



# CORPORATE RISK REGISTER 2019/20

Aims: - 1) Excellent Operational Preparedness 2) Excellent Operational Response  
3) Excellent Prevention & Protection 4) Excellent People

*April 2019 – March 2020*

April to September 2019 update

# CORPORATE RISK REGISTER 2019/20

## MFRA RISK MATRIX

| Increasing Impact B |             | Increasing Likelihood A           |                                   |                                   |                                   |                                   |
|---------------------|-------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|-----------------------------------|
|                     |             | 1                                 | 2                                 | 3                                 | 4                                 | 5                                 |
|                     |             | Remote                            | Unlikely                          | Possible                          | Likely                            | Frequent                          |
| 1                   | Slight      | Manage for continuous improvement | Manage for continuous improvement | Manage for continuous improvement | Manage for continuous improvement | Manage for continuous improvement |
| 2                   | Minor       |                                   |                                   |                                   |                                   | Develop Reduction measures        |
| 3                   | Significant |                                   |                                   | Develop Reduction measures        | Compulsory Risk reduction         |                                   |
| 4                   | Major       |                                   | Develop Reduction measures        | Compulsory Risk reduction         |                                   |                                   |
| 5                   | Massive     | Develop Reduction measures        | Compulsory Risk reduction         |                                   |                                   |                                   |

## Introduction

All organisations face risks that can impact on their operations, by establishing a systematic approach to identifying, assessing, and managing risk, Merseyside Fire and Rescue Authority (MFRA) intends to continually improve the organisation's governance, increase accountability and enhance overall performance.

The Director of Strategy and Performance reports directly to the Chief Fire Officer on matters relating to corporate risk management and maintains this risk register in collaboration with other members of the Strategic Leadership Team (SLT).

As part of this process the organisation considers the level and type of risk the Authority will accept while conducting its business and puts in place measures to reduce or eliminate that risk. This includes a careful evaluation of how risks affect the Authority's ability to achieve its Mission and Aims and its appetite for taking those risks.

The following categories of risk appetite are considered in relation to each identified Strategic Corporate Risk within this register:

- **Low** – The level of risk will not substantially impede the ability to achieve MFRA's Mission and Aims. Controls are prudently designed and effective.
- **Moderate** – The level of risk may delay or disrupt achievement of MFRA's Mission and Aims. Controls are adequately designed and are generally effective.
- **High** – The level of risk will significantly impede the ability to achieve MFRA's Mission and Aims. Controls may be inadequately designed or ineffective.

## Risk Appetite by Strategic Corporate Risk Category

**MFRA has an overall conservative risk appetite. The organisation will act in accordance with this to achieve strategic objectives and deliver high quality fire and rescue services to the people of Merseyside within a framework of reducing budget provision.**

MFRA will employ sound risk management principles, transparent decision-making and effective communication to prioritise risk. The Authority manages seven strategic corporate risk categories to effectively supervise and ensure a safe and effective fire and rescue service that delivers prevention, protection and response services to Merseyside and beyond. MFRA has a low appetite for most types of risk (see table below), being aware of the need to ensure the prudent use of public money, maintain staff safety and deliver reliable and effective services.

## CORPORATE RISK REGISTER 2019/20

| Corporate Risk Category                   | Risk Appetite | Explanation   |
|---|---------------|---|
| <b>Budget and financial</b>               | Low           | <b>The appetite for Budget and financial risk is low.</b> MFRA will exercise prudent management of its financial resources to achieve its mission. MFRA will maintain strong internal controls and ensure compliance with applicable legislation and accounting standards. MFRA will make prudent decisions to mitigate the financial impact of internal and external factors that affect it.   |
| <b>Legal and legislative</b>              | Low           | <b>The appetite for Legal and legislative risk is low.</b> MFRA will always endeavour to comply with the laws that govern its activity and adopt appropriate governance processes. MFRA has no risk appetite for non-compliance with applicable laws and regulations.   |
| <b>Loss of strategic sites and assets</b> | Moderate      | <b>The appetite for risk in relation to strategic sites and assets is moderate.</b> Risk appetite in relation to vehicles and equipment is low, as safety and usability must be achieved through the use of detailed specifications of requirements. Risk appetite in relation to FRS sites (e.g. for a new fires station) is higher, as it is acknowledged the options are more limited and the end result in relation to the provision of a new fire station is not entirely predictable at the beginning of the process. |
| <b>Environmental and Political</b>        | Moderate      | <b>The appetite for risk in relation to environmental and political matters is moderate.</b> MFRA acknowledges that activity in relation to collaborative work with partners, for example, is not entirely predictable and some risks will be taken whilst attempting to improve service delivery or make savings through the use of new arrangements.  |
| <b>Loss of key staff</b>                  | Moderate      | <b>The appetite for risk in relation to loss of key staff is moderate.</b> MFRA recognises that it may need to adopt new and untried ways of working to deliver its services during periods of industrial action or reductions in the size of the workforce.  |
| <b>Technology</b>                         | Low           | <b>The appetite for Technology risk is low.</b> Information systems must support core MFRA functions with adequate capability, capacity, resiliency, and security from internal and external threats. The organisation relies on a mobile and technologically dependent workforce to carry out its Mission.   |
| <b>Procurement</b>                        | Low           | <b>The appetite for Procurement risk is low.</b> MFRA is bound by legislation and regulations that are designed to ensure that public finance is spent appropriately. As a result processes are designed to ensure that all procurement activity is properly governed and carried out in a way that ensures compliance.   |

## CORPORATE RISK REGISTER 2019/20

**Mission :- Safer Stronger Communities: Safe Effective Fire-fighters**

| RISK   | STRATEGIC CORPORATE RISK | RISK No. | SPECIFIC CORPORATE RISKS | SUB RISK No. | AIMS AFFECTED | IMPACT | RISK SCORE | MITIGATION | MITIGATED SCORE | RISK/ACTION OWNER |
|--|--------------------------|----------|--------------------------|--------------|---------------|--------|------------|------------|-----------------|-------------------|
| <b>Aims: 1) Excellent Operational Preparedness. 2) Excellent Operational Response. 3) Excellent Prevention &amp; Protection. 4) Excellent People</b> |                          |          |                          |              |               |        |            |            |                 |                   |

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|    |                         |   |  |       |         |  |    |  |    |                                |
|----|-------------------------|---|--|-------|---------|--|----|--|----|--------------------------------|
| 1. | Budget /Financial Risks | 1.1   | Insufficient staff to maintain current levels of operational planning, training and management of intelligence | 1.1.1 | 1,2,3,4 | Increased risk to all MFRS staff safety - increased numbers of injuries. | 15 | <p>Resilience exists within departments to task staff with priority work steams in the event of insufficient staffing becoming a concern. Business Continuity Plans in place.</p> <p><b>April-Sep Update</b><br/>GM Training constantly reviews staffing levels at TDA and has explored different pilot delivery models (associate tutor) to ensure MFRA continue to deliver core training including recruit training. Additional time has been spent to work with Time and Resource Management to maximise staff / course ratio set against the LPI.s</p> <p>Improvements to recording on Operational Performance System allows service managers to maximise training for staff and prevent duplication of efforts. Additional training is provided at a local level (SPA &amp; Learn pro) to ensure staff have underpinning knowledge across a range of skills and competencies.</p> <p>Workshops Manager currently working with HR to</p> | 12 | AM<br>Operational Preparedness |
|    |                         | Corporate Risk Register – April to September 2019 | 5  |       |         |  |    |  |    |                                |

1. **Budget/Financial Risks**

address staffing issues within Workshops this has been raised at SLT and Ops Board for immediate action

Key roles are currently being recruited for within the Operational Planning Department. This has involved close liaison with POD to ensure timeframes are kept to a minimum. Currently a number of work streams within OPRT and Business Continuity have been delayed due to staffing shortfalls in particular Watch Manager posts x 2, OPRT support and BC Officer. It is anticipated these will be resolved by November 2019

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|    |  |  |  |  |  |  |  |  |  |  |
|----|--|--|--|--|--|--|--|--|--|--|
| 1. | Budget/Financial Risks<br><br>Budget/Financial Risks |  |  |  |  |  |  |  |  |  |
|----|--|--|--|--|--|--|--|--|--|--|



CORPORATE RISK REGISTER 2019/20

1.

