

Hereford & Worcester Fire and Rescue Authority Strategic Risk Register

This register details key risks which the Service has identified and links into the Local Resilience Forum Community Risk Register and National Risk Register. These risks are supported by departmental and project risk registers. They are live documents which are updated on a regular basis to reflect changes in the Service and levels of risk and aligned to the Strategic objectives. To assist in the management of key risks they have been placed in the following sections: **Strategic, Operational, Regulatory, Financial, Reputation and Environmental**. [Please note all amendments/additional risks are indicated in blue.](#)

Direction of Travel

Pre Review Score

Review Risk Score

Inherent 227

Inherent 206 Decrease due to re-evaluation of original scoring + removal of risk 28

Residual 158

Residual 141 Downwards direction due to the above + accumulation of stronger management and continuity

A Strategic Risk	Key Risks
	1. Changes to political balance or focus creating difficulties in the strategic and operational direction of the Service
	2. Loss of key supplier/partnership
	3. Poor leadership leading to ineffective practices and failure to deliver services to required standard
	4. Inability to attract and/or retain key individual or groups of staff
B Operational Risk	5. Death or serious injury to a member of staff (RIDDOR reportable)
	6. Inability to maintain Operational functionality of Fire Control
	6a Firelink Project
	6bi Fire Control Project - Pre-cut over
	6bii Fire Control Project - Post cut over
	7. Failure to successfully defend legal action taken against the Authority
	8. Failure to maintain adequate staffing levels
	9. Failure of key ICT or other infrastructure system
	10. Death or serious injury to member of the public through our actions (RIDDOR reportable)
	11. Natural disaster or deliberate act effecting a major part of the local community including potential impacts of climate change on the Service
	12. Maintain Risk Critical training
	13. Unavailability of key item of equipment
	14. Failure to integrate Local Resilience Forum Community risk register into the Service continuity planning
	15. Inadequate Water Supplies

B Operational Risk (cont'd)	Key Risks
	16. Failure to comply with key regulatory requirements, including Fire & Rescue Services Act/Civil Contingencies Act/Health & Safety at Work Act
	17a Ineffective contingency in the Event of a Major Ill Health Epidemic affecting Service Level. 17b Industrial Action 17c.... Severe weather
C Regulatory Risk	18a Failure to maintain satisfactory audit assessment 18b Failure to provide “local transparency”
D Financial Risk	19. Failure to maintain effective financial planning and management processes including ineffective budgetary control
	20. Failure to manage major projects effectively
	21. <i>Now incorporated into Risk 18 above</i>
	22. Major fraud or corruption case
	23. Change in economic and/or political environment causing a reduction in real terms of grants and/or other income
	24. Failure of Financial System (i.e. payroll and payment to suppliers)
E Reputation Risk	25. Failure to effectively manage the media and obtain the desired media coverage
	26. Inappropriate behaviour by employees or Members
	27. Poor quality key information provided to Members/Personnel of the Authority/Service
	28. Failure to communicate key information effectively
F Environmental Risk	29. Failure to comply with relevant environmental legislation and directives

Risk Maps

<u>IMPACT</u>	<u>HIGH</u>	<p>IMPORTANT RISKS - MAY POTENTIALLY AFFECT PROVISION OF KEY SERVICES OR DUTIES</p> <p><u>6</u></p>	<p>KEY RISK- MAY POTENTIALLY AFFECT PROVISION OF KEY SERVICES OR DUTIES</p> <p><u>8</u></p>	<p>IMMEDIATE ACTION NEEDED - SERIOUS THREAT TO PROVISION AND/OR ACHIEVEMENT OF KEY SERVICES OR DUTIES</p> <p><u>9</u></p>
	<u>MEDIUM</u>	<p>MONITOR AS NECESSARY - LESS IMPORTANT BUT STILL COULD HAVE A SERIOUS EFFECT ON THE PROVISION OF KEY SERVICES OR DUTIES</p> <p><u>3</u></p>	<p>MONITOR AS NECESSARY - LESS IMPORTANT BUT STILL COULD HAVE A SERIOUS EFFECT ON THE PROVISION OF KEY SERVICES OR DUTIES</p> <p><u>5</u></p>	<p>KEY RISKS - MAY POTENTIALLY AFFECT PROVISION OF KEY SERVICES OR DUTIES</p> <p><u>7</u></p>
	<u>LOW</u>	<p>NO ACTION NECESSARY</p> <p><u>1</u></p>	<p>MONITOR AS NECESSARY - ENSURE BEING PROPERLY MANAGED</p> <p><u>2</u></p>	<p>MONITOR AS NECESSARY- LESS IMPORTANT BUT STILL COULD HAVE A SERIOUS EFFECT ON THE PROVISION OF KEY SERVICES OR DUTIES</p> <p><u>4</u></p>
		<u>LOW</u>	<u>LIKELIHOOD</u>	<u>HIGH</u>

