

LEICESTERSHIRE
FIRE and RESCUE SERVICE

Organisational Risk Register

2021



Created: January 2021
Reviewed: February 2021
Owner: Corporate Risk



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	Review to include lessons from incidents such as The Cube and Manchester Arena attack.	Community Risk	December 2021	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

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	
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	NONE	N/A	N/A	2	3	M	TC	Tolerate
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

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 Infrastructure update	AM Tri-Service Control AM Tri-Service Control AM Tri-Service Control	Prior to de-commission of NFRS site Prior to de-commission of NFRS site April 2021	1	3	L	OP	Treat
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:

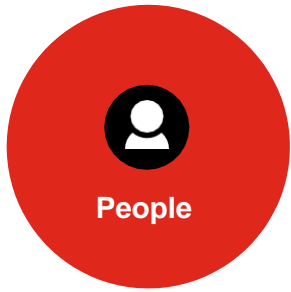
- 1) A well-managed and transparent budget
- 2) Robust and efficient procurement activities
- 3) Reliable and effective ICT systems
- 4) Fit for purpose estate, vehicles and operational equipment

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	Targeted theft from Service premises resulting loss or damage to operational equipment and vehicles and subsequent reduction in operational capability.	4	Policy and Procedure Assurance Communications Resources	3	1	L	OP	Review of adequacy of arrangements	Estates Dept.	July 2021	2	1	L	OP	Treat

18/01	Failure to comply with the General Data Protection Regulation and subsequent Data Protection Act		Assurance Learning and Development Resources	1	3	M	TC	Provide a process for managing the Corporate Register of Personal Data Processing Activity Review Data protection compliance post EU Brexit transition period	IG Manager (DPO) IG Manager (DPO)	January 2021 January 2021	1	3	M	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

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	Budget balanced in 2021/22 Consider use of reserves in short term Revise obligations in Our Plan 2021-2024 Medium Term Financial Plan 2021 – 24 (1-year settlement only) 75% compensation for National Non Domestic Rates shortfall	Treasurer CFO CFO/SMT Treasurer Treasurer	Feb 2021 Feb 2021 Feb 2021 Feb 2021 2021/22	3	4	VH	ST	Treat
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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
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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

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	
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

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
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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

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	
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
17/06	Lack of qualified Incident Command staff at Levels 1,2,3 and 4	PEOPLE 1,3,4	1	3	M	OP	Control measures in place. New programme of Incident Command refresher courses in place.	January 2021
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.	FINANCE and RESOURCES 3	1	2	M	OP	Control measures in place	January 2021

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
21/P01	<p>Views Replacement Project:</p> <p>Lack of development resource to complete data warehouse work.</p>	5	4	VH	ST	<ul style="list-style-type: none"> Increase in ICT establishment to allow for a full time development role
21/P02	<p>Web GIS Project:</p> <p>Lack of development resource to complete data warehouse work.</p>	5	4	VH	ST	<ul style="list-style-type: none"> Increase in ICT establishment to allow for a full time development role

Health, Safety and Welfare Risks

H&S REF	HAZARD STATEMENT	RATIONALE	RISK ASSESSMENT SCORES				CONTROL MEASURES
			L	I	R	O	
21/HS01	<p>Management of contaminants (Specific Hazard)</p> <p>There is a possibility that staff could come to harm as a result of exposure to contaminants during their employment with the Service. LFRS has a moral and legal obligation to reduce the risk posed to staff in the long, medium and short term.</p>	<p>The interim guidance from the UCLAN / FBU research has now been published.</p> <p>The HSE has been asked for this to form the basis of risk control for contaminants</p> <p>The scientific review identifies significant potential risks for Firefighters and other staff who attend fire scenes and identify control measures which will require planning, investment and cultural changes to implement.</p> <p>The impact of the risk is very high as it is linked to fatal illness as well as other issues such as morale.</p> <p>The likelihood is medium/low as the impact is likely to be experienced in the long term.</p>	2	5	VH	ST	<ul style="list-style-type: none"> • Consideration of PDA review. • Review of risk assessments for • staff activities and third parties. • Review of station layout & zoning. • Review of provisions for maternity and new mothers. • Review of SCBA use for post fire activities. • Management of contaminants procedure. • Training to be provided to a more diverse range of staff following an update informed by the research.

21/HS02	<p>Management of manual handling (Specific Hazard)</p> <p>There is a possibility that staff may come to harm as a result of the failure to apply appropriate manual handling techniques. LFRS has a morale and legal obligation to reduce the risk posed to staff in the long, medium and short term.</p>	<p>Manual handling is especially problematic within fire services as lifts have to take place in time critical scenarios when staff are already fatigued.</p> <p>This puts the individual at greater risk as they are less likely to lift in a textbook manner and are more vulnerable to injury when already fatigued.</p> <p>In non-fire scenarios, lifts are often undertaken in poor postural positions due to the layout of domestic premises.</p> <p>The impact of this risk is significant as many lifts could have the potential to injure operational staff as textbook technique cannot be applied due to the limitations detailed above plus there is a specific risk of injuring a vulnerable person such as a bariatric person or elderly, infirm or end of life patient as lifting them could be inherently hazardous.</p> <p>Likelihood is medium high as these lifts are commonplace and the standard control measures in the hierarchy of control are not available to the service in most instances.</p>	3	4	VH	ST	<ul style="list-style-type: none"> • Training improvements. • Lifting sheet roll out. • Manual handling procedure. • Liaison regarding care plans. • Manual handling assessments to be developed further.
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21/HS03	<p>Health and Safety training provision (Management Risk)</p> <p>There is a risk that LFRS may not meet its obligations to provide effective health and safety training for staff resulting in a potential for harm and possible breach of statutory duty.</p>	<p>The service has a legal responsibility to provide effective H&S training for managers to ensure that these managers understand their responsibilities and implement the control measures relevant for the protection of our staff and others.</p> <p>This lack of training may result in the service being found directly in breach of its duties or it may lead to a breach in another statutory H&S duty.</p> <p>The risk's impact is significant due to the potential for statutory breach, however, likelihood should reduce.</p>	2	5	VH	ST	<ul style="list-style-type: none"> • Completion of roll out of management training.
21/HS04	<p>Failure to complete suitable and sufficient Health and Safety Risk Assessments (Management Risk)</p> <p>There is a risk that LFRS may fall in its duty to ensure an adequate and effective system of H&S risk assessment is in place, which may result in harm to staff and failure to meet statutory obligations.</p>	<p>A number of LFRS staff have successfully passed the IOSH risk assessment course provided by Leicestershire Police.</p> <p>Despite this cadre of trained staff being available, fewer risk assessments have been developed than was originally intended.</p> <p>Impact is high as lack of risk assessments and the actions that they drive can be a breach of duty, however, the likelihood of this happening will diminish under the new system when implemented.</p>	2	5	VH	ST	<ul style="list-style-type: none"> • Roll out of new risk assessment form and monitoring of adoption.

Risk Assessment Matrix

IMPACT	5		19/01 21/HS01 21/HS03 21/HS04	15/04 18/02		
	4	17/03 20/03	18/07	18/P03 21/HS02	18/03	21/P01 21/P02
	3	18/01	15/07 17/04	17/01 17/05 20/05		15/05
	2	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 21/HS01 21/HS03 21/HS04	15/04 18/02		
	4	17/03 20/03	18/07	18/P03 21/HS02	18/03	21/P01 21/P02
	3	18/01	15/07 17/04	17/01 17/05 20/05		15/05
	2	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