Corporate Risk Register – April to September 2019

## CORPORATE RISK REGISTER 2019/20

|                         |            |  |       |         |  |    |  |    |                                       |
|-------------------------|------------|--|-------|---------|--|----|--|----|---------------------------------------|
| <b>Budget/Financial</b> | <b>1.2</b> | Insufficient staff to maintain current | 1.1.2 | 1,2,3,4 | increased risk of property loss                              | 12 |  | 10 |                                       |
|                         |            |  | 1.1.3 | 1,2,3,4 | Reducing ability to respond or maintain competent workforce. | 15 | <p>The Authority continues to utilise the most agile working systems to ensure a high level of service delivery and response, integrated with appropriate skill audits and training delivery to ensure a high level of competence in all staff</p> <p><b>April-Sep Update</b><br/>The implementation of the Hybrid duty system is currently ongoing which will culminate in additional posts and Appliance availability being built into the establishment</p> | 10 | Director of POD                       |
|                         |            |  | 1.1.4 | 1,2,3,4 | Reduced ability to maintain FF safety                        | 15 | <p><u>AM Response</u><br/>Maintenance of competency is managed on station through SPA and the training planner for all operational staff. TRM staff utilise VAH to ensure appliances on fully staffed.</p> <p><b>April-Sep Update</b><br/>No change this period</p>  | 10 | AM Operational Response/ Preparedness |
|                         |            |  | 1.2.1 | 1,2,3,4 | Increased fires, deaths and injuries                         |    | MFRA continues to deliver its Home Safety Strategy, our  |    |                                       |

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|           |                               |            |   |              |                |  |           |  |           |   |
|-----------|-------------------------------|------------|---|--------------|----------------|--|-----------|--|-----------|---|
|           | <b>Risks</b>                  |            | <p>prevention and protection work. Inability to maintain performance (e.g. Care Act)</p> <p>Political Risk – failure to meet statutory duty</p> <p>Community Safety Risk – failure to address risks to community &amp; Firefighters</p> |              |                |  | <b>15</b> | <p>focus is targeted at the over 65's and those who are most vulnerable, we have seen advocate performance lift by over 45% this past year and we continue to monitor ADFs and Fire Fatalities through PMG.</p> <p>The impact of the Grenfell Tower Fire is yet to be fully understood but there is the likelihood of increased Protection teams as such a review is underway</p> <p><b>April-Sep Update</b></p> <p>The Protection 2020 Plan has continued to recruit effectively into Protection vacancies.</p> <p>Additional resources are being made available to Protection and a review has commenced to consider a new structure with greater resilience for the retention of Protection competence within MFRA.</p> | <b>10</b> | <b>AM<br/>Community<br/>Risk<br/>Management</b> |
| <b>1.</b> | <b>Budget/Financial Risks</b> | <b>1.3</b> | Insufficient FF's to maintain current   | <b>1.3.1</b> | <b>1,2,3,4</b> | Increased risk of property loss in the community | <b>15</b> | MFRA undertakes continual review, analysis and testing of  |           |   |

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|    |                               |     |   |       |         |  |    |   |    |                         |
|----|-------------------------------|-----|---|-------|---------|--|----|---|----|-------------------------|
|    |                               |     | levels of response and current number of fire stations        |       |         |  |    | necessary operational response changes resulting from budget reductions to ensure effectiveness against Authority response standards.<br><br><b>April-Sep Update</b><br>No change this period   | 10 | AM Operational Response |
|    |                               |     |   | 1.3.2 | 1,2,3,4 | Increased fires, deaths and injuries   | 15 | MFRA undertakes continual review, analysis and testing of necessary operational response changes resulting from budget reductions to ensure effectiveness against Authority response standards.<br><br><b>April-Sep Update</b><br>No change this period                 | 10 | AM Operational Response |
| 1. | <b>Budget/Financial Risks</b> | 1.4 | Pay increases-impact on ability to maintain a balanced budget | 1.4.1 | 1,2,3,4 | The current budget assumes 2019/20 pay awards will be settled at an increase of 2%.<br><br>Each additional 1% increase in pay equates to approximately £0.3m for firefighters and £0.1m for other staff. | 9  | The Authority has established a £0.700m inflation reserve to meet any unforeseen inflationary pressures or costs.<br><br><b>April-Sep Update- Treasurer</b><br>The 2019/20 Pay awards have been settled in line with the assumptions in the current financial plan, 2%. | 0  | Treasurer               |

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|    |                               |     |   |       |         |  |    |  |    |                           |
|----|-------------------------------|-----|---|-------|---------|--|----|--|----|---------------------------|
|    |                               | 1.5 | Insufficient support staff to maintain services to front line and maintain good governance. | 1.5.1 | 1,2,3,4 | Reduced ability to maintain fleet, PPE, pay FF's and maintain the buildings.             | 15 | Processes are redesigned when cuts to staffing are made<br>Stopping performing specific activities considered<br>Remaining staff are trained in processes/services that are still required<br><br><b>April-Sep Update</b><br>SLT have considered whether additional support staff are required to fulfil statutory and other obligations, but will await the outcome of the budget settlement before considering this further. | 6  | SLT                       |
| 1. | <b>Budget/Financial Risks</b> | 1.7 | Loss of National Resilience funding from Home Office  |       |         | Loss of operational response/service/training/lack of equipment/vehicles not maintained. | 15 | Utilising MFRS resources to fulfil Role and responsibilities.<br><br>Budget constantly reviewed with Home Office Colleagues<br><br><b>April to Sep update</b><br>The current grant agreement between Home Office and MFRA extends until the end of March 2021. This provides a level of reassurance in respect of Home Offices commitment to fund National Resilience under Lead Authority arrangements in the medium term.    | 12 | AM<br>National Resilience |

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|--|--|------|--|--|---|----|---|---|---|
|  |  | 1.10 | <p><b>“McCloud”</b> - The decisions of the Court of Appeal in the Sargeant/McCloud (McCloud) cases have ruled that the transitional protections afforded to older members when the Firefighter Pension Scheme(s), FPS, and Local Government Pension Scheme, LGPS, constituted unlawful age discrimination. On 27th June 2019 the Supreme Court denied the Government permission to appeal this decision.</p> |  | <p>Any remedy / compensation awarded by the Tribunal may have a significant financial impact on the Authority both in terms retrospective compensation payments for retired firefighters and current employees (who may transfer back from FPS 2015 to FPS 1992 and therefore the employer rate would increase from 28.8% to 37.3%). At this point in time both the remedy and any Government funding is unknown, or is likely to be known before 2020/21.</p> <p>In addition to the financial impact the Authority may lose a significant number of firefighters (including senior staff) earlier than expected if staff revert back to a pension scheme (FPS 1992) with a potential retirement age of 50.</p> | 12 | <p>As part of the review of current reserves during 2019/20 the Director of Finance will look to increase the General Reserve and create a specific reserve for McCloud/Pension grant as part of a strategy to allow the Authority time to deal with any permanent costs associated with the relevant outcome of the final remedy.</p> <p>The Authority is currently running 2 to 3 firefighter recruitment courses a year to ensure sufficient firefighter numbers. The plan will be kept under review by the Workforce group in light of any announcements over the McCloud case.</p> | 8 | <p><b>Director of Finance / CFO / SLT</b></p> |
|--|--|------|--|--|---|----|---|---|---|

