



CORPORATE RISK REGISTER

February 2022

Purpose

The following document is the Corporate Risk Register for Cleveland Fire Authority. This details the strategic risks facing the Authority in achieving its vision and strategic goals.

In order to identify all of the strategic risks facing Cleveland Fire Authority the contents of this document should be considered alongside the Cleveland Community Risk Register that is produced and maintained by the Local Resilience Forum in conjunction with partner agencies within the Cleveland Area and the National Risk Register.

The Corporate Risk Register details contains the risks and associated mitigating actions specific to Cleveland Fire Authority.

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| Business Objectives | | | Corporate Risk Register | | | | | Completed By: | | Head of Risk and Performance | |
|---------------------|--|--|-------------------------|------------|--|-------------------------------|------------|---------------|---------------|------------------------------|--|
| | | | | | | | | Date: | | February 2022 | |
| Risk No. | Risk | Assessment of Risk | | | Risk Control Measures | Assessment of Risk | | | | | |
| | | Impact | Likelihood | Lead | | Impact | Likelihood | | Impact | Likelihood | |
| | | Original Risk | | | | Current Risk | | | Residual Risk | | |
| Political | | Associated with the failure to deliver either local or central government policy | | | | | | | | | |
| 2021/22 P01 | National Security The National Risk Assessment recognises that the UK faces a serious and sustained threat from Terrorism which will have operational implications for the FRS support as part of the national infrastructure | 4 | 3 | ACFO CP | ▪ DSP2.1: implement Business Continuity Plan programme and continue testing ▪ DSP3.14: review ICT Strategy including Cyber Crime Prevention | 4 | 3 2 | | 2 | 3 | |
| | | 12 High | | | | 12 High 8 Medium | | | 6 Medium | | |

| 2021/22 P03 | PO3: Fire and Rescue Reform The Government’s pending White Paper on Fire and Rescue Reform may result in a change in CFA strategic direction in relation to purpose, priorities, roles, responsibilities, pay negotiation mechanisms; and terms and conditions. | 4 | 3 | CFO | ▪ CSP 8.1: assess the implications of the Government’s ‘White Paper’ on Fire and Rescue Reform and determine future actions in this respect | 4 | 3 | | 2 | 3 |
|----------------|--|------------|---|-----|---|------------|---|--|-------------|---|
| | | 12 High | | | | 12 High | | | 6 Medium | |

| Economic | | Affecting the ability of the organisation to meet its financial commitments including internal budgetary pressures and provision of adequate insurance cover | | | | | | | | | |
|----------------|---|--|---|-------------|---|------------|---|--|-----------|---|--|
| 2021/22 E01 | Financial Pressures and Service Sustainability Unknown outcomes relating to future Comprehensive Spending and Fair Funding Reviews; capping on council tax increases; business rate retention scheme; and pay increases as well as financial pressures associated with the impact of COVID-19 (unplanned expenditure; and loss of council tax and business rates income) may negatively impact the planning and sustainability of future community safety services. | 4 | 3 | ACFO SPR | <ul style="list-style-type: none">▪ CSP3.1: undertake budget and reserve adjustments 2021/22▪ CSP3.2: review Efficiency Plan▪ CSP3.3: review of budget provision▪ CSP3.4: review Reserve Strategy▪ CSP3.4: prepare a CSR 2021 submission to the Treasury▪ DSP3.1: achieve an unqualified opinion on the financial statement▪ DSP3.2: achieve an unqualified opinion on Value for Money▪ DSP3.3: monitor and report on costs associated with COVID-19▪ DSP3.4: apply and monitor grant funding relating to COVID-19▪ CSP4.1: implement 2021/22 Asset Management Plan▪ DSSC1.1: implement cost recovery model in relation to our Unwanted Fire Signal Strategy▪ DSSC1.2: evaluate the UWFS 24hr operating model (pilot)▪ CUOR3.1: explore opportunities to increase capacity through a review of fire-fighter productivity▪ CUOUR3.2: align productivity to budget spend | 4 | 4 | | 3 | 3 | |
| | | 12 High | | | | 16 High | | | 9 High | | |