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
1	Changes to political balance or focus creating difficulties in the strategic and operational direction of the Service	Chair of FRA CFO	8	<ul style="list-style-type: none"> Group leaders meet regularly with CFO/DCFO Good communication channels Availability of local working groups Seminars and training take place to reinforce good communication Stable and competent Principal Managers Team Effective management structure Interface with external bodies Formal structure of reporting to FRA membership Policy and Resources, Audit and Standards, Budget and BVPP Committee Chairman and Vice Chairman re-elected 2010 Improved Governance arrangements (LP) Strong link to new risk 23 Member Communication strategy (LP) 	7 5 ↓	3,4	H22 H23 H24	<p>Monitor central government guidance etc</p> <p>Extend links/communication with partners/groups both internally and externally (e.g. LRF)</p> <p>Regularly update Members/Officers on Risk/Business Continuity/Emergency Planning issues</p> <p>Privatisation (part or full)</p> <p>Change in political direction/policy changes</p> <p>Impact of Comprehensive spending review</p>	<p>Monitor closely political activity - local, regional and national government agencies and regulatory guidance</p> <p>Reorganisation of Committees and reporting structure</p>	<p>Strengthen inter-agency relationships (LRF's)</p> <p>Engage with Category 2 Responders.</p> <p>CFO group total place</p>

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2	Loss of key supplier/partnership	Director of Assets	7	<ul style="list-style-type: none"> Procurement consortiums used. (Uncertainty over proposed transfer of Firebuy function) Purchasing/Tendering process makes appropriate health and ethical checks including. Regularly review suppliers Key supplier business continuity arrangements confirmed including PPE Asset Manager Business Continuity planning guidance sent to all key suppliers Reviewed/updated contract Standing Orders SPI partnership Partnership Officer in place to monitor Improved Project & Partnership assurance in place SLA/MoU in place and reviewed on a regular basis Overall awareness has been raise Robust challenge to meet contractual obligations Local sourcing where appropriate Contract management 	7 5 ↓	3, 4	H22 H17 H18 H23 H24 H45 HL15 HL19 HL20 *AssetCo key supplier of numerous systems (see action) Economic Downturn Comprehensive Spending Review Monitor framework agreement (RL) Uncertainty of FireBuy future (MR)	Ensure adequate arrangements/security checks are adopted. Adopt common protocols *AssetCo key supplier of numerous systems (see action) Economic Downturn Comprehensive Spending Review Monitor framework agreement (RL) Uncertainty of FireBuy future (MR)	Monitor exposures to single/key suppliers and– ensure BCM plans/contingency are in place for current and new (BHs) *Budget Holders to monitor suppliers to recognise early supply change problems. Supplier strategy to mitigate supplier risk. Economic downturn FRA paper All future contract to include confirmation business continuity arrangements	Joint procurement Procurement references FireBuy Partnerships changing focus – no detrimental effect on the Service. Increase presence at the table/influence/understanding of our Service Total Place

