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Authors: Rob Powell and John Weston

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## Joint Risk Assessment

# Mid and West Wales Fire and Rescue Authority

Building on many areas of improvement identified by the updated Joint Risk Assessment, the Authority needs to address a number of priority areas in its Risk Reduction and Improvement Planning.

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## Summary

1. The Wales Audit Office delivers the Wales Programme for Improvement (Fire) on behalf of the Welsh Assembly Government (the Assembly Government) by inspecting the three Welsh Fire and Rescue Authorities. This inspection takes the form of an operational assessment, undertaken by a Peer Assessment Team observed by Wales Audit Office staff and a non-operational assessment undertaken by Wales Audit Office staff. This process results in a Joint Risk Assessment (JRA) agreed by the Wales Audit Office, Peer Assessment Team and officers of the Fire and Rescue Service. The JRA is updated each year and informs the regulatory work – audit and inspection – undertaken.
2. This report summarises the key issues to have emerged from the updated JRA which we have recently developed with your officers. This updates the JRA which was presented to the Mid and West Wales Fire and Rescue Authority (the Authority) in July 2007. The work undertaken examined progress made over the past year and was also informed by a thematic operational assessment, which considered the preparedness of Fire and Rescue Services for major disruptive events, with a particular focus on wide scale flooding.
3. The key risks and priorities identified through the JRA process should inform the Authority's annual Improvement Plan and Risk Reduction Action Plan, as well as informing the process of determining audit and inspection work through the agreement of the Regulatory Plan which we will discuss with officers and present to the Authority.
4. Building on many areas of improvement identified by the updated JRA, the Authority needs to address a number of priority areas in its Risk Reduction and Improvement Planning.
5. This report summarises the high-level findings of the JRA and is not exhaustive in listing every risk facing the Authority. The detailed findings are set out in the Risk Assessment Template (RAT) which will be made available to members in electronic format. Members may wish to consult the RAT for further information and detail. The RAT categorises the inherent risk and level of residual risk in each area of the WPI framework, using high/medium and low categorisations of risk which were discussed and agreed with senior officers.
6. The Wales Audit Office will continue to update the JRA annually, and will work with officers and members to actively promote improvement. This report is intended to set out some of the key issues for the new Authority in a way that will help Members and officers to deliver their Risk Reduction and Improvement Plans and to improve fire safety in Mid and West Wales.

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## **The operational assessment identified improvements but also highlighted key risks relating to risk analysis, the Local Resilience Fora, Long Term Capability Management and policies concerning spate conditions and operational procedures**

7. The JRA highlights a number of areas of progress identified by the operational assessment, including:

  - A Business Risk Management Group has been established and is creating a Business Risk Register and Strategy. During the summer it proposes to undertake a desk-top review of risks with key stakeholders which will be used to inform the Business Risk Register. In addition the Service has undertaken an insurance renewal exercise which has delivered savings, partly based on the Service's approach to managing its risks.
  - The Service is making good progress in developing plans and procedures around identified risks, although further work is required as noted by the recent PAT review.
  - The development of the Fire Services Emergency Cover Model (FSEC) has been subject to an independent review which endorsed the approach of the Fire and Rescue Service. This review set out 16 recommendations which are being incorporated into the FSEC project plan.
  - Targets for Home Fire Safety Audits have been developed for individual County Areas. The County Commanders are responsible for the delivery of the audits and devising solutions where there are problems. The targets set last year were exceeded and the Service has set new targets in the draft Risk Reduction Action Plan for 2009/2010 to target homes that are at a greater fire risk.
  - In terms of emergency response, the FRA is seeking to address key challenges, for example by developing co-responding schemes in fourteen separate locations. This initiative has helped drive down community risk in the areas covered by the scheme. The Service has developed a Marine Incident Response Group team and local arrangements with the Environment Agency. In order to provide fire cover across their area, the Service relies heavily on the Retained Duty System.
  - The Peer Assessment Team found that the New Dimensions assets are integrated into the Service's mobilising regime and that robust systems exist to ensure that Incident Command is effectively discharged for these types of incidents.
8. The JRA update and operational assessment work by the Peer Assessment Team on flooding also identified a number of key risks which had either a high or medium level of residual risk. These are set out in Exhibit 1.

**Exhibit 1 – main risks from the operational assessment**

Aspect	Description	Potential impact	Mitigating measures/controls	Level of inherent/residual risk
Risk Analysis	<p><b>The 2007 PAT Team Report Noted that:</b> Business Continuity Management is in the early stages of development within the Service and there is a risk that development in this area could be hampered because of the limited resources available to the new Civil Contingencies and Resilience Department.</p>	Failure to ensure continuity of service delivery	Ensure resources targeted towards Business Continuity and corporate approach to Business Continuity Management is project managed	H/H
Loss of life	Recent events involving the loss of life of fire-fighters need to be reviewed and a 'lessons learned' approach adopted, and regard taken to emerging risks from new legislation on Corporate Manslaughter	Risk of loss of life of firefighter	<p>The Service has developed an Operational Learning System (OLS) which gathers together and analyses experiences from incidents so that the Service can learn and, where necessary, initiate changes to improve training, equipment and procedures. This involves monitoring of national events involving major incidents for example Buncefield and Atherstone-on-Stour, and any subsequent investigatory report. The OLS will utilise information and trends highlighted from a wide variety of sources. The various methods the Service will use to identify issues are as follows:</p> <ul style="list-style-type: none"> <li>• Operational Monitoring;</li> <li>• Operational Debriefing;</li> <li>• Critical Reporting;</li> <li>• Health and Safety Reporting; and</li> <li>• Command Inspection Programme.</li> </ul> <p>This will enable the service to deal with issues utilising a fully auditable and transparent process and ensures that a 'lessons learned' approach is taken.</p>	H/H

