

Corporate Risk Register as of 22/09/16

Risk ID	Risk Short Name	Risk Assesor	Function Programme	Directorate	Risk Description	Risk Criteria	Inherent Score	Treatments	Treatment Owner	Treated Score	Overall Assurance	Risk Owner	Review Date
148	Partnership Working and Shared Service	Andy Fry (CFO)	Strategic Risks	CFO	If partnership working and shared service do not continue to develop and fail to operate effectively, which may become increasingly likely given the complexities of shared arrangements and incoming legislative arrangement associated with blue light collaboration, then we can expect there to be an impact on our financial position and our service provision, which would be significant in respect to delivering all of our strategic objectives and our savings target.	Failure to manage organisational resources	21	<p>Develop a shared service strategy to ensure we manage potential partner expectations and develop a strategic approach to building partnerships.</p> <p>Develop a portfolio of documents clearly articulating the services RBFRS offer to potential partners</p> <p>Build on existing approach to partnership building with RBFA members making introduction in both their home authorities and their local communities</p> <p>Build collaborative relationships with chief officers from TV FRS's, TVP and SCAS</p>	Anne-Marie Scott Paul Southern Andy Fry (CFO) Andy Fry (CFO)	16	3	Anne-Marie Scott	2016-09-30
152	The Emergency Services Mobile Communications Project (ESMCP)	Paul Southern	Strategic Risks	CFO	If the current approach to delivering The Emergency Services Mobile Communications Project (EMSCP) changes, which may become increasingly likely as the programme is developed, potential costs rise and a possible change in government policy, then we can expect to have to take a different approach to implementation and potentially have to increase our financial contribution. This could be very significant in respect to our medium term financial planning and have critical knock on affects to others objectives	Failure to comply with statutory or regulatory requirements	25	<p>Project team established, and resources identified, regular meetings scheduled .</p> <p>Establish a process of evidence gathering to enable frequent monitoring of risk at monthly meetings</p> <p>Raise profile of issue with FA members to ensure they lobby government on behalf of RBFRS.Keep Members informed of development of plans to implement ESMCP In RBFRS.</p> <p>Represent RBFRS at regional programme board meetings</p>	Dave Myers Dave Myers Dave Myers	22	2	Paul Southern	2016-10-07

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								Submit Network Diagram and 2 quotes for IT Health Checks to Government Digital Services for review, to ensure RBFRS and TVFCS networks are eligible for any funding available from the core project.	Nikki Richards				
								Cacade communications to all relevant staff at each stage of the process	Dave Myers				
								Awhere possible, align collaborative ways of working to create efficiencies with TV and Hants partners	Dave Myers				
								creation of a robust risk matrix to identify and address risks with responsible persons allocated	Dave Myers				
								External Audit in two phases to give objective assurance to programme management- 1st phase in August, 2016, 2nd in Feb March 2017	Dave Myers				
212	Information assurance	Trevor Ferguson	Info Man	Strategy and Performance Management	If we fail to have effective control on information assurance, which is increasingly likely given additional information and data we are handling and changes to ICT and TVFCS, then we can expect the mis-handling of sensitive or personal information which could lead to significant financial and reputational penalties and legal challenge which are significant in respect to achieving all of our strategic objectives	Failure to comply with statutory or regulatory requirements	21	Existing policies and procedures on information management	Nikki Richards	17	3	Trevor Ferguson	2016-11-30
								Gap analysis conducted and improvement plan developed	Trevor Ferguson				
								Implementation of improvement plan to achieve PSN compliance	Nikki Richards				
221	Facilities contracts	Katie Mills	Estates	People and Organisational Development	If we fail to ensure facilities contracts are reviewed and replaced in a timely fashion which is likely given the short timescales available for review before contract expiry dates then we can expect to encounter procurement risk and potential to disruption to service provision of key services which is significant in relation to contined service provision and value for money	Failure to manage organisational resources	21	Review the facilities contract status	Anne-Marie Scott	17	2	Anne-Marie Scott	2016-10-31
								Explore the use of frameworks for a speedy compliant-route to market	Anne-Marie Scott				
								Explore opportunities to work with partners on services required	Anne-Marie Scott				