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
3	Poor leadership leading to ineffective practices and failure to deliver services to required standard	Chair of FRA	6	Key Perf Indicators. <ul style="list-style-type: none"> • Good support mechanisms • Internal/External Audit • Charter Mark • Group Leaders support/assistance • Communication Strategy • Standards Committee Audit Committee monitoring • Monitoring/Clerk Officer • Corporate Governance arrangements • Service policies/ instructions • Leadership Training Programme • Centre of Excellence • People Strategy (HR) • Cultural change programme • Members communication strategy 	3 6 ↑	2, 3		Restructure of directorates	Member and Officer Training Refocused senior management team	

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4	Inability to attract and/or retain key individual or groups of staff	CFO	9 6 ↓	<ul style="list-style-type: none"> Staff evaluation all personnel Awareness Days Intermediary system in place Flexible working arrangements Training and personal development Cultural work – Communication Strategy IPDRs Induction/Exit Interviews NFFST Review completed for RDS Waiting lists – awaiting appointment Rolling programme recruitment and awareness days Performance indicators (female/ethnic minority recruitment. Succession planning for Retained personnel (HR) 	5 3 ↓	2, 3		<p>Failure to maintain operational competence because of lack of skills base/operational experience/no succession planning. Retained recruitment</p> <p>Regional Fire Control retention issues (HR)</p>	<p>Monitor female/ethnic minority recruitment (HR)</p> <p>Introduce succession planning for support staff</p>	<p>Large pool of potential staff due to the current economic climate</p> <p>Monitor apprentice scheme opportunities</p> <p>Accelerated training opportunities enhanced(TP)</p>

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
5	Death or serious injury to a member of staff (RIDDOR reportable)	CFO	8	<ul style="list-style-type: none"> Statutory compliance Operational procedures in place Regular Training given Information readily available Operational debriefs Near miss reports Personal protective equipment - first class equipment (Total Care package) Research and development on any equipment that is purchased Senior Accident Investigators Operational assurance Peer review Debriefs Operational/Risk Assurance in place Major Incident protocol in place/tested Corporate manslaughter training completed Monitor equipment note information and subsequent guidance 	6 6 ↩ →	2	H1, H11, H12 H17 H18 H22 H23 H24 H28 H4 H5 H7 H8 H9 HL1 HL10 HL11 HL12 HL14 HL15 HL18 HL19 HL2 HL20 HL22 HL24 HL3 HL7		Consider further training implications for the Service Continue to monitor injury performance statistics Training element of RDS plan	Funding opportunity for RDS

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6	Inability to maintain Operational functionality of Fire Control	ACFO Service Delivery Director Service Delivery	9	<ul style="list-style-type: none"> Internal Operating procedures in place Mutual assistance arrangements with Shropshire Engagement with Regional Control ICT Secondary Fire Control Droitwich strengthened to enable resilient call handling to be maintained (Stand-alone laptop) Call-out arrangements which support ICT networks (internal/externally) in place Reviewed current Emergency Plan procedures/exercised Task & Finish group Regular FRA updates 	8 6 ↓ (8 MR)	1, 3, 4	H18 H22 H23 H24	<ul style="list-style-type: none"> Incident call management arrangements Review all Fire Control functionality. (Priority) Timescales for migrations to regional Fire Control are moved 2013 cut-over running late Unable to support current mobilising equipment (Integrity of existing systems) Loss of control due to breakdown in call-management systems Failure to secure data. Loss of key staff, knowledge and skills Retention arrangements for staff 	<p>Ongoing costs for maintaining Fire Control to account for potential delay in RC C</p> <p>Current mobilising equipment (Integrity of existing systems)</p> <p>Redundancy package released by CLG</p>	<p>Regional Fire Control</p> <p>Shared Contractual arrangements with Shropshire FRS</p> <p>Evaluation of options for transitional resilience mobilising arrangements should the need arise</p>