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|----------------|---|---|---|-------------|---|---|---|--|---|---|
| 2021/22 E02 | E02: Pension Reforms Pension Reform and remedies as a result of outcomes from significant litigation claims relating to age discrimination and the less favourable treatment of part-time workers may incur substantial financial pressure and extensive increased workloads. | 4 | 4 | ACFO SPR | <ul style="list-style-type: none"> ▪ CSP12.1: deal with the remedy for the immediate detriment cases ▪ CSP12.2: transfer all members to FPS 2015 on 1 April 2022 ▪ CSP12.3: Deferred Choice Underpin (DCU) Part 1 - implement ▪ CSP12.4: Deferred Choice Underpin (DCU) Part 2 - maintenance of CARE underpinned records from April 2015 ▪ CSP12.5: Deferred Choice Underpin (DCU) Part 3 – provide remedy choice from Oct 2023 ▪ CSP12.6: Monitor Progress of the legal case outcomes and consider next steps ▪ Policy for Payment of Immediate Detriment Cases ▪ Financial profile and assessment of cases ▪ Internal Audit review of Pension Service ▪ HMIC self assessment review of pension administration | 4 | 4 | | 2 | 3 |
| 2021/22 E03 | E03: Fire Standards The introduction of the National Fire Standards may create un-resourced requirements on the Brigade which may impact the ability of the Brigade to fully implement the Standards. | 3 | 3 | CFO | <ul style="list-style-type: none"> ▪ Conduct gap and impact analysis on all standards as and when they are published. | 3 | 3 | | 3 | 1 |

| Social | | Relating to the effects of changes in demographic, residential or socio-economic trends on the organisation's ability to deliver its objectives | | | | | | | | | |
|----------------|--|---|----|------------|---|---------------------------|-----|--|-----------|----|--|
| 2021/22 S01 | Increased Vulnerability A changing community and economic profile and the long-term impacts of COVID-19 (increased unemployment; social inequality, crime, drugs and alcohol use; mental health; social isolation; fuel poverty; human trafficking) may increase the demands for and the nature of the Brigade's services. | 4 | 2 | ACFO CP | <ul style="list-style-type: none">▪ CSSC3.1: implement years 1 and 2 of our Arson Reduction Strategy▪ CSSC4.2: review the prevention targeting methodology for allocating resources to risk and re-design the service offer to communities▪ DSSC3.1: review our specialist capability re line rescue including bariatric lifts and body recovery▪ DSSC5.1: implement Year 3 actions within our Community Safety Strategy▪ DSSC5.2: evaluate and develop the efficiency and effectiveness of the 'Prevention at Home' on-line tools▪ Conduct fuel poverty vulnerability review on incidents to identify emerging trends▪ Investigate potential increased recording and analysis of vulnerability factors | 4 | 2 3 | | 2 | 2 | |
| | | 8 Medium | | | | 8 Medium 12 High | | | 4 Low | | |
| 2021/22 S02 | Community Engagement (Opportunity) Continuing to enhance our understanding of community requirements may result in improved service provision. | -3 | -3 | ACFO CP | <ul style="list-style-type: none">▪ DSSC5.1: implement Year 3 actions within our Community Safety Strategy▪ DSSC5.2: evaluate and develop the efficiency and effectiveness of the 'Prevention at Home' on-line tools▪ DSSC5.3: evaluate and develop the efficiency and effectiveness of the 'Protection for Business' on-line tools | -3 | -3 | | -1 | -3 | |
| | | -9 High | | | | -9 High | | | -3 Low | | |