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								current contract extended and review to be carried out to understand the best option for the organisation for these services	Tracey Mitchell				
223	Implementation of IT resilience audit recommendations	Trevor Ferguson	Strategic Risks	Strategy and Performance Management	If we fail to implement the recommendations from the Baker Tiley audit on IT Resilience which is likely given the length of time the recommendations remain extant then we can expect the identified gaps and risks around IT resilience to remain which may lead to a disruption in IT service delivery, impacts on organisational service delivery and resulting damage to organisational reputation which is significant to the achievement of all strategic objectives	Failure to manage technology	21	Complete the action plan recommended by Baker Tiley Review the IT strategy Conduct a gap analysis on IT capital projects and strategy Revise the capital programme to ensure delivery of IT audit recommendations during 2016/17 financial year Award tender for virtualisation and resilience Complete virtualisation project and establish disaster recovery at whitley wood by april 2016 secondary connection to service headquarters Installed	Trevor Ferguson Trevor Ferguson Trevor Ferguson Nikki Richards Nikki Richards Nikki Richards Nikki Richards	17	2	Trevor Ferguson	2016-08-31
230	Firefighter Fatality	Paul Southern	Strategic Risks	CFO	If we fail to ensure the health, safety and welfare of firefighters which may become likely if we dont maintain policies, procedures and training for firefighters then we can expect breaches in health and safety legislation and/or firefighter injury or fatality which is significant in respect of our strategic objectives to provide a swift and effective response when called to emergencies, valuing and investing in our staff and managing RBFRS in accordance with best practice and legislation	Failure to comply with statutory or regulatory requirements	25	Ensuring policies, procedures and processes are maintained and up to date Safety Critical Training is delivered from Training centre based on The fire professional Framework core skills and assessed on appropriate frequencies a review between AM Myers and HHR&LD to determine what is risk critical training and have measure to confirm compliance	Dave Myers Dave Myers Dave Myers	19	1	Paul Southern	

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								Review measures to respond to Firefighter fatality are covered adequately in the Duty Officer Handbook	Dave Myers				
								Deliver training aligned to National standards and monitor and address shortfalls in maintenance of competence	Becci Jefferies				
231	RDS Availability	Paul Southern	Strategic Risks	CFO	If the RDS availability reduces which may become likely with the continued lack of investment in effective recruitment and retention processes then we can expect the number of frontline appliances to reduce which is significant in respect of our objective in preventing fires and other emergencies and providing a swift and effective response to emergencies	Failure to manage organisational resources	21	Proactive recruitment and retention campaigns	Dave Myers	17	2	Dave Myers	
								Review of reward package for RDS	Dave Myers				
								More flexible and effective RDS training regime (initial and ongoing)	Dave Myers				
								A consolidation audit of RDS support functions, recruitment practices and staff development to align IRMP outcomes to the structure and functionality of the RDS staffing model across RBFRS	Dave Myers				
								PID endorsed at CMT - Implementation of the recommendations of the above Audit-	Dave Myers				
233	Capital Investment Strategy	Trevor Ferguson	Strategic Risks	Strategy and Performance Management	If we fail to effectively manage our property assets to ensure they are in the right locations and fit for purpose, which may become increasing likely given the level of skills and experience and capacity within our estates team and the increasing age of our fire stations, then we can expect our expenditure to increase, our services to be less effective and our stations to further decline which would be significant in respect to our objective to ensure value for money and ensure fire stations are at the heart of communities	Failure to manage organisational resources	23	Ensure a Property Asset Management Plan is developed	Simon Jefferies	17	2	Trevor Ferguson	2016-11-30
								Ensure maximum use of memorandum of understanding with Thames Valley Police and engage with local authorities and other FRS's	Simon Jefferies				
								Ensure effective project management through IRMP programme board	Simon Jefferies				
234	Finance and Policy Direction	Andy Fry (CFO)	Strategic Risks	CFO	Given governments programme for budget deficit reduction and the increased likelihood of this being sustained or accelerated and the uncertainty in relation to the Fire Authority Medium Term Financial Plan and acceptance of a 4 year	Failure to assess the political environment	21	Work with the Chairman to strengthen the voice of RBFA in local and national government	Andy Fry (CFO)	13	3	Andy Fry (CFO)	2016-09-30

