NORTH YORKSHIRE
FIRE & RESCUE SERVICE

Risk Management Policy

This document is part of North Yorkshire Fire and Rescue Service's (NYFRS) suite of policy documentation, to which all NYFRS and enableNY (insofar as it relates to NYFRS) personnel are required to adhere.

Policy Statement

The Police, Fire and Crime Commissioner (PFCC) for North Yorkshire adopts a Risk Management Policy to deal with both the positive and negative sides of risk. The Risk Management system is aligned to the industry best practice Risk Management Standard: ISO 31000:2018.

The Risk Management Policy aims to protect the organisation from exposure to business risk by developing risk management maturity and encouraging a risk conscious culture that allows the identification, reporting, analysis, management and monitoring of risk and opportunity at appropriate levels of the organisation. Risk management is understood to be an integral element to all aspects of delivering the services of NYFRS and the Commissioner's Priorities.

The Commissioner and the Chief Fire Officer (CFO) are committed to the proportionate management of risk. Officers, staff, visitors, contractors, volunteers and other employers who work for or on behalf of NYFRS are required to share this commitment by complying with all relevant policies and procedures.

Risk management also supports the continuous development of our internal control environment. The Accounts and Audit Regulations 2018 require that as a relevant authority the Commissioner must have as part of their internal control framework, measures to ensure that risks are appropriately managed.

Definition

For the purpose of this policy, risk is defined as:

> *'the effect of uncertainty on objectives .'*

Aim

The Commissioner and CFO aim to engage frankly with risk in order to develop a risk conscious culture that supports decision makers in the identification, analysis and proportionate management and tolerance of risks and opportunities that present themselves across NYFRS activities.

Responsibilities and Accountability

Oversight and monitoring of risk registers shall be undertaken at Risk & Assurance Group with specific matters raised to TLT and SLT by exception. Other meetings in the governance structure shall have a "risk" item as part of the standing agenda.

To achieve the above aim Responsible, Accountable, Consulted, Informed (RACI) principles have been applied to key activities in order to develop risk management maturity.

Appendix A below details the RACI Matrix.

Risk Register Framework

The Commissioner and CFO have adopted the risk register framework represented in Appendix B - Top Level Risk Register Arrangements. Risk Registers will be maintained and configured in this manner.

Tactical risk registers shall be maintained locally for each functional area and populated with matters that could impact positively or negatively on the achievement of departmental or organisational objectives.

The Corporate Risk Register is maintained by the enableNY Risk Team and contains the significant risks from Departments which could have cross cutting organisational impact or Project risk registers as well as risks that are:
  (i) identified strategically
  (ii) arising from specific initiatives and decisions
  (iii) arising due to exigencies or necessity

Risk registers shall be recorded in the risk management application, "Active Risk Manager".

Variations and Dispensations
Variations to this policy shall have prior approval of the Deputy Chief Fire Officer or OPFCC Chief Executive & Monitoring Officer & Monitoring Officer.

Risk Management Policy

Appendix A – RACI Matrix

	Role	R	A	C	I
Develop and maintain knowledge of NFCC guidance on risk management	All roles	*			
Maintenance and development of departmental risk registers (opportunity / risk / issue identification, analysis, treatment (4T's) and escalation) in support of service delivery)	CFO / PFCC				*
	DCFO / MD enableNY / OPFCC Chief Executive & Monitoring Officer / PFCC Chief Finance Officer				*
	Functional Leads (NYFRS and enableNY)	*	*		
	Head of Assurance / Risk Manager			*	
	Business Continuity Risk Manager			*	
Maintenance and development of the corporate risk register	CFO / PFCC				*
	DCFO / MD enableNY / OPFCC Chief Executive & Monitoring Officer / PFCC			*	

Risk Management Policy

	Chief Finance Officer				
	Functional Leads (NYFRS and enableNY)				*
	Head of Assurance / Risk Manager	*			
	Business Continuity Risk Manager				*
Ongoing development of risk management capability and maturity across the organisation	PFCC				*
	CFO		*		
	DCFO / MD enableNY / OPFCC Chief Executive & Monitoring Officer / PFCC Chief Finance Officer		*		
	Functional Leads (NYFRS and enableNY)	*			
	Head of Assurance / Risk Manager	*			
Regular review of departmental risk management maturity	CFO / PFCC				*
	DCFOC / MD enableNY/ OPFCC Chief Executive &				*

Risk Management Policy

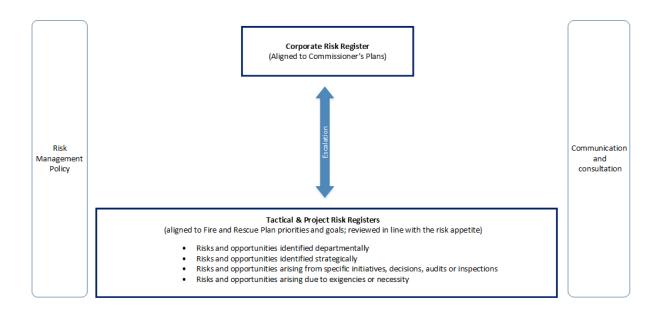| Description	Role				
	Monitoring Officer / PFCC Chief Finance Officer				
	Functional Leads (NYFRS and enableNY)	*	*		
	Head of Assurance / Risk Manager			*	
Consolidation of departmental risk management maturity assessments	CFO / PFCC				*
	DCFO / MD enableNY / OPFCC Chief Executive & Monitoring Officer / PFCC Chief Finance Officer				*
	Functional Leads (NYFRS and enableNY)				*
	Head of Assurance / Risk Manager	*	*		
Preparation of reports for and liaison with the Independent Audit Committee and Risk and Assurance Group on matters relevant to Risk Management, Business Continuity and Assurance activity.	DCFO / MD enableNY / OPFCC Chief Executive & Monitoring Officer / PFCC Chief Finance Officer				*

Risk Management Policy

	Head of Assurance /Risk Manager	*			
	Inspection & Assurance Manager	*			
Ongoing development of business continuity capability and maturity across the organization	CFO / PFCC				*
	DCFO / MD enableNY / OPFCC Chief Executive & Monitoring Officer / PFCC Chief Finance Officer		*		
	Functional Leads (NYFRS and enableNY)	*			
	Head of Assurance / Risk Manager	*			
	Business Continuity Risk Manager	*			
Co-ordination of sources of assurance (internal and external) across the organization aligned to the corporate and tactical risk registers	PFCC				*
	CFO			*	*
	DCFO/ MD enableNY / OPFCC Chief Executive & Monitoring Officer / PFCC Chief Finance Officer		*		

Risk Management Policy

	Role				
	Functional Leads (NYFRS and enableNY)				*
	Head of Assurance / Risk Manager	*			
Management of risks associated with information security including the identification, creation, recording, evaluation, sharing and the review, retention and disposal of information.	PFCC				*
	CFO			*	*
	DCFO/ MD enableNY / OPFCC Chief Executive & Monitoring Officer / PFCC Chief Finance Officer		*		
	Functional Leads (NYFRS and enableNY)				*
	Head of Information Management	*			

Appendix B - Top Level Risk Register Arrangements

Risk Management Policy

Corporate Risk Register
(Aligned to Commissioner's Plans)

Escalation

Communication and consultation

Tactical & Project Risk Registers
(aligned to Fire and Rescue Plan priorities and goals; reviewed in line with the risk appetite)

- Risks and opportunities identified departmentally
- Risks and opportunities identified strategically
- Risks and opportunities arising from specific initiatives, decisions, audits or inspections
- Risks and opportunities arising due to exigencies or necessity

Risk Management Policy