

Report of the Head of Operational Support

Strategic Risk Register Review

Purpose of report

1. To provide the Audit and Standards Committee with the annual update on the Strategic Risk Register.
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Recommendations

It is recommended that the Committee note the contents of this report.

Background

2. Following the Worcestershire Internal Audit risk management audit in 2017/2018 and a subsequent review audit undertaken in December 2018 the Strategic and Departmental Risk Registers and supporting management systems have now been improved and fully embedded into HWFRS as part of the audit recommendations.
3. Department Heads are responsible for the completion of a quarterly risk register review, with support from the Emergency Planning and Resilience Officer (EPRO).
4. The Strategic Risk Register (SRR) is regularly reviewed at a Senior Management Board (SMB) meeting at the end of each quarter and owned by SMB.
5. The Risk Management Strategy is in the form of a Service Policy Instruction (SPI) which is in place for recording strategic high level risks within the Authority. These are usually identified through an escalation process within the departmental risk registers. The Risk Management Strategy SPI was last reviewed in April 2017 and is next due for review in April 2020.
6. The overall objective of the strategy is to ensure that the Authority identifies strategic risks and applies the most appropriate and cost effective control mechanisms to manage those risks, wherever possible. It also provides a robust audit trail for how the Service has considered and mitigated those risks should an issue become subject to scrutiny.
7. Identified risks should normally either be eliminated or reduced to an acceptable level, with systems in place to monitor and report against this. All risks at departmental level are evaluated by the responsible departmental manager for that area.

8. The residual risk after control measures have been implemented (if possible) is then recorded in the revised risk assessment, and included in the business continuity plan if appropriate. The highest and/or most prevalent risks can then be elevated to the SRR.
9. The quarterly reviews meet the requirements of the Audit and Standards Committee's terms of the requirement to monitor and review the Authority's risk management arrangements.

Strategic Risk Register

10. The purpose of strategic risk management is to effectively identify risks to the success of the organisation and put effective control measures in place to mitigate their effect. An example of strategic risk management of risk could be the planning and monitoring of the impact of industrial disputes at both local and national levels across several Representative bodies. To mitigate these risks to the Service there are numerous control measures in place, such as a robust and well exercised business continuity plan alongside monitoring with West Mercia Local Resilience Forum (WMLRF) partners and regular meetings with all the appropriate Representative Bodies.
11. Several bespoke Business Continuity Plans (BCPs) are linked to the risk registers and provide a significant control measure against those risks (such as; severe weather, industrial action, pandemic influenza, fuel shortages, etc.) these business continuity plans are either currently under review or have been recently reviewed (appendix 2).
12. The Business Continuity Policy, approved by SMB and published in May 2019 outlines the requirements of BCPs. The policy requires BCPs to be reviewed and tested regularly or after a Business Continuity Event.
13. The National Threat Level (move to critical) SPI is supported by a new BCP, due to be published imminently.
14. The overall responsibility for ensuring risks are managed effectively lies with the Authority as professionally advised by Officers. The live SRR outlines to Members the risk scoring for both likelihood and impact of each identified risk. It also reflects the updated National Risk Register which is intended to capture the range of emergencies that may have an impact on all, or significant parts, of the UK as well as internal risks. The National Risk Register drives the Community Risk Register held by WMLRF and is recognised in the Service's live SRR. From a Service perspective, the SRR also acknowledges departmental, project and partnership risks. SMB are also developing emerging local risks from the Local and Community Risk Registers within the Local Resilience Forum which may become strategic risk register issues in the future.

15. WMLRF is a multi-agency group comprising bodies within West Mercia such as local authorities, national and local health agencies, the three emergency services and the Environment Agency. The purpose of the LRF is to ensure effective delivery of the duties of the Civil Contingencies Act (CCA) 2004. This requires partner agencies to co-ordinate resources so they can respond effectively when incidents do occur. The LRF acts as not only a reliable conduit for information on pending risks providing a multi-agency planning forum, but also assists in testing and responding to the type of events that are likely to pose challenging business continuity issues for the Fire and Rescue Service.

Conclusion/Summary

16. Processes and frameworks are embedded in the management of the SRR and in the departmental level risk registers. There is continual monitoring and reviewing taking place at quarterly SMB meetings and middle management meetings to ensure risks are being used to drive business.
17. The Authority's Strategic Risk Register will be formally reported to Members annually, with significant changes being reported to the Audit and Standards Committee in a risk update.