Aspect	Description	Potential impact	Mitigating measures/controls	Level of inherent/residual risk
Local Resilience Forum	<b>The 2008 PAT Team noted that:</b> Potential opportunities and challenges presented by the intended engagement with two Local Resilience Fora which cover the Service's statutory area.	Potential capacity issues	The FRS has proposed that it will become more involved with the South Wales Local Resilience Forum in addition to its work with the Dyfed Powys LRF. At this stage the FRS has yet to determine its level of involvement with South Wales LRF. In addition the Service has established operational support procedures with neighbouring Services. The Service is currently evaluating the preliminary Pitt report into last summer's flooding and will be reviewing its operational response to major incidents such as flooding when the final report is produced later in 2008.	H/M
Prevention and Protection	<b>The 2007 PAT Team noted that:</b> Further consideration is required regarding the financing of the Long Term Capability Management (LTCM) of resources allocated to MWWFRS under the New Dimensions programme.	Potential risks re LTCM and future funding	Suitable resources and communication procedures are in place to manage the LTCM project; however, LTCM funding must be adequate to fund ongoing and future New Dimension arrangements.	H/H
Spate Conditions Policy	<b>The 2008 PAT Team noted that:</b> Localised spate conditions policies appear to be robust, however larger scale spate condition arrangements require development	Risk that policies are not adequate to deal with spate conditions	The Service is participating in the Assembly Government-led work on major flooding and assessing the Chief Fire Officers' Association draft guidance on training and Personal Protective Equipment for water rescue. However, compliance with these draft guidelines would require a considerable investment. The Service firmly believes that response to major flooding and inland water rescue should be a statutory duty for FRSs and should be suitably funded.	H/H

Aspect	Description	Potential impact	Mitigating measures/controls	Level of inherent/residual risk
Firelink	Through its draft Fire and Rescue Service National Framework for Wales and other mechanisms, the Assembly Government has not yet made clear how the costs of the new Firelink digital radio system to the three Fire and Rescue Services will be met. By that time this Service will be operationally dependent upon this vital piece of infrastructure but could then face an affordability risk once the actual costs are known. Estimates suggest that the annual costs for use of this new radio system throughout Wales will be in the region of £2.4 million which could lead to a significant funding shortfall.	Potential failure to contain expenditure within approved budgets	The Service needs to engage with the Assembly Government and other stakeholders in order to develop a mutually acceptable financial model by which the revenue costs of the Firelink system can be addressed	H/H

Source: Wales Audit Office, Risk Assessment Template.

9. The priorities for the Authority in the operational area will be to implement the risk reduction measures outlined for those risks which remain high or medium. The Authority's Risk Reduction Plan and draft Action Plan (2009/2010) set out a series of actions that will contribute to provide improvements in these areas.
10. The Authority needs to address the following key operational risks:
  - ensuring that enough resources are available for the development of robust business continuity management procedures;
  - ensuring that suitable resources and communication procedures are established to ensure effective management of the Long Term Capability Management project; and
  - the ongoing development of the spare conditions policies and procedures.

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## **The non-operational assessment highlighted the need for the Authority to maintain its progress during the current year when it is faced with changes to its senior officer structure and a range of new Members**

11. The non-operational assessment highlighted a number of areas of progress:
  - Linking the Improvement Plan and Risk Reduction Action Plan has enabled the Service to develop clear linkages and actions to deliver improvement.
  - The FRS has reorganised as part of the modernisation process; it recognises that this is an ongoing process which will require it to respond to external circumstances and emerging good practice. The current structure is proving effective and will be further improved with the full implementation of the performance management framework. The transition to a new Chief Fire Officer during 2008 may lead to further change in structure and process.
  - The role of the Performance Review and Audit Committee is becoming embedded in the Authority's management arrangements. Further evidence of a growing awareness of the importance of member involvement is evidenced through the adoption of joint member/officer scrutiny groups, 'efficiency' groups and the Strategic Procurement Group, which have been highlighted in our recent good practice report on member engagement and scrutiny; with a number of new Members on the Authority, there will be scope to apply the lessons of this review to further develop internal scrutiny.
  - A review of the Control room has been completed and new crewing and working arrangements implemented, which is currently subject to a review by the Wales Audit Office.
  - The development of the new Headquarters building, and other significant capital projects, has given the Service sound experience in running effective project management schemes. In addition further staff have now been trained in Prince 2 which the Service aims to adopt for all major projects.
  - The FRS recognises the need to engage with the general public to better 'sell' new proposals and changes to delivery. The Service has recruited a Corporate Services Manager whose remit includes Public Relations, communications, marketing and Sustainable Development; she has undertaken a communication survey to establish the effectiveness of current internal and external communications.
  - The Service recognises the importance of equalities in meeting its legal obligations and has appointed an additional Equality Officer. A cultural audit of all staff has been completed and the results will be used when the Service awards a contract to provide training as part of a cultural change programme following a tendering exercise. In addition the Service is implementing an anti-harassment/bullying policy and a programme of managerial training focusing on human relations.

12. The non-operational assessment highlighted some priority issues that will need to be addressed to support the delivery of Risk Reduction and Improvement Plan objectives. The key challenges are:
- maintaining momentum and building on the good progress already made;
  - improving performance management;
  - implementing key policies effectively ;and
  - securing improvements in procurement processes.
13. There are also high or medium risks in terms of e-fire and rescue, equalities and sustainability although in all three areas the Authority has taken action to address the risks. In particular the Service's progress with regard to equalities is to be commended, and is reflected in a reduction in the level of residual risk compared with last year.
14. Exhibit 2 sets out some of the key non-operational risks which had either a high or medium level of residual risk identified in the Joint Risk Assessment.

