Appendix A - Organisational Risk Register

Ref Number	Risk Area	Residual Risk	Trend				
			Newest				Oldest
1	Insufficient staff available for BAU	8			→	→	→
2	Death of an employee at work in the course of their duties	10			→	→	→
3	Successful cyber-attack resulting in catastrophic loss of stability and/or access of our ICT infrastructure.	12			→	→	↓
4	Emerging changes to legislation (post Grenfell)	9			→	↑	→
5	Future financial planning uncertainty	12			↑	↑	↑
6	Firefighter contamination	12			→	→	→
7	Covid 19 related wellbeing and safety	8				→	↑
8	Data quality issues	6			→		
9	Impacts of McCloud pension remedy	6			→		

Our Priorities:

1. **Our Communities.** We work together to understand different community needs and deliver accessible, local services which build safer places.
2. **Our People.** We look after each other by creating great places to work and promoting the health, wellbeing and safety of our people.
3. **Public Value.** We plan over the longer-term to ensure our decisions and actions deliver efficient and effective public services.
4. **High Performance.** Our diverse teams are trusted, skilled and feel equipped to deliver a leading fire and rescue service today and into the future.
5. **Learning and Improving.** We have the support of policy and guidance with the freedom to use our discretion to do the right thing, learning from ourselves and others.

Criteria for inclusion of risks:

- Could the risk result in a serious or significant impact on the delivery of Our Priorities.

Rank

- Risks are ranked in the summary table according to overall Residual Risk.

Inherent and Residual Risk

- Inherent risk is the risk level that exists without any controls applied.
- Residual risk is whatever risk level remains after additional controls are applied.

Risk Trend

The risk trend shows whether the risk has increased or decreased recently. The direction arrow indicates whether the risk is stable ⬌ rising ⬆ or reducing ⬇

Organisational Risk Register

Ref Number 1										
Risk Area	**Description and Impact**	**Our Priority**	**Risk Scores**			**Recent Trend**				**Risk Owner**
						Newest			**Oldest**	
Political	Insufficient staff available for BAU **Impact:** Fewer appliances available Poorer response times Overtime for staff not taking industrial action Management - staff and inter-staff relations Administrative burden – wage / pension changes	1,2,3,4	**Inherent Risk Level:**							**Steve Apter**
			Likelihood	**Severity**	**Risk**					
			3	5	15					
			Residual Risk Level:			⬌	⬌	⬌	⬌ ⬌	
			Likelihood	**Severity**	**Risk**					
			2	4	8					

Causes / Sources	**Mitigations**	**Progress and Ownership of Mitigation**	**Effectiveness – Commentary**
Unplanned significant absence	Contingency plan arrangements to deploy to all incident types.	Degradation plan with progressive arrangements involving capability and deployment procedures – Stew Adamson	Decision log framework regarding crewing arrangements.
	Centralised monitoring and deployment of staff	Resource management currently operating between Fire Control and Emergency Staff Cell. Long term resource management arrangements to be developed and enabled – Stew Adamson	

