



# Organisational Risk Register

## 2023



**Created:** January 2022

**Reviewed:** May 2023

**Owner:** Corporate Risk

# Chapter 1 – Corporate Risk Register



## SAFER COMMUNITIES

**AIM: FEWER INCIDENTS WITH LOWER IMPACTS**

**OUTCOMES:**

- 1) Targeted prevention and protection activities
- 2) Manage business and community risk effectively
- 3) Effective partnership working

RAT ID	HAZARDOUS EVENT			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)
	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
17/05	We fail to meet Central Government and public expectations in relation to the Grenfell Tower review	Additional workload, resources and training	The inability to deliver our core functions and priorities identified in Our Plan 2020-24	1,2,3	Collaboration Policy and Procedure Communications Training and Exercising	2	2	M	OP	Service wide high-rise training and exercising program	Learning and Development	December 2022	2	2	M	OP	Tolerate



# 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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	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
15/04	There will be a partial or complete failure of the mobilising system	ICT equipment failure, loss of staff and/or failure of the joint enterprise between Leicestershire, Derbyshire and Nottinghamshire Fire and Rescue Services	Delays to mobilisation, reduced Service performance, impacts on Firefighter and public safety and or impacts on other Service departmental functions	1,2,3,4	Collaboration	4	4	VH	C	First Line fault identification, troubleshooting and resolution guide provided for Control	Tri-Service SDM	March 2020	4	4	VH	C	Treat
Assurance					↑			↑						↑	↑		
Learning and Development																	
Resources																	
									Automated monitoring and reporting of all mobilisation critical elements of the mobilising system	SYSTEL FRANCE / Tri-Service ICT DEPTS	November 2022						
									Scheduled System maintenance plan for updates, hot fixes, patches and preventative works	SYSTEL UK / SYSTEL FRANCE / Tri-Service SDM / Tri-Service ICT DEPTS	March 2020						
									Business Continuity Plans	Fire Control	November 2022						
									LFRS ICT Risk Register Item R004: detailing control measures to ensure LFRS	ICT Manager	April 2024						

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	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
										systems can support Systel mobilisation  Upgrade of mobilising system software to latest version (V117)	Tri-Service ICT Manager	November 2022					
15/05	There will be a significant reduction in operational capacity	Industrial action by one or more of the main representative bodies involving some or all operational staff including Fire Control staff	An inability to maintain basic operational response capability as set out in the Service Operational Degradation Procedure	1,2,3,4	Collaboration  Policy and Procedures  Communications  Assurance	5	3	H	ST	Fire Control business continuity plans	Fire Control	September 2022	5	3	H	ST	Treat
15/07	A higher than usual number of employees are unable to work, or attend their workplace	Pandemic Disease	The inability to deliver our core functions and priorities identified in Our Plan 2020-24	1,2,3,4	Collaboration  Policy and Procedure  Communication	3	3	H	TC	NONE	N/A	N/A	3	3	H	TC	Tolerate

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	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
17/01	The Service will have too few On-Call Duty System appliances available	Lack of appropriate skill sets, reliance on dual contractors with limited hours of availability, inability to fill vacancies at On-Call Stations or lack of succession planning	Insufficient resources available in the right place at the right time to meet the 10-minute turnout time	2,3,4	Policy and Procedure  Learning and Development  Resources	3	3	H	TC	Implementation of recommendations from On-call Availability Project	Director of Service delivery	June 2023	3	3	H	TC	Treat
20/04	We will be unable to fulfil our core statutory duties or meet governance and/or financial legislation and/or regulation.	The failure of a key supplier to the Service due to influences outside of the Service's control.	Potential inability to receive 999 calls, failure of mobilising systems. Possible failure, loss or inability to supply Personal Protective Equipment, Breathing Apparatus, Operational vehicles and critical ICT systems.	1,2,3,4	Policy and Procedure	4	5	VH	C	Confirmation process to ensure key suppliers have adequate business continuity plans of their own in place  Robust contract management process in place that includes assessment of long-term viability of potential suppliers of significant size  Ongoing review of alternative suppliers	Procurement Managers  Business Support  Project Managers	December 2023  December 2023  December 2023	4	5	VH	C	Treat



# FINANCE AND RESOURCES

**AIM: DELIVER VALUE FOR MONEY QUALITY SERVICES**

**OUTCOMES:**

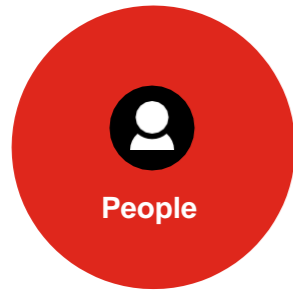
- 1) A well-managed and transparent budget
- 2) Robust and efficient procurement activities
- 3) Reliable and effective ICT systems
- 4) Fit for purpose estate, vehicles and operational equipment