**Exhibit 2 – main risks from the non-operational assessment**

Aspect	Description	Potential impact	Mitigating measures/controls	Level of inherent/residual risk
Roles and Responsibilities of Members	There are clear roles and responsibilities for Fire Authority Members. The Authority has a constitution which outlines roles and responsibilities and is supported by a series of Sub-Committees. The Authority has established a Performance Review and Audit Committee (PRAC) which is now becoming established in addressing some key issues around scrutiny of Authority decisions. Arrangements for the consideration of audit reports are to be strengthened through the remit of the Performance Review and Audit Committee.	Potential failure to fully embed roles and responsibilities	The role of the Performance Review and Audit Committee is becoming embedded in the Authority's management arrangements. Further evidence of a growing awareness of the importance of member involvement is evidenced through the adoption of joint member/officer scrutiny groups, 'efficiency' groups and the Strategic Procurement Group. In addition, a member 'Champion' has been nominated for a review of the Constitution which will be undertaken following the local elections in May 2008. The Authority has made a submission to the Annual Public Sector Excellence Awards for its work in relation to Member Engagement and Development.	M/M

Aspect	Description	Potential impact	Mitigating measures/controls	Level of inherent/residual risk
Risk Reduction Planning	A Risk Reduction Plan is produced in line with Assembly Government guidance and runs from 2007 to 2010. An RRP Action Plan is produced and consulted upon each year. <b>The 2008 Peer Assessment Team noted that:</b> The FRS demonstrated a range of evidence, including the recently formed Business Risk Management Group, to support its commitment to the Authority's Risk Reduction Plan.	Potential that corporate risk is being assessed in an ad hoc manner	The self assessment process and peer review has identified a range of potential improvement areas which need to be collated and combined with the risk reduction process as part of the review of the risk reduction plan. A flooding risk analysis in relation to the Service's own critical assets has been completed but not yet implemented.	M/M
Performance Management and Measurement	The Performance Management project is being implemented. The FRS is linking business and budget planning cycles and introducing updated Standing Orders and Procedures with the purpose of joining up of business planning, financial planning, risk reduction planning and performance measurement.	Potential failure to meet the objectives of the Risk Reduction Plan due to a lack of robust performance management framework	Considerable progress has been made in completing the recommendations of the Wales Audit Office report on performance management. A recent report to the PRAC highlighted the areas that still need to be addressed.	H/M

Aspect	Description	Potential impact	Mitigating measures/controls	Level of inherent/residual risk
Continuous Improvement	The need for continuous improvement is recognised at all levels of the organisation and the Service has embraced the Wales Programme for Improvement (Fire) and Making the Connections in a positive and effective manner as shown by its approach to the process. It is also playing a full part in the Assembly Government's efficiencies programme.	Potential failure to meet the objectives of the Risk Reduction Plan	The Service is maintaining its momentum of seeking improvements in its service provision following successful implementation of key measures contained within the Risk Reduction Plan.	H/M
Sustainability	The Risk Reduction Plan recognises the need to sustain the delivery of the Service through redeployment of resources. In addition the Service is improving the integration of sustainability into the overall management of the service, for example through an assessment of sustainability as part of asset management.	Potential failure to ensure that sustainability is fully embedded	The Service needs to consider the Wales Programme for Improvement requirements for a Sustainability assessment. The FRS is reviewing how to embed sustainability within the Service at a corporate level and to this end a Sustainability Statement has been produced.	H/H

Aspect	Description	Potential impact	Mitigating measures/controls	Level of inherent/residual risk
Equalities	An ethnic outreach officer is in place, and close links have been established with the Swansea Bay Race Equality Council. An additional Equalities Officer has been appointed and the Service is reviewing tenders for the provision of training to address the outcomes from the 'cultural' audit of staff recently undertaken.	Potential failure to meet legislative requirements	The Service recognises the importance of equalities in meeting its legal obligations and has appointed an additional Equalities Officer. A cultural audit of all staff has been completed and the results of this survey are now being implemented through a tender for an outside organisation to provide 'cultural change' training through a cultural change programme. In addition the Service is implementing an anti-harassment/bullying policy and a programme of managerial training around 'human relations'.	H/M
E-Fire and Rescue	The continued development of E-Fire and Rescue systems is an important improvement process of the FRS	Potential failure to maintain effective IT systems	The Service recognises the need to develop effective business continuity arrangements for its IT function. Currently the department is undertaking training of key staff in 'IT Infrastructure Library' (ITIL) modules and is contributing to the development of a business continuity plan. The Service has reported that the IT Business continuity Strategy itself will not be completed until July.	H/H

Aspect	Description	Potential impact	Mitigating measures/controls	Level of inherent/residual risk
Financial Management	<p>Significant financial systems can be relied upon to produce materially correct outputs, although a number of adjustments were required to be processed for the 2006/2007 accounts. The Authority has continued to apply appropriate governance arrangements, with the Performance Review and Audit Committee now well established for the reporting of audit work to the Authority. Improvements to procurement procedures are currently being implemented however further work is required to ensure that all procurement is fully compliant with contract standing orders and financial regulations.</p>	Potential failure to ensure robust financial management	The Service needs to ensure that the recommendations in the internal and external audit reports on procurement are fully implemented.	H/M

Source: Wales Audit Office, Risk Assessment Template.





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Wales Audit Office  
24 Cathedral Road  
Cardiff CF11 9LJ  
Tel: 029 2032 0500  
Fax: 029 2032 0600  
Textphone: 029 2032 0660  
E-mail: [info@wao.gov.uk](mailto:info@wao.gov.uk)  
Website: [www.wao.gov.uk](http://www.wao.gov.uk)