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|  |                           | 1.9      | The impact of unfavourable trade deals with the EU following UK exit in March 2019 | 1.9.1        | 1,2,3,4       | <p>If the UK leave the EU in March with an unfavourable trading relationship this will have an adverse effect on the supply of goods imported from EU countries.</p> <p>Prices are likely to increase putting strain on budgets, lead times may be extended, shortage and scarcity of parts due to border hold ups, organisations stockpiling and starving supply, contractors failing.</p> | 20         | <p>Procurement are contacting critical suppliers to seek details of action they will take to maintain supplies post Brexit, whatever the agreement.</p> <p><b>April-Sep Update</b><br/>Work continues at a national level via the NFCC (eg. Recent assessment of risk re fuel supply). At a local level, contract management with supply chain continues. It is not possible to obtain guarantees from suppliers re continuity of supply as they are also dealing with high levels of uncertainty.</p> | 15              | Director of Legal, Procurement & Democratic Services |  |
|--|---------------------------|----------|--|--------------|---------------|---|------------|--|-----------------|--|--|
| <b>Aims: 1) Excellent Operational Preparedness. 2) Excellent Operational Response. 3) Excellent Prevention &amp; Protection. 4) Excellent People</b> |                           |          |  |              |               |   |            |  |                 |  |  |
| RISK   | STRATEGIC CORPORATE RISK  | RISK No. | SPECIFIC CORPORATE RISKS   | SUB RISK No. | AIMS AFFECTED | IMPACT  | RISK SCORE | MITIGATION   | MITIGATED SCORE | RISK/ACTION OWNER                                    |  |
| 2.   | Legal & Legislative Risks | 2.1      | Non-compliance with the National Framework   | 2.1.1        | 1,2,3         | Damage to MFRS reputation. Impact on public and partner goodwill.   | 15         | <p>The IRMP process is thorough and consulted on widely. SWOT and PESTEL activities are carried out</p> <p>Community risks are assessed and strategies and processes adopted to deal with them in the Home Safety Strategy</p> <p>Data is analysed and considered</p>  | 8               | SLT  |  |

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|           |                                      |     |   |       |   |   |   |   |     |   |
|-----------|--------------------------------------|-----|---|-------|---|---|---|---|-----|---|
| <b>2.</b> | <b>Legal &amp; Legislative Risks</b> |     | 2.1.2                                       | 1,2,3 | Inability to respond to major national resilience incidents | 15  | <b>April-Sep Update</b><br>An IRMP planning group has been set up this year to ensure that compliance with the IRMP requirements in the National Framework is maintained. | 8   | SLT |   |
|           |                                      |     | 2.1.3                                       | 1,2,3 | Increased fires, deaths and injuries                        | 15  |   | 12  | SLT |   |
|           |                                      | 2.2 | Corporate Manslaughter Act                  | 2.2.1 | 1,2,3,4   | Sanctions, fines and or arrests resulting from death of Personnel | 25  | This can be mitigated to some degree by correct application of SOP's. Service Instructions, training and Health and Safety legislation to avoid injury and damage.<br><br><b>April-Sep Update</b><br>Processes and guidance are regularly reviewed and updated. All Health and Safety events are reviewed and any learning incorporated in future guidance. | 12  | SLT   |
|           |                                      | 2.3 | Changes introduced by the Localism Act 2011 | 2.3.1 | 1,2,3,4   | Judicial Review – other legal challenges                          | 15  | This can be mitigated to some degree by careful consideration of consultation outcomes and other forms of community input into decisions. However any person can apply for JR regardless of the perceived merits or otherwise of such an application.   | 8   | <b>Director of Legal, Procurement &amp; Democratic Services</b> |



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|           |                                      |            |  |              |          |  |           |  |          |   |
|-----------|--------------------------------------|------------|--|--------------|----------|--|-----------|--|----------|---|
| <b>2.</b> | <b>Legal &amp; Legislative Risks</b> |            |  |              |          |  | <b>15</b> | <p>No challenges in the form of Judicial Review or other have been received within this period.</p> <p><b>April-Sep Update</b><br/>There is no change to the information above</p>   |          |   |
|           |                                      | <b>2.4</b> | Equality Act - not maintaining compliance with the Public Sector Equality Duty | <b>2.4.1</b> | <b>4</b> | Potential impact on reputation<br>Potential legal action | <b>15</b> | <p>The Equality and Diversity Policy is regularly reviewed (most recently 2017)<br/>An Equality Action Plan has been in place for five years, with outcomes and risks reviewed in full every year and progress monitored quarterly as part of the Service Delivery Plan.<br/>An E&amp;D Annual Report details outcomes in line with the Equality Act and Action Plan<br/>A Public Sector Equality Duty data report is produced annually and analysed to feed in the action planning process<br/>Equality Impact Assessments are carried out for plans, policies, guidance, instructions and organisational change<br/>A desk top exercise was carried out in 2016/17 to gather information in relation</p> | <b>8</b> | <b>Director of Strategy &amp; Performance</b> |

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|    |                                     |     |                             |       |     |                                |   |                        |
|----|-------------------------------------|-----|-----------------------------|-------|-----|--------------------------------|---|------------------------|
| 2. | <b>Legal &amp; Legislative Risk</b> |     |                             |       |     |                                | <p>to the LGA Equality and Diversity Framework</p> <p>Two staff surveys have been carried out (2014 and 2016) and action taken to address concerns with preparation for a third taking place during 2019/20.</p> <p>Training and support is given to staff to assist them in complying with Equality and Diversity related duties.</p> <p><b>April-Sep Update</b></p> <p>Face to face equality, diversity and inclusion training for all staff was launched during the first quarter of the year and is well underway.</p> <p>MFRA continues to compile and publish its equality data (a requirement of the Public Sector Equality Duty) well in advance of statutory deadlines.</p> <p>Staff Networks are being launched to help further inclusion within the workforce.</p> |                        |
|    |                                     | 2.6 | Policing and Crime Act 2017 | 2.6.1 | 2,3 | Potential change to Governance | Police and Crime Commissioner (PCC)   | <b>AM Preparedness</b> |

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|  |  |  |  |       |     |  |  |   |          |                        |
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|  |  |  |  |       |     | <b>15</b>  | <p>representative model on the Fire Authority.</p> <p>A business case would need to be completed and submitted to the Secretary of State. If disputed an independent panel would review the business case.</p> <p>Continue to maintain dialogue with the PCC through Blue Light Collaboration Programme Board and Fire Authority.</p> <p><b>April-Sep Update</b><br/>Currently No Change</p> | <b>12</b>   |          |                        |
|  |  |  |  | 2.6.2 | 2,3 | Inability to deliver collaboration across Blue Light Services in line with Policing and Crime Act 2017 | <b>12</b>  | <p>The Policing and Crime Act 2017 places a duty on MFRA to keep opportunities to collaborate under review and to collaborate with one another where it is in the interests of either their efficiency or effectiveness</p> <p>MFRA's position is therefore to consider collaboration where it provides for a more efficient and/or effective service, where it improves the safety of the public, or is in the interests of economy.</p> | <b>8</b> | <b>AM Preparedness</b> |