RAT ID	HAZARDOUS EVENT			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)
	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
16/06	Service premises, vehicles and/or equipment is lost or damaged	Targeted theft or other criminal activity	Loss or delay to operational response and financial cost	4	Policy and Procedure  Assurance  Communications  Resources	3	1	L	OP	Assessment of site security – Premises Security Review	TMT	September 2022	2	1	L	OP	Treat
18/02	ICT technologies / services will be disrupted and/or data leaked from unauthorised sources	A failure of ICT security controls to prevent a cyber-attack, including malware, spamming, scams, spyware, ransomware or phishing, or loss/theft of ICT assets	Buildings/ ICT infrastructure components inaccessible, inability to deliver of processes and outcomes, loss of data, reputational damage, financial loss, unauthorised use of data including passwords or personal data to cause further damage, including denial of service and	3	Policy and Procedure  Communications  Resources	3	5	VH	ST	LFRS ICT Risk Register Item R008	ICT Manager	Dec 2024	2	3	M	TC	Treat

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	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
			communications overload														
18/03	The Service fails to respond adequately to the financial challenges it faces	A reduction in spending power as a consequence of increased inflationary pressures and/or pay and pension issues	An inability to provide a balanced budget and/or being unable to fund additional statutory requirements placed on the Service	1	Assurance Resources	2	2	M	OP	NONE	N/A	N/A	2	2	M	OP	Treat
21/05	Data is deleted, access to data is removed or data is inaccessible	Human error and/or non-compliant data storage practices	Permanent loss of data, temporary unavailability of data, disruption of key processes and outcomes, inability to comply with legislation such as FOI, GDPR etc. and/or reputational damage	3	Policy and Procedure Assurance	3	4	VH	ST	LFRS ICT Risk Register Item R001	ICT Manager	April 2024	2	4	H	TC	Treat

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	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
21/06	Outsourced, e.g. cloud-based, ICT services are not available or that data entrusted to a service provider is inaccessible, lost or compromised	Inadequate security or resilience of third party and/or inadequate outsourcing governance	Reputational damage, financial loss, unauthorized use of data such as passwords or personal data to cause further damage, loss of data, unavailability of data, disruption of key processes and outcomes and/or inability to migrate to another cloud service provider	3	Policy and Procedure	3	4	VH	ST	LFRS ICT Risk Register Item R010	ICT Manager	December 2024	2	3	M	TC	Treat
21/07	ICT technologies and services do not meet corporate and business requirements and/or users do not yield the maximum benefit of ICT technologies	Inadequate engagement with users, inadequate funding, inadequate expertise of ICT staff, implementation of changes delayed and/or system redundancy	Disruption of outcomes, increased demand on the ICT helpdesk, increased user errors, suboptimal use of ICT technologies and/or reputational damage	3	Policy and Procedure  Communications  Resources	3	4	VH	ST	LFRS ICT Risk Register Item R009	ICT Manager	December 2024	2	3	M	TC	Treat





# 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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	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
19/01	A Service employee or member of the public comes to harm	A failure to operate safe systems of work on the incident ground or other location such as workshops or whilst travelling to/from locations of work	Death or serious injury to one or more individuals	1,2,3,4	Policy and procedure Assurance  Learning and Development  Resources  Communications	1	3	M	OP	Review of Health & Safety risk assessments	Health & Safety Department	December 2023	1	3	M	OP	Treat



# 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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	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
18/01	We fail to achieve compliance with UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018	The actions of our staff and agents working for us processing our personal data; or failure of our technical security to protect against external threats	A breach of Statutory obligation as a Public Authority	1,2	Assurance  Learning and Development  Resources	4	3	H	TC	Provide Oracle training for all new staff and 2 yearly refreshers for existing staff and a means of managing non completion.  Find a solution to replace use of WhatsApp as a dynamic group information tool and implement.  Following the dissolution of Forge Health treat the residual Data Protection risks still associated with Occupational Health (as identified in the independent review).  New SIRO – No discussion has yet taken place with the new role holder and what skills, knowledge and training they may have and what else is needed.	Learning and Organisational Development Manager  ICT Manager  ICT Manager/Commercial Procurement Manager  IG Manager (DPO)	31 March 2023  30 April 2023  30 June 2023  31 March 2023	3	2	M	TC	Treat

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	THE IS A CHANCE THAT	CAUSED BY	RESULTING IN			L	C	R	ML				L	C	R	ML	
										Compliance with the NFCC Fire Data Standard – Data Management.	IG Manager (DPO)/ICT Manager	31 December 2023					



## Chapter 2 - Project Risks

PROJECT REF	HAZARD STATEMENT	RISK ASSESSMENT SCORES				PROJECT CONTROL MEASURES
		L	C	R	ML	
N/A	N/A	N/A	N/A	N/A	N/A	N/A

There are currently no risks that meet the identified threshold for inclusion within Chapter 2 of the Organisational Risk Register as defined by the Programme Management Board.