Service / Corporate Area Mid and West Wales FRS	Aspect	Ref	Evidence	Potential Impact	Level of Inherent Risk (calculated from risk impact matrix)	FRS Risk reduction measures and/or controls	Residual Risk Level after mitigating factors considered	Regulators' Risk reduction measures and/or controls
Operational Assurance	1.1 Risk analysis	2007 PAT Team Report	<b>The 2007 PAT Team noted that: Risk Management:</b> The organisation has a comprehensive suite of policy documents that are widely available through the BIS system. These include policies covering Community Risk Reduction (CRR), Operational Risk Management, Equal Opportunities and Health and Safety.	Failure to maintain corporate risk assessments	Low	A Business Risk Management Group has been established and is creating a Business Risk register and Strategy. During the summer it proposes to undertake a desk top review of risks with key stakeholders which will be used to inform the Business Risk Register. In addition the Service has undertaken an insurance renewal exercise which has resulted in savings, partly based on the service's approach to managing its risks.	Low	Review impact of BRMG at next JRA
	1.2	2007 PAT Team Report	<b>The 2007 PAT Team Report Noted that:</b> Business Continuity Management is in the early stages of development within the Service and there is a risk that development in this area could be hampered because of the limited resources available to the new Civil Contingencies and Resilience Department.	Failure to ensure continuity of service delivery	High	Ensure resources targeted towards Business Continuity and corporate approach to BCM is project managed.	High	VFM Civil Contingency work will inform this aspect during 2008
	1.3	WAO	Recent events involving the loss of life of fire-fighters need to be reviewed and a 'lessons learned' approach adopted, and regard taken to risk around Corporate Manslaughter	Risk of loss of life of firefighter	High	The Service has developed an Operational Learning System (OLS) which is a process by which all the experience gained by attending any incident can be gathered together and analysed so that the Service as a whole can learn from that experience and, where necessary, initiate changes to improve training, equipment and procedures. This involves monitoring of national events involving major incidents for example Buncefield and Atherstone, and any subsequent investigatory report.  The OLS will utilise information and trends highlighted from a wide variety of sources. The various methods the Service will use to identify issues are as follows;  <ul style="list-style-type: none"> <li>• Operational Monitoring</li> <li>• Operational Debriefing</li> <li>• Critical Reporting</li> <li>• Health &amp; Safety Reporting</li> <li>• Command Inspection Programme</li> </ul> This will enable the service to deal with issues utilising a fully auditable and transparent process and ensures that a "lessons learnt" approach is taken.	High	
	1.4	2007 and 2008 PAT Team Report	<b>The 2007 PAT Team noted that: Community Risk Register</b> Through the business planning process and the current Risk Reduction Plan [RRP] it is evident that the organisation is aware of the challenges that the Civil Contingencies Act 2004 poses to MWWFRS as a Category 1 responder. This is reflected in the development of the Civil Contingencies and Resilience Department.  The Major Incident Plan is under review. Development work on multi-agency plans for major risks is evident but require completing.  <b>The 2008 PAT Team noted that:</b> The Business Risk Management Group and Risk Register (require) development to compliment the declared terms of reference and objectives (of the Group).	Potential failure to maintain the CRR to reflect Changes in Risk	Medium	The Service is making good progress in developing plans and procedures around identified risks, although further work is required as noted by the recent PAT Team review.	Medium	VFM Civil Contingency work will inform this aspect during 2008

Service / Corporate Area Mid and West Wales FRS	Aspect	Ref	Evidence	Potential Impact	Level of Inherent Risk (calculated from risk impact matrix)	FRS Risk reduction measures and/or controls	Residual Risk Level after mitigating factors considered	Regulators' Risk reduction measures and/or controls
	1.5	2008 PAT Team Report	<b>The 2008 PAT Team noted that:</b> Potential opportunities and challenges presented by the intended engagement with two Local Resilience Fora which cover the Service's statutory area.	Potential capacity issues	High	The FRS has proposed that it will become more involved with the South Wales Local Resilience Forum in addition to its work with the Dyfed Powys LRF. At this stage the FRS has yet to determine its level of involvement with South Wales LRF. In addition the Service has established operational support procedures in place with neighbouring Services. The service is currently evaluating the preliminary Pitt report into last summer's flooding and will be reviewing its operational response to major incidents such as flooding when the final report is produced later in 2008.	Medium	
	1.6	2007 and 2008 PAT Team Report	<b>The 2007 PAT Team noted that: Risk Identification:</b> MWWFRS use the Fire Services Emergency Cover (FSEC) toolkit in line with national guidelines to identify existing and potential at-risk dwellings within the community. Given the resources attached to the FSEC team the organisation are populating the toolkit sequentially on a risk basis. At present the Special Service Call (SSC) Plane is being populated, whilst the Major Incidents and Other Buildings Planes have also been identified for future development.  <b>The 2008 PAT Team</b> examined a range of evidence which supported commitment to the Authority's Risk Reduction Plan & showed major incident planning for key risks & new dimension threats.	Delay in realising the full potential of the FSEC model	Medium	The development of the FSEC model has been subject to an independent review which gave strong backing to the approach of the FRS. This review set out sixteen recommendations which are being incorporated into the FSEC Teams project plan.	Medium	Proposed follow-up of recommendations as part of next JRA
	2.1 Prevention and Protection	2007 PAT Team Report	<b>The 2007 PAT Team noted that: Fire Prevention Policies:</b> The Service has set ambitious targets to increase the annual Home Fire Safety Audit target to 15,000 for 2006-07. It was evident from the PAT visit to the CS department that there was an abundance of energy and enthusiasm for reducing community risk throughout the Service area. There has been a targeted approach from the CS department to deliver initiatives to traditionally hard-to-reach communities. An area of particular good practice is the delivery of cultural awareness training to operational personnel, which has led to requests from partner agencies for MWWFRS to deliver the same training to them.	Capacity to deliver, especially in RDS station areas	Medium	All targets have been developed to individual County Areas and the County Commanders are responsible for the delivery or highlighting potential problems and devising solutions. The targets set last year were exceeded and the Service have set new targets in the draft Risk Reduction Action Plan for 2009/10.	Low	Review as part of next operational assessment/RAT
	2.2	2007 PAT Team Report	<b>The 2007 PAT Team noted that:</b> Further consideration is required regarding the financing of the Long Term Capability Management (LTCM) of resources allocated to MWWFRS under the New Dimensions programme.	Potential risks re LTCM and future funding	High	Suitable resources and communication procedures are in place to manage the LTCM project, however LTCM funding must be adequate to fund ongoing and future New Dimension arrangements.	High	
	3.1 Operational Preparedness	2007 PAT Team Report	<b>The 2007 PAT noted that :</b> Training and development: Individuals working in the training and development arena are motivated and are clearly working towards implementing the principals of IPDS. In particular development courses are currently being cross-mapped to the National Occupational Standards. There was evidence to suggest that a lack of clarity existed surrounding the issue of how the training and development function could dovetail with the County Commands.	Potential risk that staff and organisation are not developed appropriately	Medium	A communication strategy has been prepared and is currently awaiting roll out to commands.	Medium	Review as part of next operational assessment/RAT