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|  |            |                            |              |            |   |           |  |          |   |
|--|------------|----------------------------|--------------|------------|---|-----------|--|----------|---|
|  |            |                            |              |            |   |           | <p>This will be delivered and monitored through the MFRA commitment to the Blue Light Collaboration Team, the Blue Light Collaboration Programme Board, and all collaboration programmes recorded through the Local Collaboration Overview.</p> <p><b>April-Sep Update</b><br/>Ongoing regular meeting established between Corporate Leads</p> |          |   |
|  | <b>2.7</b> | Increased Litigation costs |              |            |   |           |  |          |   |
|  |            |                            | <b>2.7.2</b> | <b>4</b>   | Increasing insurance and settlement cost provision                              | <b>12</b> | <p><b>April-Sep update</b><br/>Claims numbers, reserves and settlements continue to be closely monitored and feedback is provided to the Treasurer. A tender for insurance services has resulted in an overall saving of £109,000 to the Authority.</p>  | <b>6</b> | <b>Director of Legal, Procurement &amp; Democratic Services</b> |
|  |            |                            | <b>2.7.3</b> | <b>2,4</b> | Increased incidents/costs/injuries whilst travelling under blue lights/speeding | <b>12</b> | <p>Close work with the Health and Safety team and ongoing training and development and development to manage these types of incidents.</p> <p><b>April- Sep update</b></p>   | <b>6</b> | <b>Director of Legal, Procurement &amp; Democratic Services</b> |

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|  |  |  |  |              |            |  |           |  |          |   |
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|  |  |  |  |              |            |  |           |  |          |   |
|  |  |  |  | <b>2.7.4</b> | <b>2,4</b> | Potential for increased litigation arising from shared premises with partners. | <b>12</b> | <p>Close work with the Estates and Health and Safety teams and Workplace to manage any issues which arise.</p> <p><b>April-Sep Update</b><br/>Close work with colleagues in Health and Safety and Estates teams to manage these issues</p> | <b>6</b> | <p><b>Director of Legal, Procurement &amp; Democratic Services.</b></p> |

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|  |      |   |        |         |  |    |   |    |                         |
|--|------|---|--------|---------|--|----|---|----|-------------------------|
|  | 2.9  | Failure to comply with Government Transparency agenda | 2.9.1  | 1,2,3   | Damage to reputation of MFRS by not publishing policies and data as required         | 12 | <p>A Transparency Service Instruction has been produced to set out the Authority's commitment. There is a transparency section on the website with advice and guidance as well as the data that the Authority is required to publish.</p> <p><b>April-Sep Update</b><br/>Performance against our transparency service instruction was reviewed in September, with all required information being published.</p> | 8  | SLT                     |
|  | 2.10 | Health & Safety audits, failures and investigations   | 2.10.1 | 1,2,3   | H&S audits, failures and investigations from HSE resulting in sanctions and or fines | 15 | <p>MFRA has a robust suite of H&amp;S audits with findings responded to by the central team in liaison with Estates. All incidents follow an investigatory process to maximise learning which includes advice from Legal to ensure protection.</p> <p><b>April-Sep Update</b><br/>No change this period</p>   | 10 | AM Operational Response |
|  | 2.11 | Lead Authority for National Resilience                | 2.11.1 | 1,2,3,4 | Increased responsibility and liability; capacity issues and reputational risk.       | 15 | <p>Mitigation in part through careful contract management.</p> <p><b>April-Sep Update</b></p>   | 10 |                         |

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|  |      |   |        |  |   |    |   |    |   |
|--|------|---|--------|--|---|----|---|----|---|
|  |      |   |        |  |   |    | Regular contract management with prime contractor for LTCM continues, as does regular involvement with Home Office. Existing capacity is sufficient to service current arrangements.  |    | Director of Legal, Procurement & Democratic Services. |
|  | 2.12 | Recruitment of Trainee Firefighters with limited driving experience who are contracted to undertake EFAD driving. | 2.12.1 |  | Increased risk of fire appliances being involved in collisions due to inexperienced drivers being required, under contract, to drive fire appliances for routine and response activity. Recruitment application only requires the applicant to hold a valid driving license and does not account for longevity, experience or type of vehicle they have driven. | 15 | <p>Competency will be managed through the driving school with assessment and development plans being tailored to the individual. Trainees will not be time-bound on when EFAD driving is first undertaken following LGV qualification. It will be the Driving School Manager who will decide how long LGV routine activity driving will take place prior to EFAD qualification to allow less experienced individuals to gain the required road knowledge.</p> <p><b>Apr-Sep Update</b><br/>Due to an increase in demand. TDA Driving School have been required to go out to recruit a further driving instructor.</p> <p>This is ongoing.</p> | 10 | Director of HR, AM Operational Preparedness           |

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|  |  |      |  |        |       |  |    |  |   |                                       |
|--|--|------|--|--------|-------|--|----|--|---|---------------------------------------|
|  |  | 2.13 | Insufficient experienced staff to manage existing Primary Authority Partnerships | 2.13.1 | 1,2,3 | Damage to MFRS reputation with the business partner and the government Department of Business, Energy and Industrial Strategy. |    | <p>Resilience is provided to ensure that any loss of key staff facilitating the partnership is minimised. In addition, there is evaluation on the workload involved in managing the partnership and gauging capacity to take on any further partnerships.</p> <p><b>APR – SEP Update</b><br/>Succession challenges maintain this as a risk. Primary Authority workload remains monitored. 1 additional Primary Authority has been progressed with Norton’s Waste Recycling, whilst this places additional strain on the Protection capacity this is justified due to the benefits of preventing further large scale fire incidents on Waste Recycling sites across Merseyside. Plans are in place to enhance the capacity for Primary Authority work via the introduction of a new Fire Engineer post for which a recruitment process is in place.</p> |   | AM<br>Community<br>Risk<br>Management |
|  |  |      |  |        |       |  | 12 |  | 9 |                                       |



## CORPORATE RISK REGISTER 2019/20

|   |                          | 2.14     | Insufficient experienced, qualified staff to deal with serious fire safety complaints 'out of hours'. | 2.14.1       | 1,2,3,4       | Potential for MFRA to be unable to serve prohibition or restriction notices on premises out of office hours when the use of the premises involves or will involve a risk to the relevant persons so serious that use of the premises ought to be prohibited or restricted. | 15         | Senior Officers in Protection when scheduled on cover can provide this facility to respond out of hours; providing they are not engaged at an operational incident. Article 31 Officers provide some additional limited support to assess complaints but are not warranted officers or deemed competent under the Fire Protection Competency Framework. Recall to duty provides some resilience but availability is not guaranteed. Potential for assistance from a neighbouring Fire and Rescue Service.<br><br><b>Apr-Sep Update</b><br><br>This cover was established via the Protection Station Managers (SM), supported by the Seconded SM and 2 additional SMs with existing Protection qualifications. | 9               | AM<br>Community<br>Risk<br>Management |  |
|---|--------------------------|----------|---|--------------|---------------|--|------------|---|-----------------|---------------------------------------|--|
| Aims: 1) Excellent Operational Preparedness. 2) Excellent Operational Response. 3) Excellent Prevention & Protection. 4) Excellent People |                          |          |   |              |               |  |            |   |                 |                                       |  |
| RISK  | STRATEGIC CORPORATE RISK | RISK No. | SPECIFIC CORPORATE RISKS  | SUB RISK No. | AIMS AFFECTED | IMPACT   | RISK SCORE | MITIGATION  | MITIGATED SCORE | RISK/ACTION OWNER                     |  |

