

LEICESTERSHIRE
FIRE and RESCUE SERVICE

Organisational Risk Register

2020



Created: January 2020
Reviewed: August 2020
Owner: CorporateRisk



SAFER COMMUNITIES

AIM: FEWER INCIDENTS WITH LOWER IMPACTS

OUTCOMES:

- 1) Targeted prevention and protection activities
- 2) Recognise and reduce the impact of hazards
- 3) Resilient operational risk information
- 4) Effective partnership working

| RAT ID | HAZARD | STRATEGY OUTCOME AT RISK | EXISTING CONTROL MEASURES | CURRENT RISK (with control measures) | | | | CONTROL MEASURES TO BE IMPLEMENTED | CONTROL MEASURE OWNER | IMPLEMENTATION DATE | RESIDUAL RISK (after all control measures) | | | | RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate) |
|--------|---|--------------------------|---|--------------------------------------|---|---|----|--|-----------------------|---------------------|--|---|---|----|--|
| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 17/05 | Failure to meet Central Government and public expectations in relation to the Grenfell Tower review | 1,2,3,4 | Collaboration Policy and Procedure Communications | 3 | 3 | H | TC | Work with regional partners to close gaps identified by analysis | Community Risk | Dec 2020 | 2 | 2 | M | OP | Treat |






RESPONSE

AIM: RESPOND EFFECTIVELY TO INCIDENTS

OUTCOMES:

- 1) Manage calls to fires and other emergency incidents
- 2) Provide a 24/7 response to local, regional, national and international incidents
- 3) Supply the appropriate resources and attend incidents to meet the needs of our communities
- 4) Meet our communities expectations in resolving incidents

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| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 15/07 | Mass absence of staff due to pandemic disease, impacting on our ability to meet the Priorities identified in Our Plan 2020. | 1,2,3,4 | Collaboration Policy and Procedure Communication | 2 | 3 | M | TC | Participation in multi-agency response to pandemic diseases | SMT | Ongoing | 2 | 3 | M | TC | Treat |
| 17/03 | Systel failure leading to loss of risk information (Cat 1/2/3/4) | 3,4 | Collaboration Policy and Procedures Communications | 1 | 4 | M | TC | NONE | N/A | N/A | 1 | 4 | M | TC | Tolerate |

| | | | | | | | | | | | | | | | |
|-------|---|---------|---|---|---|--|--|---|---|--|---|---|---|----|----------|
| 15/05 | Industrial action by operational staff | 1,2,3,4 | Collaboration Policy and Procedures Communications | 5 | 3 | H  | ST  | NONE | N/A | N/A | 5 | 3 | H | ST | Tolerate |
| 15/04 | Failure of any part of the mobilising system | 1,2,3,4 | Collaboration Assurance Learning and Development Resources | 3 | 5 | VH | ST | Fault identification and management guide issued to Control Automated monitoring and reporting of critical areas Scheduled maintenance plan | Tri-Service Tri-Service Tri-Service | Mar 2020 Mar 2020 Mar 2020 | 2 | 3 | M | TC | Treat |
| 17/01 | Not enough On-Call duty system appliances available | 2,3,4 | Policy and Procedure Learning and Development Resources | 3 | 3 | H | TC | On-Call Project aimed at improving On-Call availability | ACO Service Delivery | Ongoing | 2 | 2 | M | OP | Treat |
| 17/04 | Lack of specialist resources | 2,3,4 | Collaboration Policy and Procedure Resources | 2 | 3 | M  | TC | NONE | N/A | N/A | 2 | 3 | M | TC | Tolerate |

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| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 18/07 | Inability to detect faults at one of the three data centres hosting the mobilising system | 1,2,3,4 | N/A | 2 | 4 | H | TC | Re-design of START Mobilising system Decommissioning redundant data centre | AM Tri-Service Control AM Tri-Service Control | Prior to de-commission of NFRS site Prior to de-commission of NFRS site | 1 | 3 | L | OP | Tolerate |
| 20/05 | Harm to staff and the wider Service as a result of the undertaking of additional duties outside of the norm whilst assisting other agencies as part of the response to the COVID 19 outbreak. | 3,4 | Policy and Procedure Learning and Development Resources | 3 | 3 | H | TC | None | N/A | N/A | 3 | 3 | H | TC | Tolerate |



FINANCE AND RESOURCES

AIM: DELIVER VALUE FOR MONEY QUALITY SERVICES

OUTCOMES:

- 1) A well-managed and transparent budget
- 2) Robust and efficient procurement activities
- 3) Reliable and effective ICT systems
- 4) Fit for purpose estate, vehicles and operational equipment