Service / Corporate Area Mid and West Wales FRS	Aspect	Ref	Evidence	Potential Impact	Level of Inherent Risk (calculated from risk impact matrix)	FRS Risk reduction measures and/or controls	Residual Risk Level after mitigating factors considered	Regulators' Risk reduction measures and/or controls
	3.2	2007 PAT Team Report	<b>The 2007 PAT Team noted that:</b> Debriefs: Evidence suggests that a central monitoring process to identify significant learning outcomes and to ensure effective action planning is required to support organisational improvements.	Failure to identify operational learning points	Low	Review of operational debrief procedure completed.	Low	Completed
	3.3	2007 PAT Team Report	<b>The 2007 PAT Team noted that:</b> The organisation recognises the importance of proactive incident monitoring. A suitable system that can achieve incident monitoring across such a large area is in development and it is anticipated that this will be implemented in June 2007. Resources to support the implementation of this initiative have not been allocated to the project past the June implementation date. It is envisaged that this initiative will complement the current Station audit process that does not capture direct observation regarding operational competencies.	Failure to ensure active monitoring of operational activities	Medium	Responsibility for incident monitoring is now with County Commanders	Low	Completed
	3.4	2008 PAT Team Report	<b>The 2008 PAT Team noted that:</b> Localised spate conditions policies appear to be robust, however larger scale spate condition arrangements require development	Risk that policies are not adequate to deal with spate conditions	High	The Service is participating in the WAG led work on major flooding and assessing the CFO draft guidance on training and PPE for water rescue. However, compliance with these draft guidelines would require a considerable investment. The Service firmly believes that response to major flooding and inland water rescue should be a statutory duty for FRS's and should be suitably funded.	High	
	3.5	2008 PAT Team Report	<b>The 2008 PAT Team noted that:</b> The Service has developed plans to respond to national emergencies, though local arrangements are less robust. Multi-agency Response Plans, particularly for flood risks, require development and should be underpinned by the Service's Business Continuity Management Policy	Potential risk that the service will not respond effectively	Medium	The Service will need to address the key points highlighted in the section dealing with response arrangements in the peer review. The Service is active within the Welsh Assembly's flood prevention work.	Medium	Review as part of the next JRA
	3.6 Firelink	WAO	Through its draft Fire and Rescue Service National Framework for Wales and other mechanisms, WAG has not yet made clear how the costs of the new Firelink digital radio system to the three FRS's will be met. By that time this Service will be operationally dependant upon this vital piece of infrastructure but could then face an affordability risk once the actual costs are known. Estimates suggest that the annual costs for use of this new radio system throughout Wales will be in the region of £2.4million which could lead to a significant funding shortfall.	Potential failure to contain expenditure within approved budgets	High	The Service needs to engage with WAG and other stakeholders in order to develop a mutually acceptable financial model by which the revenue costs of the Firelink system can be addressed	High	Review progress prior to 09/10 budget development
		WAO	Once in service, the new Firelink digital radio system will address a number of outstanding functional deficiencies that currently impede operational effectiveness. The existing analogue radio networks lack reliability or any support for mobile data and furthermore are not commensurate with the more demanding New Dimension environment. However, there have been significant delays to the two delivery phases of Firelink and even the most recent release of the project plan is considered to be 'work in progress'.	Risks to the frontline operations	Medium	The Service needs to ensure the integrity of existing radio systems is maintained until the second roll-out phase (B) of Firelink is complete by adoption of technical continuity measures and retention of specialist maintenance skills where appropriate.	Low	Review Firelink delivery against service requirements at end of Phase B

Service / Corporate Area Mid and West Wales FRS	Aspect	Ref	Evidence	Potential Impact	Level of Inherent Risk (calculated from risk impact matrix)	FRS Risk reduction measures and/or controls	Residual Risk Level after mitigating factors considered	Regulators' Risk reduction measures and/or controls
	4.1 Call management and incident support	2007 PAT Team Report	<b>The 2007 PAT Team noted that:</b> The Service has a comprehensive call handling and mobilising policy, which ensures the appropriate allocation of emergency response resources whilst facilitating appropriate levels of incident support. A suite of Control-specific standard operating procedures and general instructions underpins these. To date, the Control function is not covered within a Business Continuity Management Framework and although fallback arrangements have been developed and tested these are not supported with formal arrangements to ensure the availability of key staff.	Potential for operational ineffectiveness/ error if policies are not regularly updated	Low	The staffing and crewing arrangements of the Control Room have been reviewed and new arrangements implemented	Low	WAO review of Control Room to be undertaken in 2008 with a report expected in June/July
	5.1 Emergency Response	2008 PAT Team Report	<b>The 2008 PAT Team noted that:</b> The New Dimensions assets are integrated into the Service's mobilising regime and (that) robust systems exist to ensure that Incident Command is effectively discharged for these type of incidents.		Low	FRS to implement Peer Reviews key points, namely: development of an action plan to delivery the Service's Major Incident Plan; and, implementation of already planned welfare arrangements, including consideration of the provision of PPE for operational personnel when/where appropriate. Local demand for LTCM resources at times of emergency could compromise the ability of the service to respond to wider national cover.	Low	Review as part of next JRA
	5.3	2007 PAT Team Report	<b>The 2007 PAT Team noted that:</b> The Service is clearly committed to delivering services to the public that fall beyond traditional Fire and Rescue Service boundaries.	Potential failure to maintain current levels of service	Low	The FRA is proactively meeting challenges in this area as evidenced by the development and implementation of co-responding schemes that operates from fourteen separate locations. This initiative has clearly assisted in driving down community risk in the areas covered by the scheme. Further examples of the organisation exceeding expectations includes the development of a Marine Incident Response Group team and well established local arrangements with the Environment Agency. In order to provide fire cover across their area the Service relies heavily on the Retained Duty System.	Low	
	5.4	2007 PAT Team Report	<b>The 2007 PAT Team noted that: Response to types of emergency:</b> MWWFRS have a suite of operational policies relating to the range of incident types to which personnel may be required to respond. These policies include appropriate safe systems of work based on risk, incident type and national guidance. An effective Incident Command System derived from the national model underpins most operational activities.	Potential risk that the level of service from RDS is not maintained	Medium	While there are good operational policies in place, principal management recognise the difficulties associated with delivering these in a service which is mainly comprised of firefighters conditioned to the retained duty system and recognise that this is a sustained risk given the nature of the Service.	Medium	
Non Operational Assurance	Non Operational Assurance							