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Industrial Action due to National Terms and Conditions changes including pensions:	Engagement with NFCC, local, regional and national rep body personnel, local and central government politicians	Neil Odin engaged within national discussions and applying influence on behalf of our services (NFCC Steering Group member and Chair of NFCC Prevention Co-ordination Committee)	Measures last used 2015
	Prior planning for industrial action Establish Emergency Management Group	NFCC annual IA return completed now aligns industrial action planning, with our degradation response plans, for both Hampshire and the IOW which provides our mitigation measures against reduced resources as a result of IA – Steve Apter	
Industrial Action due to local issues:	Effective local trade union relationships maintained.	Joint Trade Union Meeting on monthly frequency with escalation process – Molly Rowland	Tested plan, reviewed after use 2015.
	Contingency plan arrangements	Industrial action plan – Stew Adamson	
	Prior planning for industrial action. Establish Emergency Management Group	IA aligns industrial action planning, with our degradation response plans, for both Hampshire and the IOW which provides our mitigation measures against reduced resources as a result of IA – Steve Apter	
Pandemic/Covid-19	Follow PHE guidance for staff welfare	Independent C19 Health & Safety audit completed to ensure that Risk assessments, are now operating across the organisation. Clear communications plan to ensure that communication is maintained across both organisations. Wellbeing Portal established – Steve Apter	Situation is now managed. Service will monitor local outbreaks and national policy to mitigate impacts to Service Delivery. Independent C19 Health & Safety audit
	Reduce/cease non-essential activities	Independent C19 Health & Safety audit completed to ensure that Risk assessments, are now operating across the organisation. Clear communications plan to ensure that communication is maintained across both organisations. Business Continuity Policy, Procedure and plans are now in place and tested – Steve Apter	
	Dedicated team to manage	EMG and PCG is a flexible structure that mirrors SCG requirements and allows a flexible resourcing model dependant on demand. This has been assured through LRF debrief process. Staff cell has now been resourced to centrally manage internal impacts. – Steve Apter	

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Ref Number 2

Risk Area	Description and Impact	Our Priority	Risk Scores			Recent Trend							Risk Owner
						Newest					Oldest		
Societal	Death of an Employee at work in the course of their duties Impact: Mental health and wellbeing of staff and family Organisational reputation Operational due to reduced staffing – watch off the run, inquiry to staff Legal – liabilities HSE / Police investigation Financial	2	**Inherent Risk Level:**										Steve Apter
			Likelihood	Severity	Risk								
			3	5	15								
			Residual Risk Level:			⬌	⬌	⬌	⬌	⬌			
			Likelihood	Severity	Risk								
			2	5	10								

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Causes / Sources	Mitigations	Progress and Ownership of Mitigation	Effectiveness – Commentary
Death in work time	Implement mental health strategy	Live and ongoing – Molly Rowland	Mental health provisions and awareness improving throughout Service
	Support for physical health and fitness	Live and ongoing – Molly Rowland	
	Procedures/guidance followed	Our procedures align to the 'Death in work protocol' and these have been exercised in 2018– Steve Apter	PPG Framework now live
	Organisational reputation	Our procedures align to the 'Death in work protocol' and these have been exercised in 2018– Steve Apter	Demonstrated compliance 2010
	Legal – liabilities	Our procedures align to the 'Death in work protocol' and these have been exercised in 2018– Steve Apter	Demonstrated compliance 2010
	HSE / Police investigation	Our procedures align to the 'Death in work protocol' and these have been exercised in 2018– Steve Apter	Demonstrated compliance 2010
	Financial	Reserves of around £30m and revenue contributions built into the budget of over £6m available to balance the budget in the short term if required – Rob Carr	Reserves are well established

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Ref Number - 3											
Risk Area	**Description and Impact**	**Our Priority**	**Risk Scores**			**Recent Trend**					**Risk Owner**
						Newest				**Oldest**	
Technological	Successful cyber-attack on our ICT infrastructure **Impact:** Catastrophic loss of stability and/or access to our ICT infrastructure. Loss of personal data resulting in breach to GDPR requirements Reduced functioning of all departments	1,2,4	**Inherent Risk Level:**			⟷ ⟷ ⟷ ⟷ ⬇						**Matt Robertson**
			Likelihood	Severity	Risk						
			4	4	16						
			Residual Risk Level:								
			Likelihood	Severity	Risk						
			3	4	12						