## CORPORATE RISK REGISTER 2019/20

|           |                                       |            |  |              |                |  |           |   |          |   |
|-----------|---------------------------------------|------------|--|--------------|----------------|--|-----------|---|----------|---|
| <b>3.</b> | <b>Loss of Strategic sites/Assets</b> | <b>3.1</b> | Loss of strategic sites/assets and inability to provide services to Merseyside                           | <b>3.1.1</b> | <b>1,2,3,4</b> | Inability to respond to major local and national resilience incidents  | <b>20</b> | <p><u>Treasurer</u><br/>Finance Staff can operate applications from any MFRS site. Application hosted externally with ABS having fall back sites as well.</p> <p><u>Head of Technology &amp; AM Operational Preparedness.</u></p>   | <b>8</b> | <b>Head of Technology, Treasurer, AM Operational Preparedness</b> |
|           |                                       | <b>3.2</b> | Loss of FSHQ, FIRE CONTROL, TADA, fire stations and National Resilience Control                          | <b>3.2.1</b> | <b>1,2,4</b>   | Inability to respond, delay in providing core services   | <b>20</b> | <p><u>Head of Technology &amp; AM Operational Preparedness.</u><br/>Secondary Fire Control is available at TDA for relocation and '999's can be diverted regardless of the availability of SHQ.</p>   | <b>8</b> |   |
|           |                                       | <b>3.3</b> | Loss of utilities due to infrastructure failure.   | <b>3.3.1</b> | <b>1,2,3,4</b> | Inability to provide core services temporarily whilst fall-back site is brought online                                       | <b>20</b> | <p>A fall-back 'buddy' agreement is in place with Surrey FRS and BT to redirect and manage emergency 999 calls during periods of outage, spate and spike.</p> <p><b>Apr- Sep 2019</b><br/>No change this period – <i>Head of Technology &amp; AM Operational Preparedness</i></p> | <b>8</b> | <b>Head of Technology, Treasurer, AM Operational Preparedness</b> |
|           |                                       | <b>3.4</b> | Protective security-potential risks resulting from non-compliance with FRS Protective Security Strategy. | <b>3.4.1</b> | <b>1,2,3,4</b> | Potential security risk in relation to all FRS assets, particularly in relation to Personnel, information and premises risk. | <b>20</b> | <p>A Protective Security Group is led by the Director of Legal and includes representatives of several departments with security responsibilities.</p>  | <b>9</b> |   |

## CORPORATE RISK REGISTER 2019/20

|           |                                       |  |  |              |                |           |   |  |  |
|-----------|---------------------------------------|--|--|--------------|----------------|-----------|---|--|--|
| <b>3.</b> | <b>Loss of Strategic Sites/Assets</b> |  |  |              |                |           | <p>There is a Protective Security Policy and three Service Instructions that deal with Information, Physical and Personnel security</p> <p>An Internal Audit review of arrangements found MFRA to be compliant with the latest versions of the national requirements.</p> <p><b>April-Sep Update</b><br/>The Protective Security Group monitors security and risks of non-compliance are actioned as soon as possible via this group. A recent unannounced inspection by members of this group found some minor non-compliance and actions are taking place to remedy this.</p> |  | <b>Director of Legal, Procurement &amp; Democratic Services.</b> |
|           |                                       |  |  | <b>3.5.3</b> | <b>1,2,3,4</b> | St Helens | <b>25</b>   | <p>In St. Helens a suitable site has been identified &amp; negotiations are currently underway to resolve the various issues that are currently preventing progress. If this site falls through, an alternative site will be sought. If nothing appropriate can be found, Eccleston will close completely and the current St. Helens site continue to be</p> | <b>12</b>  |

## CORPORATE RISK REGISTER 2019/20

|   |                                    |            |  |              |                |  |            | utilised for response in the wider St. Helens area.<br><br><b>Apr-Sep Update</b><br>Negotiations continue to acquire the site, subject to the cost of building works being affordable. The results of the recently completed site investigation works will assist in determining affordability. |                 |                                |
|---|------------------------------------|------------|--|--------------|----------------|--|------------|---|-----------------|--------------------------------|
|   |                                    | <b>3.6</b> | Potential elevated target risk for terrorist action in regards to cyber crimes | <b>8.1.1</b> | <b>1,2,3,4</b> | Loss of Fire Control ICT services and information assets                                 |            | See 6.2 and 6.9.<br><br>As a further mitigation, cyber security is also increased by having the Fire Control infrastructure on its own firewalled network, with limited access in and out.<br><br><b>April-Sep Update</b><br>No change this period  |                 | <b>Head of Technology</b>      |
| <b>Aims:</b> 1) Excellent Operational Preparedness.    2) Excellent Operational Response.    3) Excellent Prevention & Protection.    4) Excellent People |                                    |            |  |              |                |  |            |   |                 |                                |
| RISK  | STRATEGIC CORPORATE RISK           | RISK No.   | SPECIFIC CORPORATE RISKS   | SUB RISK No. | AIMS AFFECTED  | IMPACT   | RISK SCORE | MITIGATION  | MITIGATED SCORE | RISK/ACTION OWNER              |
|   | <b>Environmental And Political</b> | <b>4.1</b> | Increase in Environmental incidents resulting in the inability to respond      | <b>4.1.1</b> | <b>1,4</b>     | HSE and legislative impacts from illegal discharges (impact from fire-fighting activity) | <b>15</b>  | Action plans are in place with Fire Control to inform the Environment Agency when operational activity may impact the environment to assist with mitigation.  | <b>10</b>       | <b>AM Operational Response</b> |

## CORPORATE RISK REGISTER 2019/20

|  |            |  |              |            |   |           |  |          |  |
|--|------------|--|--------------|------------|---|-----------|--|----------|--|
| <b>Environmental<br/>And Political</b> |            |  |              |            |   |           | <p>HMEPO support officers are available across all flexi duty groups to support incident commanders.</p> <p><b>April-Sep Update</b><br/>No change this period</p>  |          |  |
|  | <b>4.2</b> | Insufficient water pressure resulting in the inability to fight fires effectively. | <b>4.2.1</b> | <b>1,2</b> | Potential for major consequences, FF injuries | <b>25</b> | <p>High volume pumps (HVP's) and hose layer units available to support water supplies. Additional HVP's available via NCAF arrangements.</p> <p>Availability of mapping for water mains to be accessible on the command support unit. Currently awaiting sign off of a Data Licence agreement with United Utilities to share "Safe Dig" Software</p> <p><b>April-Sep Update</b><br/>Command Support Unit is no longer part of mobilising criteria, every appliance Mobile Data Terminal has a mains mapping overlay.</p> <p>Safe Dig licencing is still ongoing.</p> | <b>4</b> | <b>AM<br/>Operational<br/>Preparedness</b> |