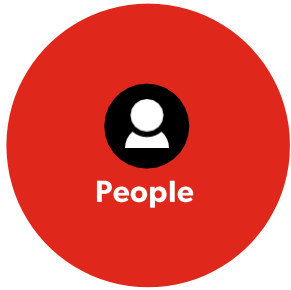
| RAT ID | HAZARD | STRATEGY OUTCOME AT RISK | EXISTING CONTROL MEASURES | CURRENT RISK (with control measures) | | | | CONTROL MEASURES TO BE IMPLEMENTED | CONTROL MEASURE OWNER | IMPLEMENTATION DATE | RESIDUAL RISK (after all control measures) | | | | RISK MANAGEMENT PROCESS (Tolerate, Treat, Transfer, Terminate) |
|--------|---|--------------------------|--|--------------------------------------|---|---|----|------------------------------------|-----------------------|---------------------|--|---|---|----|--|
| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 16/06 | Loss or damage to buildings, equipment or fleet due to theft or vandalism | 4 | Policy and Procedure Assurance Communications Resources | 3 | 1 | L | OP | NONE | N/A | N/A | 2 | 1 | L | OP | Tolerate |

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| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 18/01 | Failure to comply with the General Data Protection Regulation and subsequent Data Protection Act | | Assurance Learning and Development Resources | 2 | 3 | M | TC | Corporate Register of Personal Data Processing Activity Review Data protection compliance post EU Brexit transition period | Information Governance Manager | Feb 2021 | 1 | 3 | L | OP | Treat |
| 18/02 | Failure to prevent loss of data due to malicious action or negligence | | Policy and Procedure Communications Resources | 3 | 5 | VH | ST | Cyber Essentials Plus | ICT Manager | Apr 2021 | 3 | 4 | H | ST | Treat |



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| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 18/03 | LFRS fails to respond adequately to the financial challenges facing them. This can be due to a reduction of spending power as a consequence of the COVID-19 pandemic or changes in government funding. Along with being unable to fund any additional statutory requirements places on the Service. | 1 | Assurance Resources | 4 | 4 | VH | ST | Annual review of IRMP Consider use of reserves in short term Revise obligations in Our Plan 2021-2024 Medium Term Financial Plan 20212-2024 (1 Year only) Improved internal budget management /devolved budget | Chief Fire Officer Chief Fire Officer Chief Fire Officer / SMT Treasurer Finance Manager | Dec 2020 Feb 2021 Feb 2021 Feb 2021 Jul 2021 | 3 | 4 | VH | ST | Treat |

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| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 20/02 | Damage to reputation and/or financial loss as a result of adopting new communication technology during the COVID-19 outbreak without the usual extended testing and validation. | 3 | Assurance Resources | 1 | 2 | M | OP | NONE | N/A | N/A | 1 | 2 | L | OP | Tolerate |
| 20/04 | Failure of key suppliers | 1,2,4 | Assurance Governance | 1 | 2 | L | OP | NONE | N/A | N/A | 1 | 2 | I | OP | Tolerate |



PEOPLE

AIM: AN ENGAGED AND PRODUCTIVE WORKFORCE

OUTCOMES:

- 1) The right people
- 2) In the right place
- 3) Doing the right thing
- 4) In the right way

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| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 17/06 | Lack of qualified Incident Command staff at Levels 1,2,3 and 4 | 1,3,4 | Learning and Development | 4 | 3 | H | TC | Incident Command – Acquisition, Development and Maintenance procedure to be aligned with national levels of command | Learning and Development | Ongoing | 1 | 3 | M | OP | Treat |
| 19/01 | A death or serious injury occurs as a result of a failure to operate safe systems of work | 1,2,3,4 | Policy and procedure Assurance Learning and Development Resources Communications | 2 | 5 | VH | ST | Review of Health and Safety Risk Assessments | Health and Safety | Mar 2021 | 1 | 5 | H | TC | Treat |

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|--------|---|--------------------------|---|---|---|---|----|------------------------------------|-----------------------|---------------------|---|---|---|----|---|
| | | | | L | I | R | ML | | | | L | I | R | ML | |
| 20/03 | Staff coming to harm due to contracting Coronavirus whilst undertaking training courses at the Learning and Development Centre. | 1,2,3,4 | Learning and Development Health and Safety | 1 | 4 | M | TC | NONE | N/A | N/A | 1 | 4 | M | TC | Tolerate |



GOVERNANCE

AIM: PROVIDE ASSURANCE

OUTCOMES:

- 1) Well informed communities
- 2) Well informed staff
- 3) We'll know what our communities think of us
- 4) We'll know what our staff think of us

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|--------|--------|--------------------------|---------------------------|--------------------------------------|---|---|----|------------------------------------|-----------------------|---------------------|---|---|---|----|--|
| | | | | L | I | R | ML | | | | L | I | R | ML | |
| N/A | N/A | N/A | N/A | - | - | - | - | N/A | N/A | N/A | - | - | - | - | N/A |

Assessments Removed or Archived During the Current Year

| RAT ID | HAZARD | STRATEGY OUTCOME AT RISK | FINAL RISK SCORE | | | | REASON FOR REMOVAL | DATE REMOVED |
|--------|---|-------------------------------|------------------|---|---|----|--|--------------|
| | | | L | I | R | ML | | |
| 18/04 | Failure to adhere to procurement rules resulting in vulnerability to legal challenge and non-achievement of value for money | FINANCE and RESOURCES 1,2 | 2 | 4 | H | TC | Procurement programmes now based on use of Frameworks or in collaboration with partners (i.e. purchase of software in collaboration with Leicester City Council). Risk to be reviewed following outcome of internal audit. | August 2020 |
| 20/06 | Staff at risk of fraudulent action due to exploitation of the Test and Trace program for COVID-19 | FINANCE and RESOURCES 1,2,3,4 | 5 | 3 | H | ST | All control measures put into place. National Test and Trace did not materialise and therefore risk did not fully materialise. | August 2020 |