Causes / Sources	Mitigations	Progress and Ownership of Mitigation	Effectiveness – Commentary
External Cyber attack	Staff training to reduce chances of malicious emails being opened.	Annual training in place with routine testing of staff established; monitoring of staff knowledge and compliance through externally facilitated penetration testing directs interventions by ICT Department. – Matt Robertson	No successful cyber-attack since measures have been in place.
	Firewall and other cyber security measures established.	Industry standard (for the sector) Firewall in place, regularly monitored with enhanced cyber security software which monitors and reports performance of Firewall in real-time. – Matt Robertson	
	Network software updated and maintained to manage ongoing threat of cyber-attacks.	Regular patching of devices and network connections in place. Large update to all hardware devices to further enhance security patching work planned for Winter 2020/21. – Matt Robertson	

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Malicious system user	Effective monitoring of network use.	Use of ICT systems monitored, daily reports assessed by cyber security team. Unusual activity on accounts is regularly investigated. – Matt Robertson	No loss of system functionality due to malicious internal system use.
	Internal access/security systems have clear procedures and terms of use.	All ICT Policies and Procedures are updated, with clear guidance provided to staff on the use of ICT systems and equipment. – Matt Robertson	

Organisational Risk Register

Ref Number – 4

Risk Area	Description and Impact	Our Priority	Risk Scores			Recent Trend	Risk Owner
						Newest	
						Oldest	
Legal	Capacity and capability to respond to legislative changes to buildings and requirements of FRS. **Impact:** New risks identified to responding Increased capacity and capability needs for Fire inspection staff.	1,4,5	**Inherent Risk Level:**			⟷ 🔴⬆ ⟷ ⟷ ⟷	**Stew Adamson**
			Likelihood	Severity	Risk		
			4	3	9		
			Residual Risk Level:				
			Likelihood	Severity	Risk		
			4	1	4		

Causes / Sources	Mitigations	Progress and Ownership of Mitigation	Effectiveness – Commentary
New risks identified to responding to high rise buildings	High rise procedure development.	• New high rise procedures published. • Webinar to introduce awareness and training to Operational staff complete. • Specialist Fire Safety team responding to incidents (Building Environment Response Officer BERO Team) - complete • Review of response arrangements for specialist roles (BERO) - planned • Practical training to all staff – planned • Exercise testing – planned - Stew Adamson	Grenfell outcomes recommendations progress report
	New High Rise Residential Building Team	HRRB procedure for Protection complete	

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Increased capacity and capability needs for Fire inspection staff.		Recruitment of inspectors – HRRB team is funded only until 2021/22 through HO Protection funding. – Stew Adamson	Grenfell outcomes recommendations progress reporting. HIWFRS protection team connected to the NFCC team, gaining intelligence from and informing the programme.
	National fire safety competency framework	National Fire Chief's Council (NFCC) Building Risk Review Programme (BRR) Programme. Academy adoption of framework – complete Upskill programme for all fire safety inspectors to Level 5 – ongoing Supervisory managers (station based) trained to Level 3 of framework – planned – Stew Adamson	

Ref Number – 5

Risk Area	Description and Impact	Our Priority	Risk Scores			Recent Trend					Risk Owner
						Newest				Oldest	
Economic	Future financial planning uncertainty and potential reduced funding **Impact:** Inability to balance the budget and continue to deliver services in usual manner	1,2,3,4	**Inherent Risk Level:**								**Rob Carr**
			Likelihood	Severity	Risk	⬆	⬆	⬆	↔	↔	
			4	4	16						
			Residual Risk Level:								
			Likelihood	Severity	Risk						
			4	3	12						

Causes / Sources	Mitigations	Progress and Ownership of Mitigation	Effectiveness – Commentary
Reduced central government funding	Sufficient reserves and revenue contributions to reserves built into core budget	Reserves of around £30m and revenue contributions built into the budget of over £6m available to balance the budget in the short term if required – Rob Carr	Reserves are well established Degradation plan in existence
	Contingency planning for reduced operating costs whilst maintaining appliance availability	Developing contingency plans for reduced operating costs, working with director of Ops in scenario planning for future safety plan development. – Steve Apter	
	Contingency planning for further reduced operating costs with reduced appliance availability	Developing contingency plans for reduced operating costs, working with director of Ops in scenario planning for future safety plan development. – Steve Apter	
Brexit	Situation Monitoring	Possible price increases in the areas of IT, vehicle replacement and construction being monitored, and appropriate contingencies are being factored into current planning – Rob Carr	Impact on economy and supply