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					financial plan and acceptance of a 4 year financial settlement, this may result in the Services failure to meet Strategic Commitments and Service Objectives.			Ensure work programmes are flexible and adaptable by developing detailed service plans to aid decision making	Trevor Ferguson				
								As part of the quarterly performance review confirm direction of travel with work packages is aligned to horizon scanning for potential changes in the pace of austerity	Trevor Ferguson				
								2016/17 budget agreed based on sensitivity analysis agreed through budget working party	Trevor Ferguson				
								Continue to monitor 4 year settlement arrangements and agree potential 4 year settlement prior to october	Trevor Ferguson				
								Work with Chair and Fire Authority members through annual planning workshop to clarify Fire Authority medium term financial plan	Andy Fry (CFO)				
								Work with Members at the July Workshop to inform the MTFP	Trevor Ferguson				
235	Data and information systems	Simon Jefferies	PR	Strategy and Performance Management	Should we fail to feed accurate data into RBFRS information systems (IBIS/IRS/Sorecard) which has is occurring currently then we can expect inaccurate recording and reporting of performance data, poor associated performance, inaccurate or missing information for the development of IRMP and strategic targets/commitments to be missed which is significant to corporate performance and the development of IRMP	Failure to manage technology	23	Commission work to scope longer-term data resolution and development	Nikki Richards	19	2	Trevor Ferguson	2016-12-31
								Ensure close liason and effective working relationships with HBIS to ensure data assurance and reporting methodology	Nikki Richards				
								Ensure capacity within the Risk and Performance dept in the restructure for dealing with all organisational intelligence workloads	Simon Jefferies				

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274	Knowledge management and recommendations log	Simon Jefferies	Risk Man	Strategy and Performance Management	If we fail to develop an effective system for capturing, logging and distributing recommendations to the accountable person for action, which has happened historically because of the lack of an effective solution given that this need continues with actions generated from internal and external sources, then we can expect that risk critical remedial actions are not implemented which are significant in respect to our legal duties and reputation and has a direct impact upon strategic objectives.	Failure to comply with statutory or regulatory requirements	22	work package to develop an effective solution maintain existing recommendations log in the interim	Trevor Ferguson Simon Jefferies	20	3	Simon Jefferies	2016-09-21
283	Finance dept	Conor Byrne	Finance & Procurement	Strategy and Performance Management	If the Finance and Procurement department are unable to attract and retain sufficient skilled and qualified staff which is likely given RBFRS's experience of attracting staff to these roles over the last 18 months, then we can expect to see an inability to deliver services to help RBFRS progress against Vision 2019, increased pressure for those in the department, inability to meet statutory requirements, increased financial burden due to a need to recruit interim staff through agencies, resilience and knowledge retention compromised and risk of reputational damage	Failure to comply with statutory or regulatory requirements	23	Restructure to ensure clarity of a structure and role requirements to discharge activities and support the development of staff e.g. career grades or apprenticeships Seek to recruit to substantive new restructure utilising market supplements as appropriate in accordance with need and policy Use of interim arrangement to embed clearer more effective processes to aid induction and retention of staff Consider further transition bid to support department redesign Consider utilising staff previously employed within the department to cover gaps Consider use of networks to identify potential new staff Consider opportunities for collaboration Future focus with career planning with colleges (linked to new structure) Outsource elements of work	Conor Byrne Conor Byrne Conor Byrne Conor Byrne Conor Byrne Conor Byrne Conor Byrne	21	2	Conor Byrne	2016-10-31