## Chapter 3 - Health, Safety and Welfare Risks

H&S REF	HAZARD STATEMENT	RATIONALE	RISK ASSESSMENT SCORES				CONTROL MEASURES	Date of last Assurance at H&S Committee
			L	C	R	ML		
21/HS01	<p><b>Management of contaminants (Specific Hazard)</b></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"> <li>Review how risk information is passed on to other organisations re contaminants</li> <li>Review of risk assessments in relation to working in the appliance bay, BA workshop, fire investigators. Post fire activities, working with other organisations or allowing them to enter fire scenes</li> <li>Review PPE and equipment provision particularly gloves, water bottles and bags for soiled kit</li> <li>Review washing protocols and the implications for warranties for fire hoods and helmet cradles</li> <li>Review the welfare procedure in relation to food, rest and hygiene requirements. Hydration, crew rotation and the delivery of fresh PPE to scenes should also be included</li> <li>Review how exposure to contaminants can be managed for high exposure roles such as in learning and development and consider whether the service needs to introduce standards around tenure</li> <li>PPE surveys to resume</li> <li>Review deployment of crews returning to stations with bagged up kit</li> </ul>	January 2023
21/HS02	<p><b>Management of manual handling (Specific Hazard)</b></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 moral 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</p>	3	4	VH	ST	<ul style="list-style-type: none"> <li>Training improvements.</li> <li>Lifting sheet roll out.</li> <li>Manual handling procedure.</li> <li>Liaison regarding care plans.</li> <li>Manual handling assessments to be developed further.</li> <li>Introduction of targeted fitness training trial to build core strength and reduce potential for manual handling injury.</li> </ul>	

		available to the service in most instances.						
21/HS03	<p><b>Health and Safety training provision (Management Risk)</b></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&amp;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&amp;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"> <li>• Completion of roll out of management training.</li> </ul>	
21/HS04	<p><b>Failure to complete suitable and sufficient Health and Safety Risk Assessments (Management Risk)</b></p> <p>There is a risk that LFRS may fall in its duty to ensure an adequate and effective system of H&amp;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"> <li>• Monitor roll out and adoption of the new form.</li> </ul>	
21/HS05	<p><b>Inability to maintain fire fighter competence for basement firefighting</b></p>	<p>Concerns have been raised regarding the safety of basement firefighting. The Balmoral bar incident in Scotland is the highest profile of these incidents and involved the death of a fire fighter who was unable to reach safety. LFRS firefighters have received burns during basement fire training at the fire service college.</p> <p>Until we can train our firefighters to an appropriate standard of competency we are at risk of a firefighter becoming injured at a basement fire due to competency gaps.</p>	2	5	VH	ST	<ul style="list-style-type: none"> <li>• Introduce an effective training course through outsourcing, expansion of the Hot Fire Training Unit at the Caterpillar site or await new training facility becoming available in 2023</li> </ul>	
22/HS01	<p><b>There is a risk that our staff could injure themselves whilst carrying out fitness training within Service premises.</b></p>	<p>While this risk exists, the provision of fitness and gym facilities should always be regarded within a wider context as a control measure within the operational environment and contributor to health and wellbeing for staff in general.</p>	4	2	M	TC	<ul style="list-style-type: none"> <li>• Maintenance of gym equipment</li> <li>• Inspection of gym equipment</li> <li>• Monitoring of inspection outcomes</li> <li>• Creation of risk based inspection regime</li> <li>• Purchasing of equipment to follow trend analysis of inspection failures</li> <li>• Purchasing of equipment to eliminate additional fixings and complicated design</li> <li>• Official approval process for new equipment</li> <li>• Gym surveys</li> <li>• Inspection improvements based on Microsoft 365 form</li> </ul>	January 2023

							<ul style="list-style-type: none"><li>• Official system put in place to defect equipment that has broken or failed inspection or maintenance</li><li>• Prioritisation system for purchasing equipment for space limited gyms</li><li>• Review of options for safety event reporting</li></ul>	
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# Risk Assessment Matrix

CONSEQUENCE	5		21/HS01 21/HS03 21/HS04 21/HS05	18/02	15/04 20/04	
	4			21/HS02 21/05 21/06 21/07		
	3	19/01		15/07 17/01	18/01	15/05
	2		17/05 18/03		22/HS01	
	1			16/06		
		1	2	3	4	5
LIKELIHOOD						

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

# Risk Management Matrix

CONSEQUENCE	5		21/HS01 21/HS03 21/HS04 21/HS05	18/02	15/04 20/04	
	4			21/HS02 21/05 21/06 21/07		
	3	19/01		15/07 17/01	18/01	15/05
	2		17/05 18/03		22/HS01	
	1			16/06		
		1	2	3	4	5
LIKELIHOOD						

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

# Glossary of Terms and Abbreviations

**Hazardous Event** - A potential event that can cause harm

**Likelihood (L)** - The chance of something happening. May be described by the probability, frequency or uncertainty of event

**Consequence (C)** - The outcome of an event. Specifically, the severity or extent of harm 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