Service / Corporate Area Mid and West Wales FRS	Aspect	Ref	Evidence	Potential Impact	Level of Inherent Risk (calculated from risk impact matrix)	FRS Risk reduction measures and/or controls	Residual Risk Level after mitigating factors considered	Regulators' Risk reduction measures and/or controls
	Strategic Vision	1.1	Strong statements in RRP and Improvement Plan with clear objectives which is supported by a strong management team with the support of the Fire Authority Members. The RRP is a three year document (2007-2010) which has allowed the Service to set more longer terms objectives within the Plan. The FRS has produced a Risk Reduction Action Plan 2008/09 and this is combined with the 2007/08 Improvement Plan. Some of these proposals are unpopular with some staff and those communities directly affective with proposed changes. The Authority will be improving its existing communication strategies to better engage with stakeholders over proposals that are perceived as contentious. The FRS has undertaken an independent review of its major decisions within the current RRP which has upheld both its decisions and its approach.	Potential failure to maintain clarity of vision	Low	The service is maintaining the momentum gained from the RRP process and the operational assessment exercise. Linking the Improvement Plan with the RRP Action Plan enables the FRS to show clear linkages and actions to deliver improvement. The Action Plan includes indicators showing whether the FRS has met its targets and comparing the FRS with its Family Group and the top 25% quartile. Improvement Plan recognises the wider role of the FRS beyond the operational area. In addition, the process of Operational Assurance has been fully embraced by the management of Mid and West Wales Fire and Rescue Service. This is evident from the comprehensive self-assessment document, and was reinforced by the positive approach taken by all staff involved in the Peer Assessment process.	Low	
<b>Leadership</b>								
	MTC_Citizen at the Centre	1.2	The FRS has made significant progress in successfully implementing a wide range of preventative activity as part of the modernisation agenda. There is a commitment to build upon best practice to further improve both the range and access to services provided. The Service has been active in ensuring its fire prevention measure are delivered to as wide an audience as possible through attendance at shows, fetes, etc.. and working through other partners. The Service is also working with other agencies to access hard to reach members of the community, for example work with racial groups and the creation of the Gold Watch in Swansea. <b>(MTC = Practising)</b>	Failure to address the real needs of the community	Low	The Service is continuing to improve under this aspect with increased use of FSEC and improved communication strategies.	Low	
	Plans to deliver the vision	1.3	There is effective leadership in place to deliver the vision and objectives laid out in the RRP. The Service has reorganised to reflect the Council structure within its areas with each County being headed up by a County Commander in charge of all aspects of service delivery. Finance and procurement services have been restructured and the Improvement Plan recognises the need to secure the resources necessary to ensure that improvements and targets can be met.	Potential failure to deliver vision and priorities	Low	The FRS has reorganised as part of the modernisation process but also recognises that this is an ongoing process and that it needs to maintain momentum to be able to respond to external pressure and emerging best practise. The current structure is proving effective and will be further improved with the full implementation of the performance management framework. The Service faces a new challenge with the appointment of a new CFO in 2008. <b>There is a potential, over the coming years, for large scale retirements of firefighters recruited to the service in the mid to late 1970s. However this impact could be curtailed to some extent by revisions to the Firefighters Pension Scheme Arrangements which enable employees to continue in service for longer periods than previous Pension arrangements, and the Service also has a Re-Employment Policy as part of the overall commitment to workforce planning and development.</b>	Low	
	Understanding of the external environment	1.4	The Service undertook a comprehensive consultation exercise as part of the development of the RRP. County Commanders are in place for each County within the Service Area who are active in local partnership working.	Potential failure to contribute fully to the external agenda	Low	Need to maintain current levels of awareness and improve where possible, as identified within the Operational Assurance SAQ. Consultation procedures have been enhanced.	Low	
	Is the FRS a learning organisation	1.5	The Service has fully engaged with the self assessment process. <b>The PAT Team noted that:</b> The process of Operational Assurance has been fully embraced by the management of Mid and West Wales Fire and Rescue Service [MWWFRS]. This is evident from the comprehensive self-assessment document, and was reinforced by the positive approach taken by all staff involved in the Peer Assessment process. In addition the FRS has been heavily involved with training an planning work relevant to the LNG facility in Pembrokeshire.	Potential failure to learn and improve	Low	The Risk Reduction Plan highlights areas for improvement. An operational learning system has been implemented and the FRS can evidence significant areas of training and development around key risks within the Service area.	Low	
<b>Governance and Management</b>								