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6a	<p>Firelink Project</p> <p>Failure to meet the objectives of the project within agreed timescales</p> <p>Failure to secure adequate maintenance agreements</p> <p>Inability to maintain operational functionality of both current and new Radio system</p> <p>Loss of key staff, knowledge and skills</p> <p>Failure to manage interim period for FireLink – any delay in Fire Control will warrant a review on the interim arrangements</p> <p>Increase usage costs associated with the project now the responsibility of H&W</p> <p>Failure to complete project within the agreed timescales</p> <p>Failure to manage cost escalation – aligned with RCC Cut Over</p> <p>Cessation of Government funding in year 3 2013/14</p>	<p>Chief Fire Officer</p> <p>Deputy Chief Fire Officer</p> <p>Project Manager</p>	9	<ul style="list-style-type: none"> Dedicated staff and plan in place to oversee project Regional Risk Register agreed/monitored Dedicated staff in place to oversee project Airwave tested Risk Assessment 	<p>6</p> <p>3</p> <p>↓</p>	1, 3, 4	H17, H23, H22, H41, H45	<p>Change in political direction</p> <p>Supplier implication</p>	<p>Monitor closely the government direction on RCC</p> <p>Phase C</p>	<p>Improved capability</p> <p>Improved resilience</p>



Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
6bi	<p>Fire Control Project – <i>Pre-cut over</i></p> <p>Failure to secure sufficient funding for the transition plan</p> <p>Failure to deliver the objectives of the project</p> <p>Failure to complete project within the agreed timescales</p> <p>Loss of key staff, knowledge and skills (there is a regional management structure for the project)</p> <p>Timescales for migrations to regional fire control are moved</p> <p>Failure to measure impact on the Service</p> <p>Failure to secure data (PDA)</p> <p>RCC</p>		8	<p>Shared option with neighbouring Services</p> <p>RCC Members agreement</p> <p>New contract extension in place based on an “annual” contract renewal basis due to the uncertainty of RCC cut over date. Contract will be split into 2 parts: a) MIS, b) Mobilising to ease transition to RCC.</p> <p>Dedicated Fire Control Project Co-ordinator</p> <p>All existing Fire Control functions/assets and components report in place.</p> <p>Clear technical understanding of contractual agreements with key suppliers must be secured to measure the resilience of call handling. Business Continuity arrangements with those suppliers must be in place</p>	<p>8</p> <p>↔</p> <p>8</p>	1, 3, 4		<p>Risk Assessment for Integrity of transitional arrangements and the Security of data</p> <p>Within pre-cut over period Fire Control ICT failure</p> <p>Change in political direction</p> <p>Cut-over date change</p> <p>Project uncertainty</p>	<p>Improved capability</p> <p>Improved resilience</p> <p>Last fire control to move to RCC – potential to benefit from others</p> <p>Recruit substantive staff for project role</p> <p>Replacement options</p> <p>Option appraisal intermediate arrangements</p>	<p>Improved capability</p> <p>Improved resilience</p>

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
6bii	<p>Fire Control Project – <i>Post cut-over</i></p> <p>Inability to maintain Operational functionality of Fire Control</p> <p>Lose of control due to breakdown in call-management systems</p> <p>Failure to secure data (PDA)</p> <p>Loss of key staff, knowledge and skills</p> <p>Failure to deliver the objectives of the project</p> <p>Failure to complete project within the agreed timescales</p> <p>Timescales for migrations to regional fire control are moved (plan for completion 2012)</p> <p>Failure to measure impact on the Service</p> <p>Failure to convert data (PDA)</p> <p>Budget impact to the Service increased - out of scope arrangements need to be budgeted for</p>	<p>CFO</p> <p>DCFO</p> <p>Project Manager</p> <p>Director of Corporate Services</p>	<p>9</p> <p>6</p> <p>↓</p>	<p>Implement exhaustive testing procedure to ensure functionality and resilience</p> <p>CFO must be satisfied with functionality prior to cut over</p> <p>Implementation funding</p>	<p>9</p> <p>6</p> <p>↓</p> <p>(3 MR)</p>	1, 3, 4		<p>Within pre-cut over period Fire Control ICT failure</p> <p>General Election implications</p> <p>Time gap between Go-Live date for Regional Fire Control and existing contracts with mobilising suppliers - current contract with 3TC expires on 31Dec 2014 with option to block extend for 6 monthly periods</p>	<p>Sufficient Funding required</p> <p>Regional Risk Assessment:-</p> <p>Integrity of transitional arrangements</p> <p>Security of data</p> <p>Contracts to be reviewed</p>	<p>Improved capability</p> <p>Live Regional Fire Control</p> <p>Improved resilience</p> <p>Last Fire Control to move to RCC – potential to benefit from others</p> <p>Recruit substantive staff for project role</p> <p>Shared resources (Mutual Aid)</p> <p>New arrangements (see risk 6)</p>

