

Gloucestershire Fire and Rescue Service - Corporate Risk Register 2016/17

| Ref | Risk | Owner | Inherent Risk | Residual Risk 16/17 | Direction of Travel | Mitigating Actions for High or Changed Residual Risks |
|---|---|-----------------|---------------|---------------------|---------------------|---|
| Strategic Risk 1: Corporate Governance | | | | | | |
| SR1.1 | Political change and focus could impact on local priorities | Stewart Edgar | High 16 | High 16 | ↔ | 1. Regular engagement with Lead Cabinet Members and Shadows takes place to ensure clarity of political focus and delivery strategy is understood by all stakeholders 2. Oversight to GFRS activities is provided by GCC Environment and Scrutiny Committee 3. Engagement with relevant HM Govt. departments to ensure top line political strategy and direction is fully understood 4. Engagement with professional bodies at a national level to ensure delivery/receipt of coherent sector led advice |
| SR1.2 | Failure in corporate governance which leads to Service, financial or reputational damage or failure. | Andy Hermiston | High 16 | Low 6 | ↓ | Corporate Governance Framework developed and published internally and externally to aid in a better understanding of the operating environment, roles and responsibilities. |
| SR1.3 | Failure to effectively understand, inform, consult or engage individuals or communities resulting in dissatisfaction, criticism or challenge. | Dave Hornibrook | High 16 | Moderate 8 | ↓ | Internally: 1. Regular visits to stations to brief staff 2. Level 1 & 2 meetings held with representative bodies 3. Cultural review undertaken to gauge current opinion of workforce and deliver change where necessary Externally: 1. GFRS has a commitment in the IRMP 2015/18 to consult local communities where any proposed changes may have a significant impact 2. Due Regard assessments undertaken to help inform any proposals for change 3. After the fire surveys undertaken by independent company (ORS) to inform Service activities 4. Complaints procedure in place and monitored |

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| Strategic Risk 2: Financial | | | | | | |
| SR2.1 | The cumulative impact of Service pressures set against the delivery of savings plans to meet MTC2 requirements. | Stewart Edgar | High 25 | High 15 | ↔ | <ul style="list-style-type: none"> 1. Demand Management Service Delivery Model in place 2. Risk based response approach in place 3. Operational Review undertaken and revisited to match resources to risk profile 4. Technological solutions being researched to provide an innovative approach to future resourcing models 5. Workforce planning being undertaken to investigate future staffing options 6. Expenditure Monitoring Group in place and meets monthly 7. All GFRS budget holders have received GCC training and have in house support 8. Regular updates and briefings held with LCM/GCC |
| SR2.2 | The impact of not securing adequate capital funding to meet future Service needs. | Andy Hermiston | High 16 | Moderate 12 | ↑ | <ul style="list-style-type: none"> 1. Forecast of future capital needs undertaken 2. Meetings with GCC held to identify requirements and help secure future funding 3. Capital funding secured for 2016/17 for appliances and RTC equipment 4. Ongoing risk assessment 5. Asset Management Plan and Strategy developed and in place for GFRS |
| SR2.3 | Uncertainties arising from the UK leaving the EU with the possible impact on funding for the Service from local government | Stewart Edgar | High 20 | Moderate 12 | ↔ | Regular engagement with Lead Cabinet Members and Shadows takes place to ensure clarity of political focus and delivery strategy is understood by all stakeholders |