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286	Budget Monitoring	Conor Byrne	Finance & Procurement	Strategy and Performance Management	If Dataplan do not provide costing files and the data required by RBFRS to inform the budget management process which is possible given that the expectation was made clear before commencement of the contract but has not yet been fulfilled, we can expect to see an inability to manage budgets and produce monitoring reports for members of the FA, Corporate Management Team and managers leading to lack of financial accountability and governance, reputational issues and a failure to demonstrate value for money	Failure to comply with statutory or regulatory requirements	23	Regular contact with Dataplan and WYPF to examine and respond to the issues	Conor Byrne	21	3	Conor Byrne	2016-10-31
								Robust contract management with timeframes set for delivery of activities	Conor Byrne				
								Continue with actions and decisions log as well as identification of issues and risks so these can be addressed in a timely manner	Conor Byrne				
								Reiterate discussions in written form to clarify decisions and actions of others, seeking legal advice where appropriate	Conor Byrne				
287	Payroll	Becci Jefferies	HR	People and Organisational Development	If Dataplan perform poorly and do not employ the necessary controls, or are unable to fulfil their contract and are not adequately managed by WYPF which is possible given that this is a new arrangement for WYPF and RBFRS are the first frs for which payroll services are being provided, then we can expect to see people not being paid or being paid incorrectly and incorrect information being provided for pension records or an inability to make payment to staff at all leading to breach of contract, increased financial burden, potential damage to our reputation and increased internal resourcing burden to support alternative actions	Failure to comply with statutory or regulatory requirements	23	Review RBFRS internal processes and instructions to limit room error	Jacky Manning	18	2	Becci Jefferies	2016-10-31
								Seek and review the business continuity plan for WYPF relationship with Dataplan and Dataplan's own business continuity plan including staffing and systems	Jacky Manning				
								WYPF to ensure other arrangements in place to provide payroll services in the event of poor performance or company difficulties	Becci Jefferies				
								Finance – role within team to keep up to date with payroll outputs and reconciliations in order to help identify errors	Conor Byrne				

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								Regular contract meetings with WYPF and Dataplan to review performance, identify issues and explore reasons and solution	Becci Jefferies				
								RBFRS to build controls into the systems to mitigate for human error	Jacky Manning				
								Business continuity plan to be written for RBFRS internal arrangements	Becci Jefferies				
								HR and Finance validate and check payroll instructions to ensure accuracy and identify the reason for any error	Conor Byrne				
								HR and Finance validate and check payroll instructions to ensure accuracy and identify the reason for any error	Jacky Manning				
								Review RBFRS internal processes and instructions to limit room error	Conor Byrne				
292	Call handling and mobilisation through TVFCS	Mark Gaskarth	Response	Service Delivery	If TVFCS fails to deliver consistently robust, resilient and effective call handling and mobilising arrangements, which could occur due to failures in management, leadership, information or protective security, inadequate ways of working or failures in the system or the way it is maintained, then we can expect there to be significant business disruption, reputational damage, and loss of confidence in RBFRS and TVFCS requiring greater levels of political oversight and involvement.	Failure to comply with statutory or regulatory requirements	25	Recruit for key roles within new TVFCS management structure	Mark Gaskarth	18	1	Mark Gaskarth	2016-09-30
								Review application of existing HR policies	Becci Jefferies				
								Establish performance measurement metrics	Mark Gaskarth				
								Integrate TVFCS into existing RBFRS service management processes	Nikki Richards				
								Undertake systems health check processes	Nikki Richards				
								Put in place and test business continuity plan	Mark Gaskarth				
								Review and test exit and fall back arrangements	Mark Gaskarth				
								Put in place and manage TVFCS annual plan	Mark Gaskarth				

