

Report of Assistant Director – Protection

Risk Management and Strategic Risk Register – Annual Update

Purpose of report

1. To provide the Audit and Standards Committee with an annual update on the Risk Management Framework and Strategic Risk Register.
-

Recommendation

It is recommended that the summary of strategic risks and existing controls measures set out in the appendix be noted and agreed.

Background

2. The overall objective of the Risk Management Framework 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 be subject to scrutiny.
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 reviewed at a Senior Management Board (SMB) meeting at the end of each quarter and is collectively owned by SMB and supported by the Emergency Planning and Resilience Officer (EPRO).
5. The Corporate Risk Management Policy was last reviewed in April 2017 and was due for review in April 2020. The Service has procured the guidance for the ISO standard 31000/2018 and IEC 31010/2019 for corporate risk management to support the review. There was a delay in completing this due to Covid-19 workload in 2020, however the review is currently in its final stages and due to be sent for consultation imminently.

Strategic Risk Register (SRR)

6. The SRR is the overarching document that looks at the highest impact risks. The highest and/or most prevalent risks from departmental risk registers can be elevated to the SRR as appropriate, through the discussion held at SMB as a standard quarterly agenda item.

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 each level are evaluated by the responsible manager for that area, normally a Department Head. The residual risk after control measures have been implemented, where possible, is then recorded in the risk assessment.
8. These quarterly reviews meet the requirements of the Audit and Standards Committee's requirement to monitor and review the Authority's corporate risk management arrangements.
9. Each strategic risk has either a business continuity plan(BCP) or policy linked to the risk; these plans or policies provide control measures and steps to mitigate against those risks, e.g. dealing with the death of a member of staff, severe weather, pandemic, fuel shortages, etc. Policies are reviewed approximately every three years.
10. The overall responsibility for ensuring risks are managed effectively lies with the Authority as professionally advised by Senior Officers. The live SRR outlines to Members the risk scoring for both impact and likelihood of each identified risk based on a matrix agreed by SMB.

External Considerations

11. West Mercia Local Resilience Forum (WMLRF) is a multi-agency group comprising of bodies within West Mercia including Local Authorities, national and local health agencies, the three emergency services and the Environment Agency, among others. The purpose of the LRF is to ensure effective delivery of the duties of the Civil Contingencies Act (CCA) 2004, which includes risk assessment. This requires partner agencies to assess local risks, undertake planning and co-ordinate resources so they can respond effectively when incidents do occur. The LRF acts not only as a reliable conduit for information on risks providing a multi-agency planning forum, but also assists in testing and responding to the type of events that are likely to affect our communities and pose business continuity issues for the Fire and Rescue Service.
12. The National Security and Risk Assessment (NSRA) 2019 is a national document intended to capture the range of emergencies that may have an impact on all, or significant parts, of the UK as well as local and internal risks. The NSRA informs the Community Risk Register held by the WMLRF Risk Assessment Working Group and this information is used to inform decision making on risk management.
13. SMB considers emerging local risks from the Local and Community Risk Registers within the LRF which may become strategic risk register issues in the future. The SRR also acknowledges departmental, project and partnership risks where relevant.

Changes from 2019/2020

14. In Q4 2021 the risk score of SRR1a (major ill health epidemic affecting Service levels) dropped from high to medium in response to improving situation of Covid-19 in the UK and overall staffing levels remained stable throughout the pandemic period.
15. In Q3 2020 SRR11 (change in property management services) was added in response to the transition away from Place Partnership to OPCC Estates.

Conclusion/Summary

16. The Strategic Risk Register and Departmental Risk Registers are a method for continual monitoring and reviewing the services risks by SMB and middle managers informing the Service's objectives and business goals overtime.
17. The Authority's Strategic Risk Register is 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)	Each risk carries potential resource implications. These vary in degree based on the type of risk and the and the scale by which they affect the service
Strategic Policy Links (identify how proposals link in with current priorities and policy framework and if they do not, identify any potential implications).	Each risk brings with it a potential impact on the Services ability to deliver against the CRMP and its core Response, Prevention and Protection strategies
Risk Management / Health & Safety (identify any risks, the proposed control measures and risk evaluation scores).	The risks listed within the SRR are tracked within departmental and district risk registers. Furthermore, the impact is assessed and mitigated within Business Continuity plans
Consultation (identify any public or other consultation that has been carried out on this matter)	N/A
Equalities (has an Equalities Impact Assessment been completed? If not, why not?)	An equalities impact assessment has been completed for the key risks linked to staff and the community.

Supporting Information

Appendix 1 – Summary of the Strategic Risk Register 2020/2021

Summary of the Strategic Risk Register 2020/2021

The full details of the register are available.

Strategic risk code	Consequences	Description of actions already taken or controls in place to mitigate the risk.	Residual score (April 2021)
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	8 Medium
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	8 Medium
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/ Medium
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 Medium
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 allow less impact on RDS Primary employment. 4. Section 13/16 agreements to facilitate service provision. 5. There is currently an ICT audit underway to review workloads and staffing.	8 Medium

<p>SRR2 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 2) Having to source funding from elsewhere 3) Potential redundancies/ voluntary redundancies</p>	<p>1. Good financial planning and horizon scanning for future developments in Budget constraints 2. Strategic planning to ensure ground work is done to prepare for budget alterations rather than react. 3. Vigilant to future implications through monitoring 4. Senior Management Board team preplanning options 5. Meeting the challenge workshops with all staff 6. Integrated Risk Management Plan refers and Service streamlining. Note: Residual risk is the same as inherent risk because neither likelihood nor impact are changed by the control measures 7. HWFRS efficiency plan has now been submitted and confirmed by the Government.</p>	<p>15 High</p>
<p>SRR2A Loss of Section 31 National Resilience grant</p>	<p>Loss of funding causes: 1) Removal of assets and capabilities provide for NR incidents. 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. 3) Additional staff paid for through NR funding would become over establishment and require removal from Service establishment 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. 2) Loss of posts via natural wastage. 3) Explore the chance to reclaim finances through offering responses to other services. i.e. MOE for policy etc.. 4) Reserve Funding</p>	<p>12 Medium/High</p>
<p>SRR3 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 3) Investigations and legal proceedings and prosecutions. 4) Financial implications of claims 5) Departmental resilience issues</p>	<p>1. Professional training standards & Role maps being developed and maintained 2. High quality of training in work related activities and quality PPE provision when required 3. Robust Health and Safety Arrangements (Policies and Training in place) with current and up to date Risk Assessments for all work based activities. 4. Procedures in place for dealing with a range of generic work based activities 5. Legislation and Governance 6. National, Regional and Local Frameworks 7. Risk Management 8. Asset Management 9. Internal Assurance</p>	<p>12 Medium/High</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>12 Medium/High</p>
<p>SRR8 Local or national loss of data and intelligence as a result of</p>	<p>1) Reputational damage 2) Investigations and legal proceedings and</p>	<p>1) cyber security patches always being updated 2) NSCC release warnings 3) ROCU training of SMB on cyber risks</p>	<p>9 Medium</p>

<p>a cyber security attack</p>	<p>prosecutions. 3) Loss of business critical data impacting service delivery</p>	<p>4) Attacks are dynamic and frequently evolving, being proactive is difficult.</p>	
<p>SRR9 (was 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 Medium</p>
<p>SRR10 (was 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 Medium</p>