| Technological | | Associated with the capacity of the organisation to deal with the pace and scale of technological change, or its ability to address changing demands. Also includes the consequences of internal technological failures | | | | | | | | | |
|----------------|--|---|---|-------------|--|-------------|---|--|----------|---|--|
| 2021/22 T01 | Emergency Services Mobile Communication Program (ESMCP) Failure to meet the ESMCP national project milestones may result in delays to the Brigade’s switch over to the new ESN communication facility. | 4 | 4 | ACFO SPR | <ul style="list-style-type: none">▪ CUOR 6.4: in collaboration with CDFRS explore options to seek mutual technological and service delivery enhancements to emergency call handling and mobilising provision▪ DSP3.14: review ICT Strategy including Cyber Crime Prevention | 4 | 4 | | 2 | 2 | |
| | | 16 High | | | | 16 High | | | 4 Low | | |
| 2021/22 T02 | Information and Data Security Increase in Cyber Crime and breaches of Information and Data Security may result in reputational; organisational and personal loss. | 4 | 2 | ACFO SPR | <ul style="list-style-type: none">▪ DSP3.14: review ICT Strategy including Cyber Crime Prevention▪ DSP2.1: implement Business Continuity Plan programme and continue testing▪ Undertake Cyber Security independent audit and implement recommendations | 4 | 2 | | 4 | 1 | |
| | | 8 Medium | | | | 8 Medium | | | 4 Low | | |

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|----------------|---|--------------|----|-------------|---|--------------|----|-----------|----|
| 2021/22 T03 | T3: Digital Transformation (Opportunity) Leveraging the changes and opportunities of digital technologies will improve the efficiency and effectiveness of our services and business processes; and the way we work. | -4 | -2 | ACFO SPR | <ul style="list-style-type: none">▪ CUOR 6.1: design a Digital Transformation Strategy/Programme that enables the achievement of our strategic objectives by using customer insight and experience to establish new digital community safety services as set out in our CIRMP and achieve efficiencies and increased productivity in internal processes through digital applications.▪ CUOR 6.2: launch our new digital business platform that will enable digital transformation and support staff on their digital transformation journeys, stimulating thought and innovative ways of working and the required cultural change.▪ CUOR 6.4: in collaboration with CDFRS explore options to seek mutual technological and service delivery enhancements to emergency call handling and mobilising provision▪ DUOR 6.1: implement Phase 2 of the Integra System to improve stock management and control of uniform and equipment▪ DUOR 6.2: implement Human Resource Information and Operational Rota Systems to improve workflow; and data collection and monitoring | -4 | -2 | -4 | -1 |
| | | -8 Medium | | | | -8 Medium | | -4 Low | |

| Legislative | | Associated with current or potential changes in national or European Law | | | | | | | | | |
|----------------|---|--|---|------------|---|-------------|---|--|----------|---|--|
| 2021/22 L01 | L1: Grenfell Tower Inquiry Outcomes and publicity from the on-going high profile Public Inquiry into the Grenfell Tower Fire on 14th June 2017 may impact on the reputation and public confidence of Cleveland Fire Brigade thereby preventing the Brigade in discharging its duties efficiently and effectively. | 3 | 2 | ACFO CP | <ul style="list-style-type: none">▪ CSSC5.1: implement the Brigade’s Grenfell Tower Action Plan established in response to the recommendations contained within the Grenfell Inquiry Phase 1 Report published in Oct 2019▪ CSSC5.2: allocate grant funding to progressing the Brigade’s Grenfell Tower Action Plan and monitor expenditure | 3 | 2 | | 2 | 2 | |
| | | 6 Medium | | | | 6 Medium | | | 4 Low | | |

| Environmental | | Relating to the environmental consequences of progressing the organisation’s strategic objectives, e.g. Pollution and emissions | | | | | | | | | |
|-----------------|---|---|---|-------------|--|-----------|---|--|----------|---|--|
| 2021/22 En01 | En01: Climate Change Our day-to-day operations and working arrangements may be contributing to an increase in greenhouse gas emissions that speed up the rate of climate change and subsequently increase local and national service demand. | 3 | 3 | ACFO SPR | ▪ CSP6.1: produce a Climate Change Risk Assessment that can be considered within the Brigade’s CIRMP planning arrangements ▪ CSP6.2: produce a Climate Change Strategy that links to our CIRMP and contributes to the reduction of the risks identified in CSP6.1 above | 3 | 3 | | 1 | 3 | |
| | | 9 High | | | | 9 High | | | 3 Low | | |