Corporate Considerations

Resource Implications (identify any financial, legal, property or human resources issues)	None
Strategic Policy Links (identify how proposals link in with current priorities and policy framework and if they do not, identify any potential implications).	This paper is directly linked to current strategic policy decisions.
Risk Management / Health & Safety (identify any risks, the proposed control measures and risk evaluation scores).	The contents of this paper are underpinned by effective risk management and health and safety protocols
Consultation (identify any public or other consultation that has been carried out on this matter)	Not required
Equalities (has an Equalities Impact Assessment been completed? If not, why not?)	None

Supporting Information:

Appendix 1 – Strategic Risk Register (summary) 2018/19

Appendix 2 - Current Status of Strategic Business Continuity Plans

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Appendix 1

Strategic risk code	Consequences	Description of actions already taken or controls in place to mitigate the risk.	Residual score
SRR1 A widespread event or situation that leads to a significant loss of workforce in the workplace	Inability to deliver core purpose and over a longer term the inability to maintain core systems and/or deliver Service infrastructure and obligations (e.g. financial, legislative, departmental such as Fleet and ICT)	All Actions here are generic that are elaborated upon in the sub risks specific to this category. 1. Business Continuity Plans as outlined in the specific sub risks below. 2. Section 13/16 agreements that will mitigate a certain loss of workforce 3. Temporary Staffing arrangements 4. National Guidelines 5. Meetings with relevant stakeholders or Rep Bodies 6. AC Preece and EPRO participated in Worcestershire County Council and joint NHS Seasonal Flu exercise 7. Staff consultation process as a control measure for the pending move of SHQ to Hindlip Park.	9 Low
SRR1A Major ill health epidemic affecting service levels	Loss of a percentage of front line and/or support staff resulting in a reduction or loss in the ability to deliver the service that Hereford and Worcester Fire and Rescue Service provides, including but not exhaustive to Prevention and Service Delivery	1. Business Continuity Plans including pandemic influenza and severe weather plans. 2. NHS prioritisation of specific emergency service workers allows selective members of staff to be immunised. 3. Temporary staff arrangements either from temp agencies (support staff) or national brigades. 4. Section 13/16 agreements that are in place	6 Low
SRR1B Severe weather event(s) affecting service delivery	1) Loss of a percentage of staff due to several factors including but not exhaustive to: a) Inability for staff to travel into work b) School closures leading to a reduction in service delivery	1. Business Continuity Plans to deal with severe weather and flooding 2. National mutual aid arrangements and Over The Border agreements between Fire and Rescue Services for Mutual Aid are in place (However, if severe weather is regionalised this may not be possible)	6 Low
SRR1C Industrial disputes	1) Strike action for an unknown period of time of a percentage of frontline and or support staff 2) A period of action short of strike for an indefinite period of time which may result in a loss of extra activities such as but not including overtime. These may potentially result in an inability to provide services to the public as outlined in the FRSA 2004	1. Regular meetings with Representative Bodies to proactively maintain working relationships' 2. National Guidelines 3. Constant review of actions and guidelines 4. Business Continuity Plan for Industrial Action 5. National and Local Resilience Forum briefings 6. Work with National Joint Council 7. Industrial Action Management Group meetings and pre-planning 8. A review of the impact of the decision of the judges' legal case on pensions.	9 Low
SRR1D Inability to recruit or retain key parts of the workforce.	An inability to deliver and maintain core functions and systems, and/or significant impact on service delivery in core areas	1. Cover arrangements for stations if appliances are OTR. 2. BCP for loss of key departments or provisions for maintaining service provision. 3. Changes to Recruit training to create a more flexible approach to training to	8 Low