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								Review information governance arrangements Put in place and manage TVFCS training plan Manage close down of issues log Provide monthly and quarterly reporting for TV partners and RBFRS Put in place first level of branding for TVFCS	Mark Gaskarth Mark Gaskarth Mark Gaskarth Mark Gaskarth Mark Gaskarth				
303	ESMCP -Capita Capacity	Dave Myers	Response	Service Delivery	Capita may not have the capacity to do the work needed- programme slippage and inability to transition to ESN	Failure to manage technology	24	Schedule the work with Capita in line with project timelines and deadlines basis , monitoring progress, reporting concerns to Capita and confirming risks to monthly strategic transition	Dave Myers	22	2	Dave Myers	
304	ESMCP- dual function and continuity of data delivery in transition	Dave Myers	Response	Service Delivery	whilst the data based services are in transition, these might not work properly. Data can't run in parallel but voice can	Failure to manage technology	23	early engagement with suppliers, contingency planning to identify alternative systems of work through transition period. Voice will be available throughout, but Data may be compromised	Ellen Warner	17	2	Nikki Richards	2016-11-30
306	ESMCP-Conflict with existing programmed works	Dave Myers	Response	Service Delivery	IT resource have projects underway which need to be completed (Broadband infrastructure, business resilience system, virtualisation, replacement phones) and as this project needs to be delivered, prioritisation may be needed re resource	Failure to manage organisational resources	23	Realignment of resource from Programme team as interim support Funding for resource contingency, either from transition or ringfenced funds	Nikki Richards Nikki Richards	23	2	Nikki Richards	2016-11-30
307	ESMCP-ESN Compliance	Dave Myers	Response	Service Delivery	Risk of high costs and capacity related to the outcome of the IT Healthcheck remedial works potentially required for ESN compliance	Failure to comply with statutory or regulatory requirements	23	early requests for IT Healthchecks Aristi relationships are already in place, but as yet unknown future risks?	Nikki Richards Nikki Richards	23	2	Nikki Richards	2016-11-30
308	ESMCP- Capita Capacity to facilitate remedials	Dave Myers	Response	Service Delivery	risk that on back of I.T. Healthchecks that Capita dont have sufficient resource to deliver remediation plans for each Service	Failure to comply with statutory or regulatory requirements	23	Early request for IT Healthchecks will give early indication of resources required	Nikki Richards	23	2	Nikki Richards	2016-11-30

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								The TVFC will be separate from Hants and IoW transition dates, and this will allow individual focus on remedial resolution	Nikki Richards				
309	ESMCP-Alignment of tasks within Project to transition plan timeframes	Dave Myers	Response	Service Delivery	Group Transition Readiness plan indicates an expectation that the remediation plan is in place by T-16 (September) but our IT Healthcheck doesn't complete until mid Oct	Failure to manage organisational resources	23	recognition of the likely slippage and the responses to therisks above will go some way to reducing the impact, but we recognise slippage against the first stages of the transition plan are unavoidable	Dave Myers	23	1	Dave Myers	2016-11-30
311	ESMCP-Capacity and availability of TVFC during transition	Dave Myers	Response	Service Delivery	If there is no data provision during transition, this will impact on ways of working, and possibly control crewing levels.	Failure to manage organisational resources	23	Crewing and training requirements need to be forecast, with resilience and additional capacity if required from outside the TVFC team and ways of working identified to mitigate effects	Mark Gaskarth	17	2	Mark Gaskarth	2016-11-30
312	ESMCP- Plan B	Dave Myers	Response	Service Delivery	Past projects of this nature have resulted in project timescales being changed at the last possible moment due to political impact of declaring that progress is not as good as it should be	Failure to manage organisational resources	23	Identification of individual risks and overarching project risks will allow some consideration of contingency planning, we will not be the only affected Service, and this should be governed through the Strategic Transition Programme board	Dave Myers	22	2	Dave Myers	2016-11-30
314	ESMCP- Reliance on other organisations to deliver respective lead functions	Dave Myers	Response	Service Delivery	Each partner on the South Central region have been allocated individual roles and responsibilities. If any or many, fail to deliver, this could affect all partners ,or could affect individuals based on their	Failure to manage organisational resources	23	Progress monitored through Starategic Programme board	Dave Myers	22	2	Dave Myers	2016-11-30