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| Strategic Risk 3: Infrastructure | | | | | | |
| SR3.1 | Failure to ensure that the Service's technological environment remains fit for purpose in alignment with aims and objectives. | Clive Webber | High 16 | Moderate 8 | ↔ | The Service has replacement programs for all hardware and software in use. This includes servers, PCs, network equipment and mobile equipment. Our corporate desktop software is licensed through Microsoft which ensures that the latest versions are always available as they are released. Mobile devices are contracted, and this includes upgrades to devices when required. All system software packages are covered by maintenance contracts and they are updated when new versions are released by software suppliers. All aspects of the Control Room are covered by maintenance contracts. |
| SR3.2 | Failure of technology impairing the Service's ability to communicate | Clive Webber | High 16 | Low 6 | ↔ | The Service has several degrees of resilience built into the majority of systems used, and the level of resilience employed relates to the potential impact of a loss. The resilience is a combination of technical and procedural, so if a certain technology fails there will be a different technical or manual procedure to replace it. All major systems have resilient power, hard disk and cooling provision. The Service has access to satellite communications equipment in the event of landline Internet failure. |
| SR3.3 | Failure of technology impairing the Service's ability to respond (Fire Control) | Dave Hornibrook | High 15 | Moderate 12 | ↓ | <p>1. Since 2012 the Service has undergone a complete replacement of the Command and Control environment across HQ and all fire stations. The system now installed in Control is the latest version available to the UK Fire Service. To support that system, key phone lines are duplicated. Airwave radio can be used to communicate operationally and backed up with mobile telephony. Alternate locations for Control and physically separate methods of mobilising are available for Control Room communications.</p> <p>2. Bespoke maintenance contract in place with Capita for 3 years</p> <p>3. Periodic BCM testing of Fire Control arrangements</p> |
| Strategic Risk 4: Organisational Change Programmes | | | | | | |
| SR4.1 | Failure to deliver outcomes of IRMP 2015/18. | Stewart Edgar | High 16 | Moderate 8 | ↓ | <p>1. Project / implementation plans developed and in place to ensure delivery of identified outcomes from IRMP 2015/18.</p> <p>2. Delivery of outcomes from IRMP 2015/18 monitored and reported on by Business Planning and Strategy to SLT</p> |
| SR4.2 | Failure to correctly address recommendations arising from the Cultural Review. | Andy Hermiston | High 25 | Moderate 9 | ↔ | Implementation plan being developed to ensure outcomes and recommendations from the Cultural review are assigned owners to ensure deliver. |
| Strategic Risk 5: Collaborative Working | | | | | | |
| SR5.1 | Failure to maintain effective relationships with key partners and organisations impacting on the ability to meet statutory and local requirements. | Tally Giampa | Low 6 | Low 6 | ↔ | <p>1. Partnerships are covered by MOU's/SLA's which outline expectations for delivery of aims/objectives.</p> <p>2. Partnership meetings held to review delivery against expected outcomes with adjustments made as</p> <p>3. Engagement with staff to ensure effective delivery of partnership solutions</p> |

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| Strategic Risk 6: Workforce Planning and Employee Relations | | | | | | |
| SR6.1 | Workforce skills and capacity gaps/challenges impacting on reduced performance through increased sickness levels and attrition rates thereby reducing the quality of service provision | Derek Cross | High 16 | Moderate 8 | ↑ | 1. Workforce training strategy developed and in place to deliver training requirements to identified skill/capability gaps 2. PDR process in place used to identify training needs for individuals 3. Workforce planning undertaken to match skills/capability gaps to organisational need 4. Absence management reviews employed to help maintain staffing at optimum levels as far as is 5. Overall absence rates are routinely monitored and reported on to both SLT and GCC |
| SR6.2 | Poor employee relations causing disruption to services, lost productivity and increased costs. | Tally Giampa | High 16 | Moderate 8 | ↔ | 1. Regular visits to stations to brief staff 2. Level 1 & 2 meetings held with representative bodies 3. Cultural review undertaken to gauge current opinion of workforce and deliver change where necessary |
| Strategic Risk 7: Prevent & Protection | | | | | | |
| SR7.1 | Failure to deliver outcomes of the Prevention and Protection Strategy impacting on the residents and businesses of Gloucestershire | Tally Giampa | Moderate 8 | Low 6 | ↓ | 1. Partnerships are covered by MOU's/SLA's which outline expectations for delivery of aims/objectives. 2. Partnership meetings held to review delivery against expected outcomes with adjustments made as required 3. GFRS staff briefed and trained to deliver bespoke strands of the Prevent Strategy e.g. Co-responding and Telecare 4. Delivery against performance indicators are reported to and monitored by SLT and GCC |
| SR7.2 | Failure to deliver outcomes of the Prevent and Protection Strategy impacting on the Service's reputation due to exposure in local or national media | Tally Giampa | Moderate 12 | Moderate 9 | ↓ | 1. Partnerships are covered by MOU's/SLA's which outline expectations for delivery of aims/objectives. 2. Partnership meetings held to review delivery against expected outcomes with adjustments made as required 3. GFRS staff briefed and trained to deliver bespoke strands of the Prevent Strategy e.g. Co-responding and Telecare 4. Delivery against performance indicators are reported to and monitored by SLT and GCC |