Project Risks

| PROJECT REF | HAZARD STATEMENT | RISK ASSESSMENT SCORES | | | | PROJECT CONTROL MEASURES |
|-------------|--|------------------------|---|----|----|---|
| | | L | I | R | O | |
| 18/P03 | <p>ESN Project</p> <p>There is a possibility that the Home Office will select Plan D (project pause/shutdown) which will mean that the ESN project will be stopped and a suitable replacement will need to be selected and chose.</p> | 3 | 4 | VH | ST | <ul style="list-style-type: none">• Information to be provided by the Centre• Risk has been elevated to the Chief Fire Officer |

Health, Safety and Welfare Risks

We are committed to protecting all staff and supporting their wellbeing. We will make sure that staff and the people that we come into contact with are protected from risks. However, we recognise that our staff may face challenging situations and we will support our operational staff to take risks appropriately to protect public safety.

Health and Safety Provision and Training

The Service is carrying out a full review of its Health and Safety provision. This is to improve our provision within the service and to the public we serve. We have identified that we should provide our staff with more Health and Safety training. We will aim to provide appropriate training at all levels of the organisation. This will include Leadership training and how we can promote a positive Health and Safety culture within the organisation.

Firefighter Welfare

The Health, Safety and Welfare and Corporate Risk Management Committee has highlighted an issue relating to the possible impact of contaminants on dirty Personal Protective Equipment on the health of operational crews. A firefighter welfare group has been established to continue to review this risk and will aim to improve our approach to dealing with post fire contaminants. The group will also review and strive to improve our knowledge and improve facilities to recover from the physical effects of firefighting and other duties.

Risk assessment matrix

| | | | | | | |
|---------------|---|-------------|----------------------|----------------------|-------|-------|
| IMPACT | 5 | | 19/01 | 15/04 18/02 | | |
| | 4 | 17/03 20/03 | 18/07 | 18/P03 | 18/03 | |
| | 3 | | 15/07 17/04 18/01 | 17/01 17/05 20/05 | 17/06 | 15/05 |
| | 2 | 20/02 20/04 | | | | |
| | 1 | | | 16/06 | | |
| | | 1 | 2 | 3 | 4 | 5 |

| | |
|-------------------|--|
| LIKELIHOOD | |
| VERY HIGH | High level risk with the potential to cause catastrophic damage to the reputation, finances or governance of the Service |
| HIGH | Mid-high level risk possibly requiring significant amendment to policy/procedure and significant financial outlay |
| MEDIUM | Low-mid level risk possibly requiring new policy and/or some financial outlay |
| LOW | Low level risk capable of being managed within normal service policy and procedure |

Risk Management Matrix

| | | | | | | |
|---------------|---|-------------|----------------------|----------------------|-------|-------|
| IMPACT | 5 | | 19/01 | 15/04 18/02 | | |
| | 4 | 17/03 20/03 | 18/07 | 18/P03 | 18/03 | |
| | 3 | | 15/07 17/04 18/01 | 17/01 17/05 20/05 | 17/06 | 15/05 |
| | 2 | 20/02 20/04 | | | | |
| | 1 | | | 16/06 | | |
| | | 1 | 2 | 3 | 4 | 5 |

| | |
|--------------------|---|
| LIKELIHOOD | |
| CORPORATE | Those risks likely to require management oversight by the CFA and/or SMT |
| STRATEGIC | Those risks likely to require management oversight by SMT |
| TACTICAL | Those risks likely to require management oversight by the HSW Committee and sub-groups, Tactical Manager’s Team (TMT) and/or individual Directors |
| OPERATIONAL | Those risks likely to require management oversight by individual Group and Station Managers and/or TMT |

Glossary of Terms and Abbreviations

Likelihood (L) - A measurement of how frequent and/or probable it is that a consequence will actually be realised

Impact (I) - An estimate of the harm that could be caused by an event

Operational (OP) - Those risks likely to require management oversight by individual Group and Station Managers and/or GMT

Tactical (TC) - Those risks likely to require management oversight by the HSW and CRM Committee and sub-groups, Group Manager's Team (GMT) and/or individual Director

Strategic (ST) - Those risks likely to require management oversight by SMT

Corporate (C) - Those risks likely to require management oversight by the CFA and/or SMT

Low (L) - Low level risk capable of being managed within normal service policy and procedure

Medium (M) - Low –mid level risk possibly requiring new policy and/or some financial outlay

High (H) - Mid-high level risk possibly requiring significant amendment to policy/procedure and significant financial outlay

Very High (VH) – High level risk with the potential to cause catastrophic damage to the reputation, finances or governance of the Service