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7	Failure to successfully defend legal action taken against the Authority	CFO	6	<ul style="list-style-type: none"> • Right systems and processes in place. • Good professional advisors and legal advice (SLA approved/adopted/reviewed and monitored annually) • Incident investigated with trained personnel • Strong case studies records in place. • Debrief documentation available • Insurance for third party losses • Annual review of insurance provision • Investigation systems in place/tested • Preventative training in place • Legal support for employment matters • Reviwed process in place (RL) 	5 5 ← →	1, 3		Outcome of tribunals Potential increase insurance claims Compliance levels within technical fire safety Ongoing staff training required for investigative/legal procedures (interviewing/note taking information gathering) Employment tribunals training (RL)	Live Outstanding claims Quarterly meeting with SLA provider needs monitoring	Collaboration with other agencies

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8	Failure to maintain adequate staffing levels	Members CFO ACFO Service Support Director Corporate Services	6	<ul style="list-style-type: none"> Regular meetings with RB's NJC direction developed Trade Union Protocol National resilience (Mutual aid/new dimensions) BCM Plan Supplements Critical departmental BC plans in place including fall-back arrangements Home working policy ICT Portal access for critical staff Command structure Resilience Register live Monitoring sickness SharePoint operational resilience arrangements (degradation) Employment contractual arrangement Monthly establishment review meeting (RL) 	3 3 ↩ ➔	2, 4	HL47	Potential budget reduction (MR)		Multi-skilling Skills Audit



Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
9	Failure of key ICT or other infrastructure system For Fire control see Risk 6	ACFO Service Support Director of Assets	8	<ul style="list-style-type: none"> Continuity plans in place Secondary/Mirror back up systems in place 24/7 technical cover in place Annual Heath check – major supplier Alternative internet route in place Business contingency and disaster recovery arrangements finalised Critical equipment checks/register Training and specialist skills ongoing 	3 3  	3,4	H40 H41 H43 H45	Potential budget cuts - some ICT problems may take longer to resolve Insufficient server capacity for maintenance arrangements ICT interdependencies Link to RCC project	Monitor Business Continuity arrangements Absence of systems administrator Lack of a centralised database management Purchase back-up server	

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10	Death or serious injury to member of the public through our actions (RIDDOR reportable)	CFO	6	<ul style="list-style-type: none"> Dedicated programme for Training of drivers Incident Command system in place Operational procedures in place Legal guidance available Operational assurance Command training Reviewed Operational Assurance Debriefs/Accident investigation Major incident Protocol in place 	3 3  	1, 2	H1 H4 H5 H7 H8 HL1 HL10 HL11 HL12 HL14 HL18 HL19 HL2 HL20 HL22 HL3 HL7 HL8		Continue to track trends in statistics (LP) Do we require legal services available outside of office hours for hours	

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11	Natural disaster or deliberate act effecting a major part of the local community including potential impacts of climate change on the Service	Members CFO	8	<ul style="list-style-type: none"> Business continuity plan implemented and exercised Regional and Local Resilience Forum in place (RRF & LRF) Corporate Risk Group in place Joint Emergency response arrangements (JERA) National Coordination arrangements LRF exercise programme in place Member scrutiny report in place National Risk Register updated Work with National resilience Board embed protocols into the Service standard operating arrangements Governments response to Pitt (GRIP) ongoing SPI Spate conditions Exercises/training Experience bank expanded New Dimensions USAR Severe Weather plans 	5 5 ↔ ↔	1, 3, 4	HL17 HL18 H22 H22 H24 HL14 HL15 HL18 HL19 HL20 HL22 HL4 HL7	Build Business Continuity Supplements Review/Monitor/Exercise plans. Monitor potential impact to climate change	Exercises: Watermark Unite	Audits: National Capability, Audit Commission) External Agencies