		<p>allow less impact on RDS Primary employment.</p> <p>4. Section 13/16 agreements to facilitate service provision.</p> <p>5. There is currently an ICT audit underway to review workloads and staffing.</p>	
<p>SRR2</p> <p>Continuous pressure of reductions in real terms of grants and/or other income affecting service delivery</p>	<p>1) Unable to deliver the same level of service/ Reduction in service</p> <p>2) Having to source funding from elsewhere</p> <p>3) Potential redundancies/ voluntary redundancies</p>	<p>1. Good financial planning and horizon scanning for future developments in Budget constraints</p> <p>2. Strategic planning to ensure ground work is done to prepare for budget alterations rather than react.</p> <p>3. Vigilant to future implications through monitoring</p> <p>4. Senior Management Board team preplanning options</p> <p>5. Meeting the challenge workshops with all staff</p> <p>6. Integrated Risk Management Plan refers and Service streamlining.</p> <p>Note: Residual risk is the same as inherent risk because neither likelihood or impact are changed by the control measures</p> <p>7. HWFRS efficiency plan has now been submitted and confirmed by the Government.</p>	<p>15 medium</p>
<p>SRR2A</p> <p>Loss of Section 31 National Resilience grant</p>	<p>Loss of funding causes:</p> <p>1) Removal of assets and capabilities provide for NR incidents.</p> <p>2) Inability to utilise these assets in local response plans a reduction in the services ability to provide an operational response to Local and National Section 31 incidents.</p> <p>3) Additional staff paid for through NR funding would become over establishment and require removal from Service establishment</p> <p>4) Interim funding would be required to manage these posts to avoid redundancy.</p>	<p>1) Amalgamation of the two separate units of USAR and Droitwich to create a combined fire and technical rescue team.</p> <p>2) Loss of posts via natural wastage.</p> <p>3) Explore the chance to reclaim finances through offering responses to other services. i.e. MOE for policy etc..</p> <p>4) Reserve Funding</p>	<p>8 Low</p>
<p>SRR3</p> <p>Death or serious injury of a member of staff whilst at work as a result of their work activities</p>	<p>1) Impact on other employees carrying out similar duties (e.g. Driving) 2) Reputational loss</p> <p>3) Investigations and legal proceedings and prosecutions.</p> <p>4) Financial implications of claims</p> <p>5) Departmental resilience issues</p>	<p>1. Professional training standards & Role maps being developed and maintained</p> <p>2. High quality of training in work related activities and quality PPE provision when required</p> <p>3. Robust Health and Safety Arrangements (Policies and Training in place) with current and up to date Risk Assessments for all work based activities.</p> <p>4. Procedures in place for dealing with a range of generic work based activities</p> <p>5. Legislation and Governance</p> <p>6. National, Regional and Local Frameworks</p> <p>7. Risk Management</p> <p>8. Asset Management</p> <p>9. Internal Assurance</p>	<p>6 Low</p>

<p>SRR3A Death of a member of staff as a consequence of an operational incident</p>	<p>1) Impact on other employees carrying out similar duties (e.g. BA wearing). 2) Reputational loss 3) Governmental and HSE scrutiny 4) Investigations and legal proceedings and prosecutions. 5) Financial implications of claims made 6) Workforce loss of confidence in organisation 7) Media Scrutiny</p>	<p>1. Professional training standards & Role maps being developed and maintained 2. High quality operational equipment and Personal Protective Equipment alongside robust Health and Safety Arrangements (Policies and Training in place) 3. Operational procedures and Standard Operating Procedures 4. Firefighter Safety remaining the top Organisational objective 5. Major Event Response Protocol in place and up to date 6. Legislation and Governance 7. National, Regional and Local Frameworks 8. Risk Management 9. Asset Management 10. Internal Operational Assurance</p>	<p>8 Low</p>
<p>SRR3B Death or serious injury of Member of Public through Service activities</p>	<p>1) Impact on other employees carrying out similar duties (e.g. Driving). 2) Reputational loss 3) Investigations, legal proceedings and prosecutions. 4) Financial implications of claims made 5) Departmental resilience issues</p>	<p>1. Professional training standards & Role maps being developed and maintained 2. Risk management- Gap analysis - using past incidents to tailor training and development 2. High quality operational equipment and Personal Protective Equipment 3. Operational Procedures and Standard Operating Procedures being reviewed and adhered to 4. Robust Health and Safety Arrangements including Policy and Training 5. Major Event Response Protocol in place. 6. Graded Response Policy</p>	<p>8 Low</p>
<p>SRR4 Significant changes to national policy which mean local reaction outside of planned work loads</p>	<p>1) Not correctly adhering to national policy which could mean that Hereford and Worcester Fire and Rescue Service are not fulfilling statutory or legal or moral duties, under one or more national policies.</p>	<p>1. Horizon scanning through Chief Fire Officers Association, Local Government Association and other networks. 2. Cultural acceptance of the need to be flexible. 3. Limited reserves to use on unplanned or unforeseen work. 4. Maintenance of local and regional 'decision influence' networks.</p>	<p>8 Low</p>

Archived risks: SRR1D(a)- transition to Hindlip, SRR5- 2020 Project Wyre Forest Hub, SRR6 2020 project Hindlip, SRR7 – New Evesham Fire Station

Appendix 2 – Current Status of Strategic Business Continuity Plans

BCP	Next Review date	New format
Business Continuity Plan/Policy	May-22	Y
Local or National Fuel Shortage	Mar-21	Y
Flooding	Feb-21	Y
Pandemic Flu	Feb-21	Y
Severe Weather - Heatwave	Feb-21	Y
Severe Weather - Low Temperature and Dense Fog	Sep-21	Y
Severe Space weather	Feb-21	Y
Bridge Closures	Review in progress	
Industrial Action	Jan-21	Y
Loss of ICT	Review in progress	
Loss of Major Supplier	Feb-21	Y
Loss of Utilities	May-21	Y
National Threat Level	Awaiting Policy sign off	Y