 16 - Details of all Open Corporate Risk Register Entries (Exempt)

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. | 2 | 2 | 4 | → | 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 | 2 | 6 | → | 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 |
| 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. | 2 | 2 | 4 | → | 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 |

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|--------------------|---------------|-------------|---|---------------------|----------------|---------------------|---------------------|----------------|
| 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 |
| Service Delivery | Ged Edwards | 09/03/2020 | In the event of an outbreak of Covid 19 in the Service there is the potential to severely disrupt all day to day Service functions. | 3 | 2 | 6 | → | Simon Hardiman |
| People | Andrew Kelcey | 26/02/2020 | The risk that we are entering into new activities without fully assessing and meeting the PPE requirements. It may be that PPE used is not appropriate for the specific risk faced. | 2 | 1 | 2 | → | Andrew Kelcey |

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

| 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 | 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> | 4 | 1 FTE appointed successfully and started in post on 1 October. |
| 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) | 6 | Further reviewed to consider potential Brexit implications |

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|---|---------------|---------------|-------------|--|----------------------------------|----------------|
| | | | | <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> <p>09/03/2020 -A review of critical goods or supplies will be carried out and stock levels held by suppliers or in our own stores will be assessed and increased if necessary. (Ongoing).</p> | | |
| Security & Resilience of the C&C System | Information | Sally Edwards | 01/01/2012 | <p>Backup of C&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> <p>MDT hardening (Completed see action history)</p> <p>Move C&C LAN to a virtualised environment (Completed see action history)</p> | 3 | No change. |

| Risk Title | Risk Category | Risk Owner | Date Raised | Controls or Counter Measures | Risk Rating (current assessment) | Action History |
|-------------------------------------|---------------|---------------|-------------|---|----------------------------------|---|
| | | | | <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> <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> | 2 | Hardware refresh in progress. Market discover for WAN replacement also under way. |

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|---|------------------|---------------|-------------|--|----------------------------------|----------------|
| 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 CFOA with the HO</p> <p>PCC has been invited as a non-voting participant in FRA</p> <p>Shrops, H&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> <p>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,</p> | 4 | No change. |

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|--|------------------|---------------|-------------|--|----------------------------------|---|
| | | | | Control, IRMP and procurement. The primary objectives of the Alliance are to create capacity and resilience for both organisations. August 2019 Fire Alliance now in place. 4 key projects advancing. | | |
| 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 | Spending Review will now be a one year rather than a three-year settlement, which will prolong uncertainty. No confirmation on grant covering pensions contributions increase for 21/22. Estimated shortfalls in collection fund and council tax base have been modelled and reserves were increased at the end of 19/20 to cover first year shortfall. |
| 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. | 6 | Remedial action work continues and currently assessing introducing multi-factor authentication for user sign on to improve security. |

| Risk Title | Risk Category | Risk Owner | Date Raised | Controls or Counter Measures | Risk Rating (current assessment) | Action History |
|---|------------------|----------------|-------------|--|----------------------------------|---|
| | | | | <p>There are a number of initiatives for improving staff awareness so they can protect themselves.</p> <p>The greatest vulnerability is maintaining specialist technical skills within the ICT team.</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 | Good progress, working towards going live at beginning of November but if there is any slippage at all, it will take place in new year to avoid Christmas break because of any additional risk that this would introduce. |
| 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 | All backlogs have been resolved and Wattbikes provided on all stations. A further 7 treadmills have also been provided. |
| Service disruptions due to Covid19 | Service Delivery | Simon Hardiman | 09/03/2020 | In the event of an outbreak of Covid 19 in the Service there is the potential to severely disrupt all day to day Service functions. | 6 | Due to new lockdown measures introduced on 5 November, the Service has undertaken a review of control measures alongside government guidance. Monitoring of absence levels continues and will be utilised to determine any further restrictions |

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|-----------------------------|---------------|---------------|-------------|---|----------------------------------|---|
| | | | | | | <p>to activities we deliver to our communities. A Covid response group has been established to deal with sudden impact issues, whilst the restoration group continues to bring services back on line whilst working in a restrictive environment. SFRS continue to work as part of a multi-agency response through LRF involvement and have adopted and embedded NFCC best practice risk assessments for all areas covered within the Tri-Partite agreement. Although the national lockdown is in place, SFRS continue to operate in a similar manner to when in tiered restrictions. This is due to the control measures developed to maximise the health, safety and wellbeing of our staff and communities during the pandemic.</p> |
| PPE for emerging activities | People | Andrew Kelcey | 26/02/2020 | The risk that we are entering into new activities without fully assessing and meeting the PPE requirements. It may be that PPE used is not appropriate for the specific risk faced. | 2 | No change |