| Organisational | | Cross cutting risks, in terms of effectiveness, cost and quality of service delivery | | | | | | | | | |
|----------------|--|--|----|-------------|--|------------|----|--|-----------|----|--|
| 2021/22 O01 | <p>Improved Performance and Public Confidence (Opportunity)</p> <p>Addressing the gaps identified in the Brigade’s Self-Assessment and HMICFRS Report will provide the opportunity to further improve efficiency, effectiveness and people management performance and public confidence</p> | -3 | -3 | ACFO SPR | <ul style="list-style-type: none">CUF2.1: establish an Evaluation FrameworkDSSC1.1: implement cost recovery model in relation to our Unwanted Fire Signal StrategyDSSC1.2: evaluate the 24hr operating model (pilot)DSSC3.1: review our specialist capability re line rescue including bariatric lifts and body recoveryDSSC5.1: implement Year 3 actions within our Community Safety StrategyDSSC5.2: evaluate and develop the efficiency and effectiveness of the ‘Prevention at Home’ on-line toolsDSSC5.3: evaluate and develop the efficiency and effectiveness of the ‘Protection for Business’ on-line toolsCSP2.2: evaluate effectiveness of existing prevention, protection and emergency response servicesCSP2.3: identify improvement opportunities; and determine policies and standards for delivery of community safety services | -3 | -3 | | -3 | -1 | |
| | | -9 High | | | | -9 High | | | -3 Low | | |

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|----------------|---|------------|----|-------------|--|--------------|----|--|-----------|----|
| 2021/22 O02 | <p>O02: Organisational Learning and COVID-19 (Opportunity)</p> <p>Findings from our self-assessed COVID-19 and the NFCC key learning studies and the HMICFRS COVID-19 Inspection Report will improve the resilience, effectiveness and efficiency of the Fire Authority’s response to the COVID-19 pandemic crisis and provide a springboard for lasting reform and modernisation.</p> | -3 | -3 | ACFO SPR | <ul style="list-style-type: none">▪ CSP9.1: ensure that the Authority’s governance is maintained to be assured that its statutory functions, service priorities and budgetary provision are fully discharged during the pandemic▪ CSP9.2: in line with good governance, the Brigade has developed and implemented a Pandemic Flu Plan and a bespoke COVID-19 Business Continuity Plan. Maintain preparedness activity and ensure that the plans are reviewed and remain effective against a changing landscape▪ CSP9.3: adopt a risk-based approach to the maintenance of the core statutory functions▪ CSP9.4: maintain the health, safety and wellbeing of all staff to the highest possible standards▪ CSP9.5: in conjunction with the Local Resilience Forum and/or Local Strategic Outbreak Boards, we will protect our communities by carrying out additional activities, beyond our core role, to support other local blue light services and other public service providers▪ CSP9.6: lessons learnt from the COVID-19 response are gathered, shared and acted upon, where appropriate▪ CSP9.7: in considering recovery we will align to the Emergency Response and Recovery Non statutory guidance accompanying the Civil Contingencies Act 2004▪ CSP10.1: evaluate and develop new and innovative ways of working introduced during the pandemic▪ CSP10.2: ensure whole-time fire-fighters are fully productive, while minimising the risk of them contracting or spreading the virus | -3 | -2 | | -3 | -1 |
| | | -9 High | | | | -6 Medium | | | -3 Low | |