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12	Maintain Risk Critical training	ACFO Service Support Director of Service Delivery	8 6 ↓	<ul style="list-style-type: none"> IPDR's Competence levels monitored Service Performance Indicators National Guidelines Operational assurance Hot fire training Recruitment programme People strategy Training programme Resilience Register Monitoring protocol for assessing operational competencies utilising Vector and Minerva Systems Active incident monitoring based on West Midlands model (JH) Training calendar Identified key players for BCM Assurance project group monitoring risks 	3 3 ↔	2, 3, 4		BA training replacement programme RDS training following RDS review Potential budget implications could affect training volume and standard	BA Project restarted Prioritise training requirements	

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
13	Unavailability of key item of equipment (MR/RL)	ACFO Service Support Director of Assets	6	<ul style="list-style-type: none"> Asset Manager appointed Procurement systems in place Firebuy in place Back-up suppliers Maintenance agreements in place Contract Directory Equipment testing programme in place Audit of equipment on a regular basis Monitor Contracts on a regular basis Redkite/Asset register. Communication tool (sharepoint for BA) Vehicle maintenance records 	3 6 ↑	3, 4		VMDs	<p>A number of injuries with new BA under investigation</p> <p>Review current contractual arrangements</p> <p>Cross border mutual aid for key items of equipment</p>	Purchasing power / resilience through FIREBuy

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14	Failure to integrate Local Resilience Forum Community risk register into the Service continuity planning	Chief Fire Officer	6	<ul style="list-style-type: none"> Community Risk Register Members of LRF forums Collation of lower tier Risk Register partners Improved resilience performance with LRF partners Silver/Gold training Embed INTEL process into CRR including exercise and training Sites identified within critical National RR to be included into INTEL process FSEC populated with flood risks Water Rescue/flood linked into IRMP Severe weather plan implemented Local risk register (Identifies multi agency lower tier risk) 	3 3  	3			Monitor Industrial action	

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15	Inadequate Water Supplies	ACFO Service Support Director of Assets	8	<ul style="list-style-type: none"> Hydrant inspections based on risk. Two full time technicians employed. Mains water failure notification 	6 ➡ ➡	1, 3, 4	H39 H45H L15	Hydrant checks risk based. Monitor supply failure Report completed for inspection program based on national risk based model – awaiting PMM decision (RL)	Hydrant checking resources Consider outsourcing	

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
16	Failure to comply with key regulatory requirements, including Fire & Rescue Services Act/Civil Contingencies Act/Health & Safety at Work Act, Equalities Act & Regulatory Reform Act	Member Chief Fire Officer	6	<ul style="list-style-type: none"> Assigned to individual POs Personnel pick up ongoing employment issues Single point of contact to the Clerk of the FRA Better Governance Forums Annual Review of Code of Corporate Governance Annual Governance Statement Fire & Rescue Services monthly bulletin are logged, actioned and monitored Action plans produced for new regulations and legislations. FRA members receive full minutes of PMM/Group Leaders meetings Performance and continuous scrutiny Strengthened Committee structure and support Risk Champions appointed LRF Forum membership Standing Orders reviewed on an regular basis Service Policy and Instructions to reflect changes in legislation Continuity Planning in place Data Security in place 	3 3 → ←	1,2 3, 4		<p>Issues arising from Atherstone Incident and any other improvement notices identified</p> <p>Outcome of H&S audit</p>	<p>Action audit trail required for CLG correspondence</p> <p>Internal audit of work surrounding other Service's improvement notices</p> <p>Action plan H&S audit (prioritising)</p>	Streamline processes and procedures