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	Management Structures	2.1	Clear structure of County Managers in place who deal with all issues within their County Areas which are co-terminus with County Councils. The structure of the Management Team has been reviewed to ensure its continued engagement with effective service delivery across the FRS.	Potential failure to put in place clear governance and management structures	Low	The Service has completed its reorganisation as part of the modernisation process and the current management structure is effective and will improve when the performance management framework is fully developed and embedded.	Low	
	Decision Making	2.2a	Effective Management Team in place with clear responsibilities and understanding of the vision and objectives of the Service. Fire Authority has shown support in making key decisions.	Potential failure to develop clear and effective decision making processes	Low	The Service has recognised the key role that County Managers have in service delivery and has highlighted the emerging role of Local Service Boards as an area for development	Low	
	Roles and Responsibilities of Members	2.2b	Members have clear roles and responsibilities in their role as Fire Authority members. The Authority has a constitution which outlines roles and responsibilities and is supported by a series of sub-committees. The FRA has established a Performance Review and Audit Committee (PRAC) which is now becoming established in addressing some key issues around scrutiny of FRA decisions. Arrangements for the consideration of audit reports are to be strengthened through the remit of the Performance Review and Audit Committee	Potential failure to fully embed roles and responsibilities	Medium	The role of the Performance Review and Audit Committee is becoming embedded in the Authority's management arrangements. Further evidence of a growing awareness of the importance of member involvement is evidenced through the adoption of joint member / officer scrutiny groups, 'efficiency' groups and the Strategic Procurement Group. In addition, a member 'Champion' has been nominated for a review of the Constitution which will be undertaken following the local elections in May 2008. The Authority has made a submission to the Annual Public Sector Excellence Awards for its work in relation to Member Engagement and Development.	Medium	Review of Scrutiny to be reported to the FRA
	Standards of conduct	2.2c	Codes of conduct for both Members and Officers have been agreed and form part of the Constitution which is available of the Fire Authority's web site	Potential risk of lack of clarity re required standards of conduct and non-compliance with WAG guidance	Low	A number of senior members of the FRA are retiring in 2008 and there will be a need to commit resources and training to new members so that they can be brought up to speed as quickly as possible	Low	Possible WAO support to member training as part of current budget
	Roles and Responsibilities of Officers	2.2d	Principal senior officers have clear roles and responsibilities detailed as part of the constitution of the Fire Authority. The roles and responsibilities of other officers are clearly established through agreed job descriptions.	Potential failure to ensure roles and responsibilities are fully complied with	Medium	Maintain current clarity regarding roles and responsibilities. The new CFO may take the opportunity to instigate changes to roles and responsibilities. See members comment above.	Low	
	Responsiveness to external challenge	2.3	The FRS is active in external networks and partnership working. The Service has shown a positive approach taken by all staff involved in the 2008 Peer Assessment process.	Possible Capacity issues around responding to external pressures	Medium	The FRS has taken on board the last peer assessment report and through the risk reduction process and the self assessment questionnaire, has recognised the need for further changes and developments in terms of the effective delivery of services.	Low	Review at Peer Assessment Meeting
<b>Capacity</b>								
	Resources, skills and flexibility	3.1	The Service recognises the need for effective succession planning to ensure effective continuity when staff leave. The Service has introduced an abatement policy where key staff can be retained after retirement when necessary for specific projects. Furthermore, the Service has implemented the national IPDS system including ITOP and ADC processes and has an effective Personal Development System in place. All of these different systems are designed to identify and develop the Service's future leaders	Potential loss of key skills	Medium	The Service has recognised that succession planning plays a key role in maintaining the delivery of an effective service. The appointment of the new CFO this year will act as a key test to its policies and procedures in this area. and is developing policy in this area in addition to reviewing the potential impact of being represented on the six Local Service Boards which will be established during 2007-08. The Service will also need to assess its response to the changes in LHB's in Wales.	Low	Review progress as part of next JRA meeting

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	MTC - Working with others	3.2	The Service has a good track record of implementing effective joint working arrangements that have produced examples of good practice and delivered successful outcomes. There is commitment to a strategic priority to progress this agenda to maximise the benefits for local citizens. The County Command structure has improved partnership working at County level, with positive partnership activity, for example, in Pembrokeshire involving vulnerable people, Swansea (Car Arson) and working with children and young people. The Service is combining with Dyfed Powys Police force in the provision of driver training and is a key player in two Local Resilience Forums and is also active in the Welsh Resilience Forum. The Service is widely recognised for its development of the Co Responder Schemes with the Welsh Ambulance Trust. (MtC = Practising)	Potential failure to generate additional capacity and meet the requirements of the MtC agenda	Low	A review of the Control room has been completed and new crewing and working arrangements implemented	Low	WAO Review of Control room changes - see above
	Project Management	3.3	The Service recognises the importance of good project management and has a good track record of projects which have been successfully delivered. Key staff have been trained in Prince 2 methodology.	Potential failure to ensure effective delivery of projects to time and budget	Medium	The development of the new Headquarters building, and other significant capital projects, has given the Service sound experience in running effective project management schemes. In addition further staff have now been trained in Prince 2 and P2 procedures and the Service aims to adopt Prince 2 for all major projects.	Low	Possible review re major projects and assets review?
<b>Performance Management and Continuous Improvement</b>								
	Risk Reduction Planning	4.1	Risk reduction plan produced in line with WAG guidance and runs from 2007 to 2010. An RRP Action Plan is produced and consulted upon each year. <b>The 2008 PAT Team noted that:</b> The FRS demonstrated a range of evidence, including...the recently formed Business Risk Management Group, to support its commitment to the Authority's Risk Reduction Plan.	Potential that corporate risk is being assessed in an ad hoc manner	Medium	The self assessment process and peer review has identified a range of potential improvement areas which need to be collated and combined with the risk reduction process as part of the review of the risk reduction plan. A flooding risk analysis in relation to the Service's own critical assets has been completed but not yet implemented.	Medium	Review progress at next JRA meeting
	MTC - Public Engagement		The FRS has developed an approach to public engagement and is well placed to translate commitment into significant implementation in the near future. Commanders and Station managers are responsible for encouraging and promoting the use of the community facilities and there is a policy of establishing community fire stations which has been agreed by FRA including facilities for community use wherever possible. (MtC = Developing)	Potential failure to fully engage with the public	High	The FRS recognise the need to engage with the general public to better 'sell' new proposals and changes to delivery. The Service has recruited a Corporate Services Manager (remit to include PR, communications, marketing and Sustainable Development) who has undertaken a communication survey to establish the effectiveness of the current internal and external communications. This has resulted in a new Staff magazine. Work is currently underway to deliver a new BIS and Communication Plan. In addition a Communications Steering Group has been created to further improve internal and external communications. In addition the Service produces regular reports to members on complaints and complements it receives.	Low	Review progress at next JRA meeting