## CORPORATE RISK REGISTER 2019/20

|  |            |   |              |              |   |           |  |           |   |
|--|------------|---|--------------|--------------|---|-----------|--|-----------|---|
| <b>Environmental<br/>And Political</b> |            |   |              |              |   |           | Ongoing discussion through MRF with United Utilities to develop formal arrangements & understanding of specialist advice in relation to water supplies at incidents  |           |   |
|  | <b>4.3</b> | Changing demographics in Merseyside brings about a changing in vulnerability profile and higher unemployment. | <b>4.3.1</b> | <b>1,2,3</b> | Increased economic costs from increases in arson  | <b>15</b> | Increased economic costs from increases in arson – The arson reduction strategy focuses multi-agency community safety campaigns in high demand wards in order to support and community cohesion, develop community resilience and reduce the tolerance of anti-social behaviour (ASB), domestic abuse (DA), serious organised crime (SOC) and the associated deliberate fire setting.<br><br>Increased economic costs from increases in fraud – The communications and media post will raise awareness of community safety priorities coordinating media messages and campaigns across a digital platform.<br><br>Increased road traffic collisions (RTC) – As above (but add 50% Merseyside Road Safety Partnership | <b>12</b> | <b>AM<br/>Community<br/>Risk<br/>Management</b> |
|  |            |   | <b>4.3.2</b> | <b>1,2,3</b> | Increased economic costs from increases in fraud. | <b>15</b> |  | <b>12</b> |   |
|  |            |   | <b>4.3.3</b> | <b>1,2,3</b> | Increased incidents eg. fires                     | <b>15</b> |  | <b>12</b> |   |
|  |            |   | <b>4.3.4</b> | <b>1,2,3</b> | Increased antisocial behaviour (ASB)              | <b>15</b> |  | <b>12</b> |   |

|  |   |  |  |  |  |  |   |  |
|--|---|--|--|--|--|--|---|--|
|  | <p><b>Environmental<br/>And Political</b></p> |  |  |  |  |  | <p>funded).</p> <p>Increased antisocial behaviour (ASB) – The arson reduction strategy focuses multi-agency community safety campaigns in high demand wards in order to support and community cohesion, develop community resilience and reduce the tolerance of ASB, DA, SOC and the associated deliberate fire setting. The Street Intervention Team are also deployed via the Voluntary Organisation Support Service (VOSS) and Merseyside Police to engage and divert children and young people away from anti-social behaviour and towards more meaningful activities.</p> <p>Increased incidents e.g. Fires – Community Risk Management risk reduction strategies are designed to put measures in place to reduce risk and mitigate high call demand outputs and outcomes are reported via Performance Management Group.</p> <p><b>April-Sep Update</b></p> |  |
|--|---|--|--|--|--|--|---|--|

## CORPORATE RISK REGISTER 2019/20

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|  |  |  |  |  |  |  | <ul style="list-style-type: none"><li>• Increased economic costs from increases in arson – The arson reduction strategy focuses multi-agency community safety campaigns in high demand wards in order to support and community cohesion, develop community resilience and reduce the tolerance of anti-social behaviour (ASB), domestic abuse (DA), serious organised crime (SOC) and the associated deliberate fire setting. All indices of arson have seen significant reductions since the inception of the strategy. There has also been significant resources, from Community Safety Partnerships and the newly formed Violence Reduction Unit, attributed to MFRA's Youth Engagement (Street Intervention Teams in Liverpool, Knowsley and Sefton £50k per annum and a grade 13 role embedded fulltime into the VRU and approximately £45k of investment into BEACON courses in Liverpool and Knowsley).</li><li>• Increased economic</li></ul> |  |
|--|--|--|--|--|--|--|---|--|



|  |  |  |  |  |  |  |   |  |
|--|--|--|--|--|--|--|---|--|
|  |  |  |  |  |  |  | <p>costs from increases in fraud – The outcomes of arson/deliberate fire setting convictions point to perpetrators motives falling into 3 specific areas serious and organised crime, domestic abuse and mental health. There is also some evidence to suggest that illegal money lending is a risk as is fraud (e.g. New Ferry Incident) but there is limited data to suggest that this is an increasing risk due to all indices of arson seeing significant reductions. This is captured under the Arson Reduction Strategies four P’s model.</p> <ul style="list-style-type: none"> <li>• Increased road traffic collisions (RTC) – Merseyside enjoyed a 10% drop in KSIs per 100,000 from 2017 to 2018. This was the 6th best KSI rate from 43 Police Force Areas.</li> <li>• Increased antisocial behaviour (ASB) – The arson reduction strategy focuses multi-agency community safety campaigns in high demand wards in order to support and community</li> </ul> |  |
|--|--|--|--|--|--|--|---|--|



## CORPORATE RISK REGISTER 2019/20

|  |  |     |                      |       |         |  |    |   |    |  |
|--|--|-----|----------------------|-------|---------|--|----|---|----|--|
|  |  | 4.4 | Reputation           | 4.5.1 | 1,2,3,4 | Negative changes to the Community perception of MFRS may be detrimental to Prevention, protection and partnership activities eg. failure to deliver safety messages. | 15 | <p>Corporate Communications activity is focussed on protecting the reputation of the Service whilst providing advice and guidance to communities and promoting the services provided</p> <p>Social media is closely monitored (but not 24/4). Press and media queries are dealt with promptly with senior officers providing information</p> <p>Events are promoted and provided with communications support</p> <p>Staffing levels are relatively low when compared with other FRS's.</p> <p><b>April-Sep Update</b></p> <p>The communications team continue to work across traditional and social media platforms to promote the work of the Service, provide advice and guidance during incidents and respond rapidly to any potential negative publicity.</p> | 12 | Director of Strategy and Performance               |
|  |  | 4.5 | Increased flood risk | 4.6.1 | 1,2     | Ability to respond to major flooding incidents from spate conditions.  | 15 | <p><u>Response</u></p> <p>Operational Crews train for and are equipped for water rescue incidents. Senior</p>   | 10 | AM Operational Preparedness & Operational Response |

## CORPORATE RISK REGISTER 2019/20

|  |  |     |                 |       |       |  |    |   |    |   |
|--|--|-----|-----------------|-------|-------|--|----|---|----|---|
|  |  |     |                 |       |       |  |    |   |    |   |
|  |  | 4.6 | Extreme Weather | 4.7.1 | 1,2   | Spate conditions will impact on ability to respond | 15 | <p>Officers train against national standards for flood response. Specialist Teams are available for local, national and international flood response.</p> <p>Additional resources are available to the Service if required for increased levels of activity. Increased Alert Level protocols can be implemented by Senior Officers for anticipated events.</p> <p><b>April-Sep Update</b><br/>Further to the above Multi-agency LRF arrangements are in place with MFRA being fully embedded.</p> <p>MFRS have contributed to a new MRF Flood plan. This will be validated in a table top exercise by April 2020.</p> <p>This year we have added one Senior Officer to national register of flood tactical advisors, with a further planned for 2020.</p> | 10 | AM<br>Operational Preparedness & Operational Response |
|  |  | 4.7 | Civil Unrest    | 4.8.1 | 1,2,3 | Inability to respond effectively to civil unrest   | 15 | <p>MFRS continually liaises and trains with Merseyside Police and other agencies through formal Local Resilience Forum</p>  | 10 | AM<br>Operational Preparedness & Operational Response |

## CORPORATE RISK REGISTER 2019/20

|  |  |     |   |       |       |  |   |  |                                   |
|--|--|-----|---|-------|-------|--|---|--|-----------------------------------|
|  |  |     |   |       |       |  | <p>channels to ensure a coordinated approach to Civil Unrest following the principles of JESIP (Joint Emergency Services Interoperability Protocol).</p> <p><b>April-Sep Update</b><br/>MFRS continually liaises and trains with Merseyside Police and other agencies through formal Local Resilience Forum channels to ensure a coordinated approach to Civil Unrest following the principles of JESIP (Joint Emergency Services Interoperability Protocol).</p> <p>MFRA Procedures in place for Civil Unrest.</p> |  |                                   |
|  |  | 4.9 | Air pollution charges - Report/regulations due out July 2017 on City Centre car charges for diesel vehicles | 4.9.1 | 1,2,3 | Cost of MFRS ancillary vehicles entering City centre zone – anticipate fire appliances will be exempt. | <p>MFRS Transport Manager will closely monitor the situation</p> <p><b>April-Sep Update</b><br/>Ongoing report delivered to Ops Board on Environmental issues effecting the ancillary fleet.</p> <p>Meeting arranged with the Energy Trust to look at options moving forward to achieve the move to low</p>   |  | AM<br>Operational<br>Preparedness |