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17a	Ineffective contingency in the Event of a Major Ill Health Epidemic affecting Service Level	ACFO Service Support	9	<ul style="list-style-type: none"> Pandemic Flu Plan Business Impact Analysis completed Membership of Herefordshire & Worcs - Influenza pandemic planning group (IPPG) Internal exercise completed Participate in national, regional and local exercises COBR/Top line brief/Regional coordination/Silvers multi agency/HPA Live experience BC triggered – Pandemic Resilience Register BC departmental plans Critical functions indentified Fall-back arrangements CRMG/SRWG activated SharePoint – generic resilience arrangements Enhanced Industrial Action arrangements 	3	1, 3	H22 H23 H24 HL24	BC Training ongoing	Monitor current activity and national picture Induction and refresher training Exercise Programme: Finance HR ICT Facilities Ops logistics	Streamline processes and procedures
17b	Ineffective contingency in the Event of Industrial Action	Director Corporate Services	9		3 ← →					
17c	Severe Weather				3					

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18a	Failure to maintain satisfactory audit assessment	Deputy Chief Fire Officer Director Corporate Services	9 6 ↓	<ul style="list-style-type: none"> • Audit self assessment • Annual Charter Mark status maintained • IRMP consultation and action plan • Performance Framework in place • Quarterly Performance update to Senior Officers • Peer assessment and feedback • Members updated on a regular basis • CORVU performance software in place • Consultation workshops in place • Updated Key Lines of Enquiries • Annual Governance Statement/Evidence • Continue to review through performance planning • Annual Corporate planning 	6 3 ↓	1,2,3,4		Retention of key staff	Identify areas for improvement from CAA process Charter Mark status	Improved results Potential cost savings Potential for increased productivity Informs budget planning process Governments relaxation of Auditing (light touch)
18b	Failure to provide “local transparency”				3					

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19	Failure to maintain effective financial planning and management processes including ineffective budgetary control	Director of Finance Treasurer Members Director of Assets	8	<ul style="list-style-type: none">Finance SystemSLA’s reviewedBudget PlanningAsset Management PlanMonthly meetings with budget holdersRegular reports to PMMFinancial regulations in placeData Quality processReports to the FRA/Budget/Audit CommitteeProcurement strategies agreedBudget monitoring reportsMaintain effective budgetary controlInternal /External AuditAnnual Governance Statement/Code of Corporate GovernanceQualified professional staffMedium term financial strategy in placeCost benchmarkingSLA Assurance monies securely invested (Financial Investment Controls) Bank of EnglandFinancial BC Plan in place	6 6 ➡ ⬅	4			Monitor current economic downturn Exercise finance BC arrangements Insufficient funding to address planned and audited work	

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20	Failure to manage major projects effectively	Deputy Chief Fire Officer	8 6 ↓	<ul style="list-style-type: none"> Officer responsible for project office appointed Reporting mechanisms in place including risk escalation - residual risk rating above 7 PMM & FRA reports Identification of current and project forecasting in place Assurance monitoring Project managers trained Programme management and specialist support available CDM regs used in management of building project Leadership with clear understanding of project responsibility(TP) Robust arrangement for contractual monitoring (TP) 	6 3 ↓	1,2,3,4		<p>Fire Control Project</p> <p>ICP/PPE absolute deadline for replacement is 31 March 2011(RL)</p> <p>Risk Assurance indicates resource capacity shortfall with numerous projects coming on line at the same time</p> <p>CARP snagging issues</p> <p>ICT interdependencies</p>	FireBuy awareness of deadline of ICP/PPE replacement	Improved efficiency

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
21	Now incorporated into Risk 18 above									
22	Major fraud or corruption case	Treasurer Members Director of Assets	5	<ul style="list-style-type: none"> Financial regulations in place Policies/Instructions in place and reviewed regularly Audit investigation protocol ICT controls Audit anti-fraud checklist (Good Practice) National Fraud Initiative Reviewed Policies Fraud Corruption/ Whistleblowing Insurance arrangements in place SLAs with specialist Advisors Money laundering policy Audit plan Staff Training/Awareness 	3 3 → ←	3, 4		Monitor closely	Continue staff Training	
23	Change in economic and/or political environment causing a reduction in real terms of grants and/or other income	CFO Treasurer Chairman	8	<ul style="list-style-type: none"> Good financial planning Strategic planning Financial Investment Controls in place with SLA with Worcs CC Vigilant to future implications through monitoring Total Place PMM team preplanning options Meeting the challenge workshops with all staff 	6 9 ↑	3, 4		Change of Government and policy Economic downturn Comprehensive Spending Review outcomes National, regional and local financial pressures Changes in funding formula/allocation Failure to deliver corporate/business objectives(TP/LP)	Staff briefings timely/accurate (MR/RL)	Funding opportunities