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	HR Management and MTC - Engaging the Workforce	4.2	The FRS has made significant progress in preparing the workforce to meet future challenges, with examples of good practice, and is now embedding the benefits from this approach across the organisation. Business planning process is developing and is operational at County level. Roll out of CORVU continues but some aspects are not yet fully functional e.g. station plans, reporting module. The Service is continuing to develop improved working arrangements with retained duty staff (RDS) and a RDS salary scheme is being considered; RDS access the same training packages as whole time firefighters; line management accountability is clear and using the Service is using RDS to provide cover. The organisation is committed to the principle of secondments as a learning and development tool and is beginning to utilise this e.g. NPT officer seconded 2 days a week to the YOT. <b>(MtC = Practising)</b>	Potential failure to fully engage with the workforce	Medium	See above comment re work on internal communication which has involved focus groups with staff and a new programme of station visits by senior staff. The service is also maintaining its efforts to ensure RDS staff have robust and effective training.	Medium	Review progress at next JRA meeting
	Health and Safety		The FRS have a clear and effective system in place to manage corporate health and safety issues. <b>The 2007 PAT Team noted that:</b> The Service has a fully integrated approach to the management of health and safety. This is underpinned by comprehensive policy documents, clear responsibilities and a positive safety culture.	Potential risk that the service does not meet health and safety regulations	Low	Procedures and policies are in place and are kept under review. There is existing policy covering potential violence against crews along with 'key control measures which are kept under review	Low	
	Financial Planning and Management	4.3	See comments under COAIP below					
	Property and Estates Management	4.4	The Service has undertaken several joint approaches to deliver improvements in services and has a Premises Manager in post. There is a three year capital programme in place, updated annually and an assessment of all buildings was undertaken which has resulted in a weighted score for each building and an associated work plan. Each building has also been assessed in terms of compliance with the DDA and diversity/equality policy. <b>2008 PAT Team noted that:</b> The Service needs to undertake a flooding risk analysis in relation to its own critical infrastructure	Potential failure to manage the estate	Medium	While a full Asset Management Plan is not yet in place the Service has an asset management programme based on a comprehensive review of premises which has given need ranking. There are also a series of contracts dealing with maintenance and cleaning in place which are kept under review. The Service has created a range of Member led efficiency groups including a 'premises and utilities' group which will be reporting to the FRA's Resources Committee in July 2008.	Medium	Review at next JRA Meeting
	Performance Management and Measurement	4.5	The Performance Management project is being implemented. The FRS is linking business and budget planning cycles and introducing updated Standing Orders and Procedures with the purpose of joining up of business planning, financial planning, the development of the RRP and performance measurement.	Potential failure to meet the objectives of the RRP due to a lack of robust performance management framework	High	Considerable progress has been made in completing the recommendations of the WAO report on performance management. A recent report to the PRAC highlighted the areas that still need to be addressed.	Medium	Review progress at next JRA meeting
	Continuous Improvement	4.6	The need for continuous improvement is recognised at all levels of the organisation and the Service have embraced WPI and MtC in an positive and effective manner as shown by its approach to the process. It is also playing a full part in the Welsh Assembly Government's efficiencies programme	Potential failure to meet the objectives of the RRP	High	The FRS is maintaining its momentum of seeking improvements to its service provision following successful implementation of key measures contained within the RRP	Medium	Review progress at next JRA meeting
	Sustainability		The RRP has recognised the need to sustain the delivery of the Service through redeployment of resources. In addition the Service is improving its sustainability approaches to the overall management of the service, for example through an assessment of sustainability as part of asset management.	Potential failure to ensure that sustainability is fully embedded	High	Need to consider WPI requirements for next JRA. The FRS is reviewing how to embed sustainability within the Service and at a corporate level. A Sustainability Statement has been produced	High	Review progress at next JRA meeting

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	Equalities		Ethnic outreach officer in place, and close links established with the Swansea Bay Race Equality Council. An additional Equalities Officer has been appointed and the FRS are reviewing tenders for the provision of training to address the outcomes from the 'cultural' audit of staff recently undertaken.	Potential failure to meet legislative requirements	High	The Service recognises the importance of equalities in meeting its legal obligations and through the appointing of an additional Equality Officer. A cultural audit of all staff has been completed and the results of this survey is now being implemented through the tender to an outside organisation to provide for 'cultural change' training via a cultural change programme. In addition the Service is implementing an anti-harassment/bullying policy and a programme of managerial training around 'human relations'.	Medium	Review progress at next JRA meeting
<b>E-Fire and Rescue</b>			The continued development of E-Fire and Rescue systems is an important improvement process of the FRS	Potential failure to maintain effective IT systems	High	The Service recognises the need to develop effective business continuity arrangements for its IT function. Currently the department is undertaking training of key staff in ITIL and is contributing to the development of a business continuity plan. The Service has reported that the IT Business continuity Strategy itself will not be completed until July.	High	Review progress at next JRA meeting
<b>COAIP Audit of Financial Systems</b>								
	Financial Standing		The 2006-07 Annual Audit Letter concluded that the Authority's financial health is sound. Latest budget monitoring report estimates an under spend of £393k on the approved budget for the year, although this is likely to reduce by the year end.	Potential failure to ensure robust financial management	Low	The Service needs to maintain its current effective financial standing	Low	Review progress as part of the next JRA and Annual Audit Letter
	Financial Management		Significant financial systems can be relied upon to produce materially correct outputs, although a number of adjustments were required to be processed for the 2006-07 accounts. The Authority has continued to apply appropriate governance arrangements, with the Performance Review and Audit Committee now well established for the reporting of audit work to the Authority. Improvements to procurement procedures are currently being implemented however further work is required to ensure that all procurement is fully compliant with contract standing orders and financial regulations.	Potential failure to ensure robust financial management	High	The Service needs to ensure that the recommendations in the internal and external audit reports on procurement are fully implemented.	Medium	Possible follow-up of recommendations
	Financial Statements		Unqualified opinion issued on last set of audited financial statements. Suitable arrangements are in place to monitor revenue and capital expenditure against budget throughout the year which should ensure that any potential significant variances or misstatements are identified. The Authority's revenue and capital budgets cover all relevant areas of income and expenditure and are based on realistic assumptions.	Potential failure to ensure robust financial management	Low	The Service needs to maintain its current effective financial systems	Low	Review progress as part of the next JRA and Annual Audit Letter