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|----------------|--|-------------------------------------|------------|--|-------------------------------------|------------------------------------|--|
| | | | | <ul style="list-style-type: none">▪ CSP10.3: evaluate the activities undertaken to support our partner organisations and assess the continuation of those services▪ CSP10.4: consider the adaptation of flexible working arrangements to make sure that we have the right provisions to support a modern workforce▪ DSSC5.2: evaluate and develop the efficiency and effectiveness of the 'Prevention at Home' on-line tools▪ DSSC5.3: evaluate and develop the efficiency and effectiveness of the 'Protection for Business' on-line tools | | | |
| 2021/22 O03 | <p>O03: Capacity to Enforce the Regulatory Reform (Fire Safety) Order 2005</p> <p>Significant increases in enforcement activity under the Regulatory Reform (Fire Safety) Order 2005 as a result of the economic downturn during the COVID-19 global pandemic combined with the expected increase in this activity through the introduction of our revised risk-based inspection programme on 1st April 2021 may result in insufficient capacity to effectively enforce the provisions of the Fire Safety Order and the requirements of the Building Safety Bill.</p> | <div>33</div> <div>9 High</div> | ACFO CP | <ul style="list-style-type: none">▪ DSP3.28: review fire safety enforcement policy▪ DSP3.29: review fire safety general standards▪ CSSC2.1: implement the Brigade's new risk-based inspection programme▪ CSSC2.2: evaluate the Brigade's risk-based inspection programme to ensure efficiency and effectiveness including the Brigade's capacity to meet our duty to enforce under the Regulatory Reform (Fire Safety) Order 2005 | <div>33</div> <div>9 High</div> | <div>31</div> <div>3 Low</div> | |

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| 2021/22 E03 | E03: Fire Standards The introduction of the National Fire Standards may create un-resourced requirements on the Brigade which may impact the ability of the Brigade to fully implement the Standards. | 3 | 3 | CFO | ▪ Conduct gap and impact analysis on all standards as and when they are published. | 3 | 3 | | 3 | 1 |
| | | 9 High | | | | 9 High | | | 3 Low | |

| | | | | | | | | | | |
|----------|--|--|--|--|--|--|--|--|--|--|
| Customer | Associated with failure to meet the current and changing needs and expectations of the community | | | | | | | | | |
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|--|------------------------|--|--|--|--|--|--|--|--|--|
| | New and Emerging Risks | | | | | | | | | |
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| Redundant and Deleted Risks | | | | | | | | | |
|-----------------------------|--|--|--|------------|--|--|--|--|--|
| 2021/22 P02 | PO2: Fire and Rescue Reform Fire and Rescue Reform as a result of the recommendations of HMICFRS in his State of Fire and Rescue 2019 and 2020 Reports will result in a change in CFA strategic direction in relation to purpose, priorities, roles, responsibilities, pay negotiation mechanisms: and terms and conditions. | | | CFO | | | | | |
| | | | | | | | | | |
| 2021/22 P04 | PO4: EU Exit – End of Transition Period The introduction of new rules governing the relationship between the United Kingdom and European Union may result in an adverse impact on the Brigade's ability to deliver its duties effectively and efficiently. | | | CFO | | | | | |
| | | | | | | | | | |
| 2021/22 L02 | L2: Reform of Building Safety The review of building regulations and fire safety will introduce building safety minimum standards legislation (Regulations and Approved Documents) that will put in place a new and modernized regulatory regime system. | | | ACFO CP | | | | | |
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Definitions

Original Risk: Original assessed level of risk when item was identified and included within the risk register

Current Risk: Risk level at time of review taking into account the number and extent that the risk control measures have been implemented

Target Risk: Anticipated risk level when all identified risk control measures have been implemented successfully

Key

Grey Text: Actions that have been completed and implemented successfully

Black Text: Actions that are in process of implementation or still to be implemented

Risk / Opportunity Matrix

| | | RISK | | | | OPPORTUNITY | | | | | |
|------------|---|--------|---|----|----|-------------|-----|----|----|----|------------|
| Likelihood | 4 | 4 | 8 | 12 | 16 | -16 | -12 | -8 | -4 | -4 | Likelihood |
| | 3 | 3 | 6 | 9 | 12 | -12 | -9 | -6 | -3 | -3 | |
| | 2 | 2 | 4 | 6 | 8 | -8 | -6 | -4 | -2 | -2 | |
| | 1 | 1 | 2 | 3 | 4 | -4 | -3 | -2 | -1 | -1 | |
| | | 1 | 2 | 3 | 4 | -4 | -3 | -2 | -1 | | |
| | | Impact | | | | Impact | | | | | |