## CORPORATE RISK REGISTER 2019/20

|  |      |   |        |       |  |  |  |  |                             |
|--|------|---|--------|-------|--|--|--|--|-----------------------------|
|  |      |   |        |       |  |  | emission vehicles and the infrastructure for charging facilities   |  |                             |
|  | 4.10 | Fuel Strike   |        |       | Loss of fuel available due to strike. Critical services only to utilise MFRS diesel tanks. |  | <p>Merseyside Resilience Forum Fuel plan for strike conditions. MFRS fuel tank supplies utilised for critical services only during strike conditions</p> <p><b>April-Sep Update</b><br/>MFRS Business Continuity Plan and SLT supporting information in place ready to activate if required. Merseyside Resilience Forum Fuel plan in place. Home office report completed in September on bunkered stocks.</p> |  | AM Operational Preparedness |
|  | 4.11 | Diesel fuel vehicles being phased out in the future | 4.11.1 | 1,2,3 | Impact on fleet and lease vehicles   |  | <p>Long term planning for vehicle and asset refresh.</p> <p><b>April-Sep Update</b><br/>There is a meeting arranged with the Energy Trust to look at options moving forward to achieve the move to low emission vehicles and the infrastructure for charging facilities.</p>   |  | AM Operational Preparedness |
| <b>Aims: 1) Excellent Operational Preparedness. 2) Excellent Operational Response. 3) Excellent Prevention &amp; Protection. 4) Excellent People</b> |      |   |        |       |  |  |  |  |                             |

## CORPORATE RISK REGISTER 2019/20

| RISK | STRATEGIC CORPORATE RISK | RISK No. | SPECIFIC CORPORATE RISKS  | SUB RISK No. | AIMS AFFECTED | IMPACT  | RISK SCORE | MITIGATION   | MITIGATED SCORE | RISK/ACTION OWNER                                  |
|------|--------------------------|----------|---|--------------|---------------|---|------------|--|-----------------|--|
| 5.   | Loss of Key staff        | 5.1      | Sudden Mass Absenteeism<br>Pandemic, Strike, CBRNE incident, significant incident | 5.1.1        | 1,2,3,4       | Loss of Key staff, Inability to provide core services | 15         | <u>AM Response</u><br>The Authority maintains a resilience team capable of providing the necessary operational response provision as required within the 10 key locations during contingency situations. In addition section 13-16 arrangements are maintained to supplement internal resilience arrangements.<br><br><b>April-Sep Update</b><br>No change this period                 | 10              | AM Operational Preparedness & Operational Response |
|      |                          | 5.2      | Industrial Action resulting in the Inability to provide suitable response         | 5.2.1        | 1,2,3,4       | Inability to attend incidents, provide core services  |            | The Authority maintains a resilience team capable of providing the necessary operational response provision as required within the 10 key locations during contingency situations. In addition section 13-16 arrangements are maintained to supplement internal resilience arrangements.<br><br><b>April-Sep Update</b><br>Business continuity plans in place and tested twice a year. |                 |  |

## CORPORATE RISK REGISTER 2019/20

|  |  |            |   |              |                |  |           |   |           |                 |  |
|--|--|------------|---|--------------|----------------|--|-----------|---|-----------|-----------------|--|
|  |  | <b>5.3</b> | Change resulting in loss of Key staff and increasing workloads to set strategy and deliver services | <b>5.3.1</b> | <b>1,2,3,4</b> | Loss of key skills, lack of momentum going forward, reduced ability to respond to changes. | <b>15</b> | <p>The Authority continues to manage its staffing requirements through the Workforce strategy group, appraisal process, and Gateway promotion process. All combining to identify potential staff or skill shortage, and ensure adequate training, promotion or recruitment to address those needs</p> <p><b>April-Sep Update</b><br/>Work progresses as detailed above. A current round of Watch Manager appointments is being completed to put in place a more permanent managerial structure to support ongoing recruitment, and the introduction of revised duty systems</p> | <b>12</b> | Director of POD |  |
| <b>Aims: 1) Excellent Operational Preparedness. 2) Excellent Operational Response. 3) Excellent Prevention &amp; Protection. 4) Excellent People</b> |  |            |   |              |                |  |           |   |           |                 |  |



## CORPORATE RISK REGISTER 2019/20

| RISK | STRATEGIC CORPORATE RISK | RISK No. | SPECIFIC CORPORATE RISKS  | SUB RISK No. | AIMS AFFECTED | IMPACT  | RISK SCORE | MITIGATION   | MITIGATED SCORE | RISK/ACTION OWNER   |
|------|--------------------------|----------|---|--------------|---------------|---|------------|--|-----------------|---|
| 6.   | <b>Technology Risks</b>  | 6.1      | Management of 3rd Party Technology Suppliers Software & Applications Training requirements. | 6.1.1        | 1,2,3,4       | Loss or reduction in the quality of services provided | 12         | <p><u>ICT</u><br/>telent, under the contract and the internal ICT client team manage suppliers to achieve the required service levels and ensure suppliers are appropriate to support the needs of MFRA, both across the ICT infrastructure <i>and</i> the commodity &amp; fire control applications used by the Authority. This ensures the suppliers deliver continuous service improvement, show best value and are fit for purpose to meet the business needs.</p> <p><u>System Support</u><br/><br/>There will be an individual update for this area in future reports</p> <p><u>Finance &amp; HR</u><br/><br/>There will be an individual update for this area in future reports</p> <p><b>Apr- Sep update</b></p> | 6               | <p>Head of Technology</p> <p>Director of Strategy &amp; Performance</p> <p>FMIS Manager</p> |

## CORPORATE RISK REGISTER 2019/20

|           |                         |            |   |              |                |   |   |   |           |   |
|-----------|-------------------------|------------|---|--------------|----------------|---|---|---|-----------|---|
| <b>6.</b> | <b>Technology Risks</b> |            |   |              |                |   | No change this period – <i>Head of Technology</i> |   |           |   |
|           |                         | <b>6.2</b> | Infrastructure sharing with partners. Security from Virus and hacking, loss of data (Laptops, CD etc.). | <b>6.2.1</b> | <b>1,3,4</b>   | Data compromised, loss of data, complaints, legal action, fines | <b>15</b>   | <p><u>Director of Strategy &amp; Performance</u></p> <p>The Strategy and Performance ICT Board considers and responds to strategic risks</p> <p>A Protective Security Group focuses on information security</p> <p>Governance arrangements for applications were been reviewed and formalised in 2016.</p> <p><b>April-Sep Update</b></p> <p><u>Head of Technology</u></p> <p>See 6.9 below</p> | <b>12</b> | <p><b>Head of Technology</b></p> <p><b>Director of Strategy &amp; Performance</b></p> |
|           |                         | <b>6.3</b> | The inability to keep pace with technology changes.   | <b>6.3.1</b> | <b>1,2,3,4</b> | Loss or reduction in the quality of services provided           | <b>15</b>   | <p>MFRA has forgone a concrete roadmap for its newly launched ICT strategy and has instead adopted a strategic framework which reviews planned activities and outcomes in a yearly cycle of meetings. This ability to ‘evolve’ the strategic outcomes allows the Authority to match the fast pace of change in the ICT sector, taking advantage of</p>  | <b>12</b> | <b>Head of Technology</b>   |