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| Strategic Risk 8: Emergency Response/Business Continuity Threats | | | | | | |
| SR8.1 | Inability of the Service or a key partner to effectively respond to an incident or event external to the organisation that results in community disruption and failure to return to normal within required timescales | John Beard | High 15 | Moderate 9 | ↔ | 1. Community Risk Register in place 2. Community Risk Plans developed and in place (CPT) 3. Threats and impacts to service delivery are encompassed within business continuity management 4. BCM exercises take place to test plans on a periodic basis |
| SR8.2 | Inability of the Service or a key partner to effectively respond to an incident or event that results in significant service disruption and failure to return to business as normal within required timescales | John Beard | High 15 | Moderate 9 | ↔ | 1. Community Risk Register in place 2. Community Risk Plans developed and in place (CPT) 3. Threats and impacts to service delivery are encompassed within business continuity management assessments with plans developed to cover high risk eventualities 4. BCM exercises take place to test plans on a periodic basis |
| Strategic Risk 9: Information Governance | | | | | | |
| SR9.1 | Failure to protect the confidentiality, integrity and availability of information resulting in inefficient/ineffective service delivery by the Service and its' partners, service interruption, harm to individuals, reputational damage, legal action or fines | Clive Webber | High 16 | Moderate 8 | ↔ | 1. GCC Information Management Policy in place (available through StaffNet) and sign posted within GFRS Corporate Governance framework 2. GFRS ITTR proactively monitor ICT systems to ensure security and integrity of systems. Technical protections are in use such as virus scanning, web virus scanning and intrusion protection. 3. SIRO trained and in place for GFRS. 4. Reminders periodically issued to all staff regarding appropriate use and storage of data/information 5. All USB ports at GFRS have been blocked to prevent the removal of information via portable USB media 6. Handheld devices and tablets are protected with Mobile Device Management and encryption |
| Strategic Risk 10: Climate Change | | | | | | |
| SR10.1 | Failure of the Service to adapt to a more volatile climate with rising temperatures leading to unpredictable spate and spike incident conditions | Clive Webber | Moderate 9 | Low 6 | ↔ | All papers presented for consideration by SLT should include an impact assessment which covers environmental aspects amongst other things. The R&D team continuously horizon scan to ensure that the latest PPE and equipment is considered for the Service to be able to respond to spate conditions. All existing equipment such as life jackets and dry suits are tested. |

Guidance

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|---|--|
| Ref | Risk Reference Number x.y (x = Strategic Risk/Objective Number and y = Individual Risk within that category) |
| Date Added | The date risk added to the risk register |
| Risk Description | Give brief description of risk |
| Objective | Objective the risk links to |
| IR Likelihood | Inherent Risk - with no controls in place. Score 1-5 - See guidance on Likelihood and Impact ratings |
| IR Impact | |
| IR Risk Score | Automatically generated from likelihood x impact |
| Current controls in place | Describe current controls in place to manage the risk, review and update. This should include any other provision of assurance, e.g. OfSTED |
| RR Likelihood | Residual Risk - risk remaining following the review of the effectiveness of the current controls. Score 1-5 - See guidance on Likelihood and Impact ratings |
| RR Impact | |
| RR Risk Score | Automatically generated from Likelihood x Impact |
| Direction of Travel | Risk Score compared to last period. Type in - 1 = Decreased, 2 = Remains the same or 3 = increased |
| T Likelihood | Target Risk - based on what you are willing to tolerate - Score 1-5 - See guidance on Likelihood and Impact ratings and Risk Appetite |
| T Impact | |
| Target Risk | Automatically generated from likelihood x impact |
| Risk Appetite | Your Appetite for Risk (drop-down choices - Averse/Open/Dynamic) |
| Categories of Risk* (pick from drop down list) | Select from the dropdown list the categories of risk Important: Above the formula bar, you may get 'Security Warning'. Click Options and click 'Enable this contents' and click okay. This feature enables you to select multiple categories from the list |
| Risk Owner | The person responsible for the risk and keeping the information on the risk updated |
| Date Reviewed | The date the risk was last updated |
| Proximity Assessment (pick from drop down list) | Consideration should be given to the 'proximity' of the risk or how soon it will impact if nothing is done Short = Less than 1 month, Medium = 1 to 6 months, Long = Over 6 months |
| Period Comments | Comments as to actions taken must be entered for all red residual risks and where the status of any risk has increased |
| Consequences | What will happen if the risk occurs |
| Risk Status (pick from drop down list) | Open = Current Risk. Closed = No longer a risk |
| Further Actions Required | Any follow on actions to treat the risk |
| FA Due | When the further action is due to be completed |
| Progress of FA (pick from drop down list) | Performance of Further Action - on target, ahead of target, behind target or complete |
| Period Comments | Details on the progress of the further action, especially if behind target |
| FA Owner | The person responsible for the further action (may be different to the risk owner) |

Risk Identification Methodologies

There are a number of commonly used methods and sources of information that can be used for risk/opportunity identification. In addition, it is important to ensure that all sources of risk and opportunities which could potentially impact of the achievement of objectives are identified. A risk prompt list is summarised below (Risk & Opportunity Rainbow) which categories risk into types or areas.

Risk and Opportunity Rainbow