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
24	Failure of Financial System (i.e. payroll and payment to suppliers)	Director of Finance Director of Assets	8 6 ↓	<ul style="list-style-type: none"> Finance System in place SLA with Worcestershire County Council Resilience arrangements in place 	6 3 ↓	4			Test BC plan	Shared services
25	Failure to effectively manage the media and obtain the desired media coverage	Group Leaders Clerk Chief Fire Officer	7 5 ↓	<ul style="list-style-type: none"> Press and PR Officer in place Good relationships with media Media training for key staff/member Media/ centrally coordinated Communications strategy in place Media manager Media Manager member of LRF communication working group Members handbook Prepared press releases for major events 	5 5 → ← (RL/ MR)	3		Effective 24 hour cover (RL)	Discuss	Shared Services

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
26	Inappropriate behaviour by employees or Members	Chairman of FRA Clerk Chief Fire Officer	8 5 ↓	<ul style="list-style-type: none"> Revised Code of Conduct in place Sufficient systems to reduce the likelihood of inappropriate behaviour in the workplace Regular reports to Standards Committee Management & Members training Ethical Framework adopted and cascaded through Service Behavioural standards included in Contracts of employment Rank to role including core values Whistleblowing Inductions and Exit Interviews Policies reviewed annually Continuation training 	6 5 ↓	2, 3		Abolition of standards board for England	Monitor behavioural standards by reference to internal/external complaints and discipline actions	

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
27	Poor quality key information provided to Members/ Personnel of the Authority/ Service	Chief Fire Officer Chairman of Authority Clerk Group Leaders	8	<ul style="list-style-type: none"> Open and accessible organisation Members training & handbook Meetings Minutes, matrix & Action plans Minutes of PMM available to staff/Members Business Impact Analysis Review policies annually Group Leaders meet with CFO Dedicated Committee Service team in-house SharePoint Members bulletin with key information published quarterly/ Member Communication Strategy Staff Communications Strategy inc staff bulletin Effective ICT infrastructure Developed effective communication with partner agencies through the LRF Information Sharing protocol in place BCM Exercise programme implemented Service Policy and Instructions eg Data Quality IPDR's Press & PR role PO visits to Service location Information Governance Group Staff Workshops H & S Liaison Committee Consultation with RB's SMT News Authority Plan NVQ process VMDs information IRS 	3 3 → ←	1, 2, 3,4		Management of e-mail	Further development of Intranet communication (Sharepoint)	Commercial opportunities? Commitment to improve Intranet capability (portal)

Risk	Risk Description KEY RISKS	Risk Owner	Inherent	Key Controls	Residual	Strategic Objectives	Community Risk Register	Emergency Planning and resilience issue	Actions	Opportunities
28	Now incorporated into Risk 27 above									
29	Failure to comply with relevant environmental legislation and directives	Members CFO Director of Assets	8	<ul style="list-style-type: none"> Asset Manger conducted a gap analysis Skills internally Member of Worcestershire/Herefordshire Partnership Climate Group Insurance covers specific actions. 	5 5 ➔ ➔	1,3,4		Limited insurance for clean up costs. Provided standard industry insurance conditions are met.	Energy Manager Real time energy monitoring Carbon footprint	

Completed by:	Head of Corporate Risk Emergency Planning and Resilience Officer
Date completed/Version Control	28 September 2010 Version V3.6
Risks reviewed	29
New Risks added	0
Risk escalated in the previous 12 month period	3
Risk removed	No.28
Reviewed by:	PO Consultation PMM Risk Champion Group Leaders FRA Membership
Date reviewed:	September/October 2010
Interim review	May 2011
FRA approved	December 2010
Next FRA Approval due	December 2011