## CORPORATE RISK REGISTER 2019/20

|                            |            |   |              |                |   |           |   |           |   |
|----------------------------|------------|---|--------------|----------------|---|-----------|---|-----------|---|
| <b>6. Technology Risks</b> |            |   |              |                |   | <b>15</b> | <p>appropriate innovations, whilst having an ICT infrastructure that is robust, secure, reliable and resilient.</p> <p>For this reason, our ICT strategy is encapsulated in our ICT strategic framework and our asset management plan, and is then aligned to wider organisation strategy at the quarterly held S&amp;P ICT Board.</p> <p><b>April-Sep Update</b><br/>No change this period</p>   |           |   |
|                            | <b>6.4</b> | Poor data/information management resulting in loss of data, legal redress from Information Commissioner. Particularly in relation to failure to implement the General Data Protection Regulation. | <b>6.4.1</b> | <b>1,2,3,4</b> | Data compromised, loss of data, complaints, legal action, fines | <b>15</b> | <p>There are policies for Information Security and Governance, Acceptable use of ICT equipment and Protective Security. There are also several Service Instructions covering the key issues associated with this, including data protection, retention period, destruction of information assets, records management and Freedom of Information.</p> <p>Work to implement the General Data Protection Regulation was successful. This included:</p> | <b>12</b> | <b>Director of Strategy &amp; Performance</b> |



|  |  |  |  |  |  |  |   |  |
|--|--|--|--|--|--|--|---|--|
|  |  |  |  |  |  |  | <p>dependent on external factors beyond its day-to-day control; the main issue being slippage at the national level.</p> <p>The Home Office will continue to work closely with FRSs &amp; Airwave to ensure that our current voice communication network remains in place and effective.</p> <p>ICT staff regularly attend ESMCP updates at Fire Control North West to gain the latest information on the progress of the project and maintain a watching brief to ensure any opportunities to influence national/regional aspects of ESMCP are taken.</p> <p>The project risks are being managed by the MFRA ESMCP project board and a national programme risk register is maintained by the Home Office central team.</p> <p><b>April-Sep Update</b><br/>Due to the ESMCP delays, Home Office contracts with Airwave have been extended past both the original 2016 and subsequent 2019 expiry dates with the current</p> |  |
|--|--|--|--|--|--|--|---|--|

## CORPORATE RISK REGISTER 2019/20

|  |  |     |  |       |         |   |                                       |   |    |                                    |
|--|--|-----|--|-------|---------|---|---------------------------------------|---|----|------------------------------------|
|  |  |     |  |       |         |   | National agreements extended to 2025. |   |    |                                    |
|  |  | 6.7 | Withdrawal and transition arrangements from SOPHTLOGIC to new MIS for Community Fire Protection. | 6.7.1 | 1,2,3,4 | Robust transitional arrangements are required to ensure the Authority can carry out its statutory duty as the Enforcing Authority under the RRO (Fire Safety) 2005. | 15                                    | <p>The replacement of the SOPHTLOGIC system is programmed in for development and options are being explored. The transitional arrangements remain part of that process.</p> <p><b>April-Sep Update</b><br/>Work continues to replace the Sophtlogic system but it is expected that this will take longer than initially anticipated due to unanticipated recruitment and technical challenges. IT is recognised as a high priority for the Service.</p> | 12 | Director of Strategy & Performance |
|  |  | 6.9 | Increase potential for Cyber Attack as we move to the Cloud                                      |       |         | Loss or reduction in the quality of services provided   | 15                                    | ICT deploys a number of security measures to protect the Merseyside Fire and Rescue Authority (MFRA) networks and information. Measures to protect from external attacks include applying updates and patches to applications, software and operating systems; deploying firewalls; filtering traffic; deploying access control solutions; using anti-malware   | 12 | Head of Technology                 |

## CORPORATE RISK REGISTER 2019/20

|  |  |             |   |  |  |   |   |           |   |
|--|--|-------------|---|--|--|---|---|-----------|---|
|  |  |             |   |  |  |   | <p>solutions to block malicious code (including viruses, trojans, worms, spyware, ransomware, adware, etc.); network segregation solutions and e-mail filtering solutions.</p> <p><b>April - Sep Update</b><br/>ICT continues to takes advantage of Cyber Security Information Sharing initiatives with various organisation</p>  |           |   |
|  |  | <b>6.10</b> | <p>Unavailability of the Home Office Incident Recording System (IRS).<br/>March 2019 - CFOs have received notification that funding has not been granted to renew this system and although the intention is to maintain it there is a risk that it will become unavailable.</p> |  |  | <p>MFRS would be unable to record any detailed data about incidents other than what is captured on the mobilising system management information system. This would severely hamper the Service's ability to supply data and information for planning and performance management purposes.</p> | <p>We will engage with Home Office and NFCC to try and ensure that access to the system is not lost.</p> <p>Also, some fire and rescue services have their own incident recording system and only use IRS to send data to government. We will explore other systems used and whether they would be appropriate/affordable for MFRS.</p> <p><b>April-Sep Update</b><br/>The HO has now moved IRS to a new data centre and made some changes that have improved the speed and user experience. The HO are still</p> | <b>12</b> | <b>Director of Strategy &amp; Performance</b> |

## CORPORATE RISK REGISTER 2019/20

| RISK   | STRATEGIC CORPORATE RISK | RISK No. | SPECIFIC CORPORATE RISKS  | SUB RISK No. | AIMS AFFECTED | IMPACT  | RISK SCORE | MITIGATION  | MITIGATE D SCORE | RISK/ACTION OWNER                                    |
|--|--------------------------|----------|---|--------------|---------------|---|------------|---|------------------|--|
| <b>Aims: 1) Excellent Operational Preparedness. 2) Excellent Operational Response. 3) Excellent Prevention &amp; Protection. 4) Excellent People</b> |                          |          |   |              |               |   |            |   |                  |  |
| 7.   | Procurement              | 7.2      | Poorly Managed contracts/Partnerships the Financial impacts, onerous T&Cs | 7.2.1        | 1,2,3,4       | Negative impact on service delivery, legal issues, poor quality Partnerships undertaken   | 12         | Regular, documented contract management in place for key contracts with priorities agreed between the Authority and the supplier.<br><br><b>April-Sep Update</b>  | 8                | Director of Legal, Procurement & Democratic Services |
|  |                          | 7.3      | Key suppliers of goods and services ceasing to trade                      | 7.3.1        | 1,2,3,4       | Immediate impact on availability of goods and services required to operate efficiently, legal issues, alternative sources of supply needed. | 15         | Use of Creditsafe alerts to identify and financial changes to contracted suppliers.<br><br><b>April-Sep Update</b><br>Work has been undertaken to try and assure continuity of goods if the planned EU exit proceeds. Second line of supply for key goods has been identified where this is critical. | 12               | Director of Legal, Procurement & Democratic Services |



## CORPORATE RISK REGISTER 2019/20

|  |  | 1.8 | Changes to insurance discount rates | 1.8.1 | 1,2,3,4 | Increased insurance premiums | 15 | <p>This is largely out of the control of MFRA but careful negotiation and management of all contracts assist with mitigating the effect.</p> <p><b>April-Sep Update</b></p> <p><b><u>Removed Sept 2019</u></b></p>   | 12 | Director of Legal, Procurement & Democratic Services |
|--|--|-----|-------------------------------------|-------|---------|------------------------------|----|--|----|--|
|  |  |     |                                     | 3.5.2 | 1,2,3,4 | Saughall Massie              | 25 | <p>Planning permission has now been received for Saughall Massie and Authority approval will be sought later in 2017 for the build to commence, once the land has been obtained.</p> <p><b>April-Sep Update</b></p> <p>Construction of Saughall Massie Fire station has been completed and the station is fully operational. This risk can be closed.</p> <p><b><u>Removed Sept 2019</u></b></p> | 6  | Head of Estates                                      |