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	Sufficient reserves	Reserves of around £30m and revenue contributions built into the budget of over £6m available to mitigate short term price increases if required – Rob Carr	chain costs being monitored
Covid-19 impact on the national and global economy, future grant settlements and local reductions in council tax and business rates income.	Sufficient reserves and revenue contributions to reserves built into core budget	Reserves of around £30m and revenue contributions built into the budget of over £6m available to balance the budget in the short term if required – Rob Carr	Reserves are well established
	Contingency planning for reduced operating costs whilst maintaining appliance availability	Developing contingency plans for reduced operating costs, working with director of Ops in scenario planning for future safety plan development. – Steve Apter	Degradation plan in existence
	Contingency planning for further reduced operating costs with reduced appliance availability	Developing contingency plans for reduced operating costs, working with director of Ops in scenario planning for future safety plan development. – Steve Apter	Significant uncertainty going forward at this stage hence change to risk score

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Ref Number – 6										
Risk Area	**Description and Impact**	**Our Priority**	**Risk Scores**			**Recent Trend**				**Risk Owner**
						Newest			**Oldest**	
Societal	Contaminants risk leading to ill health in work force **Impact:** Increased staff ill health Potential future legal challenges –	2	**Inherent Risk Level:**							Stew Adamson
			Likelihood	**Severity**	**Risk**	⬌	⬌	⬌	⬌	⬌
			4	4	16					
			Residual Risk Level:							
			Likelihood	**Severity**	**Risk**					
			3	4	12					

Causes / Sources	**Mitigations**	**Progress and Ownership of Mitigation**	**Effectiveness – Commentary**
Fire Ground Contaminants	Health and Safety Scheme	Local mitigations in place at workplace and station level. Working at a national level on research with FBU and Brighton University. Station investment program improvement plans to be influenced by outcomes of this research. This is a Year 1 Safety Plan improvement. – Steve Apter	Current mitigations are reasonable and further efforts are being made to understanding the risk and reduce any potential risk
	Policy and Procedures	Clear policies in place for staff to manage contaminated kit and equipment from fireground – Stew Adamson	
	Fireground continuation within vehicles.	Wipe down procedures in place for vehicles to sanitise touchpoints when returning from fireground. Contaminated kit procedures in place to manage the disposal of operational uniform. – Matt Robertson	
	Potential future legal challenges	*Future comment to be attained from Legal as to level of future risk (guidance not available at time of release) – Stew Adamson	
	Fire Ground Contaminant management on our estate and buildings	Zoning of operational buildings (clean, transition and dirty zones) established within the Estate Design Principles. New stations built with zoning. All stations have enhanced cleaning facilities for kit management with clear signage and routing. Assessment of requirements to retrofit	

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			existing building stock with zoning to improve the handling of contamination on stations commenced (report due early 2021). – Matt Robertson.				

Ref Number – 7

Risk Area	Description and Impact	Our Priority	Risk Scores			Recent Trend		Risk Owner
						Newest Oldest		
Societal	Covid 19 related impacts on staff wellbeing and safety **Impact:** Increased staff ill health Staff confidence Long term ill health effects	1,2,4,5	**Inherent Risk Level:**			⬌ ⬌ ⬆		**Molly Rowland**
			Likelihood	Severity	Risk			
			4	4	16			
			Residual Risk Level:					
			Likelihood	Severity	Risk			
			2	4	8			

Causes / Sources	Mitigations	Progress and Ownership of Mitigation	Effectiveness – Commentary
Staff confidence	Increased communications with staff	Live briefings and regular updates to complement existing communications activities – Shantha Dickinson	H&S team and processes in place Risk Assessments established for all Service
Staff confidence	Tailored management toolkits for staff support	Recently launched and support being provided to managers -Molly Rowland	
Long term ill health effects	Risk Assessments for all Organisational activity	Completed and regularly reviewed and updated. Risk Assessments completed on all workplaces to ensure ALARP principle is in place. – Steve Apter	
Staff confidence	Increased availability of PPE	Supply chains established for PPE to meet Operational demand guidance issued to teams on how and when to use PPE. – Matt Robertson.	

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Increased staff ill health	Effective Health and Safety compliance	H&S team with strengthened leadership presence at COG level. Internal audit to assure capacity and PPG. Risk Assessments completed on all workplaces to ensure ALARP principle is in place. – Steve Apter	activities and locations PPE stocks well supplied and distributed Specialist teams and groups in place to manage staff wellbeing Chief briefings now fortnightly with open call for questions from staff

Organisational Risk Register

Ref Number – 8												
Risk Area	**Description and Impact**	**Our Priority**	**Risk Scores**			**Recent Trend**						**Risk Owner**
						Newest					**Oldest**	
Technological / Operational	Sub-optimal data quality in some areas owing to systems and processes preventing effective organisational delivery, high performance and/or robust performance reporting. **Impact:** Inability to deliver an efficient and effective performance management and reporting in some areas to support an outcomes-focused service to communities of HIOW.	1,2,3,4	**Inherent Risk Level:**										**Shantha Dickinson**
			Likelihood	Severity	Risk							
			4	3	12							
			Residual Risk Level:			⟷						
			Likelihood	Severity	Risk							
			3	2	6							

Causes / Sources	**Mitigations**	**Progress and Ownership of Mitigation**	**Effectiveness – Commentary**
Process factor – business process operating in a way that impacts data quality, and does not support efficient or effective reporting or	Early involvement of ICT (from a systems point of view) and Organisational Performance (from a data integration and report perspective) in the creation of new processes. Escalation of data quality risk areas within IPAB and Directorate Boards – with the	Ownership sits with all Directorate Boards (with the support of ICT and Organisational Performance teams) to identify data quality risks and the stakeholders required to action remedial activity - All members of Executive Group.	Data Quality risks are captured within risk registers and reviewed regularly in Directorate

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			Board meetings with accountable Directors escalating as appropriate.
Human factor – user error (global)	Systems training, automated data quality interventions (where possible), and adherence with, and assurance activity on the compliance against the Data Quality and Performance Procedures.	Ownership sits with all Directorate Boards (with the support of ICT and Organisational Performance teams) to identify data quality risks and the stakeholders required to action remedial activity, including identifying any training requirements – All members of Executive Group.	
Human factor – localised, rather than centralised reporting – no single version of the truth	Organisational Performance identifying and escalating (for example to Directorate Boards, to ICT, or other channels), where appropriate, where localised reporting or systems interface issues are impacting data quality.	Ownership for ensuring centralised and accurate data recording and capture sits with individual Directorates (with the support of ICT and Organisational Performance teams) who have a responsibility to progress remedial actions that may need to be implemented by multiple teams across the Service - All members of Executive Group.

Where data capture tools or ICT system refinements are required, Directorates should raise requests with ICT, making clear their process and reporting requirements, at the earliest opportunity - Matt Robertson.

Data quality standing item for discussion in IPAB and other directorate boards – Shantha Dickinson. | |
Systems interface, including manual intervention			
Human factor – required availability/input of specialist capability	Sufficient contingency budget for IT or Organisational Performance to utilise technical consultancy support, where risks or unexpected challenges have been escalated and issues cannot be resolved internally.	Ongoing scrutiny and oversight of ICT and Organisational Performance technical consultancy budgets, with any capacity or financial risks identified via team and Directorate risk registers - Rob Carr.	
Human factor – required input of administrative capacity to support resolution	Engagement from Directorates with Business Support, e.g. via Head of Governance and Business Support, to identify, at the earliest opportunity, any additional administrative support requirements (to support remedial action).	Teams and Directorate Boards escalating any administrative capacity requirements or risks through the effective management of risks, with escalation to, and close collaboration with, Business Support and Corporate Services, where required - Matt Robertson.	Clear Application Development and ICT Change Programme

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			Pathway to ensure that requirements from boards are addressed in a timely fashion

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Ref Number – 9						
Risk Area	**Description and Impact**	**Our Priority**	**Risk Scores**		**Recent Trend**	**Risk Owner**
					Newest **Oldest**	
Legal	Failure to respond to the impacts of the McCloud pension remedy **Impact:** Inability to deal with the financial, communication and administrative aspects of the remedy which could have long term impact on resources and retirement choices that firefighters may make.	1,2,3,4	**Inherent Risk Level:** Likelihood / Severity / Risk 4 / 3 / 12 **Residual Risk Level:** Likelihood / Severity / Risk 3 / 2 / 6		⟷	**Rob Carr**
Causes / Sources	**Mitigations**		**Progress and Ownership of Mitigation**			**Effectiveness – Commentary**
Insufficient capacity and capability to implement the remedy	Dedicated project team being drawn up across shared services to deal with the remedy implementation		High level project plan drawn up and additional resources being appointed and trained to be able to release experienced staff in the future to undertake remedy calculations and changes – Rob Carr.			Resources in place and planning taking place even in

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				the absence of answers from Government
	Existing governance structure through employer pension groups in place but McCloud specific governance will be implemented as activity increases	Employer Pension Groups already established and McCloud one of the key items discussed at each meeting – Rob Carr.		
Lack of accurate data on which to undertake calculations, given new CFA from 1 April 2021	Data collection in respect of both HFRS and IWFRS taking place prior to new CFA to enable manual calculations to be undertaken	Templates used for IOW data collection also being used to collect payroll information going back to 2015 on IOW and data extracts in place for HFRS through IBC – Rob Carr.		Availability of data is good but future manual calculations will be a challenge
Lack of effective communication on the remedy leading to poor decisions by firefighters	Communications a key element of employer group discussions and regular comms planned on this including FAQs etc.	Initial comms already sent out in consultation with Rep Bodies and further comms planned to answer key questions FFs might have on what happens to their retirement dates and access to pre 2015 benefits Rob Carr.		Communications continuing and some queries coming through from individual FFs about their position.

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Measures of Likelihood - Probability		
LEVEL	DESCRIPTOR	DESCRIPTION
1	Very unlikely	The event may occur only in exceptional circumstances.
2	Unlikely	The event could occur at some time.
3	Moderate	The event will occur at some time.
4	Likely	The event could occur in most circumstances.
5	Very likely	The event will occur in most circumstances.
Measures of Severity (Consequence)		
LEVEL	DESCRIPTOR	DESCRIPTION
1	Negligible	Minor local first aid treatment (e.g. minor cuts/abrasions), minimal work interruption
2	Minor	Injury requiring first aider treatment causing inability to continue with current work activity for 3 days or less. Minimal financial loss or damage.
3	Serious	Medical treatment required. RIDDOR over 7 day lost-time injuries. Moderate environmental implications. Moderate financial loss or damage. Moderate loss of reputation. Moderate business interruption.
4	Major	Permanent or life changing injuries. RIDDOR major injuries. High environmental implications. Major financial loss or damage. Major loss of reputation. Major business interruption.
5	Fatalities	Single or multiple deaths, stops the Originations from functioning

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		LIKELIHOOD				
		1 Very Unlikely	2 Unlikely	3 Moderate	4 Likely	5 Very Likely
5 Major	SEVERITY	5	10	15	20	25
4 Serious		4	8	12	16	20
3 Moderate		3	6	9	12	15
2 Minor		2	4	6	8	10
1 Negligible		1	2	3	4	5