

### Audit Committee Report

Risk Ref	Link to PCP	Department	Date Identified	Description	Cause	Consequence	Risk Sponsor	Uncontrolled Risk			Existing Controls	Control Owner	Likelihood	Impact/Consequence	Total	Current Risk	Target	Current Change	Proposed Controls	Review Date	Risk Response
								Likelihood	Impact/Consequence	Total						Total	Exposure	Since 04/05/2016			
SRR150001	Public value and collaboration - Ensure the Authority provides efficient, effective, value for money services.	Strategic Risk Register	02/02/2015	If we have a large or unexpected loss in our income or cash there is a risk that we will have to reduce the level of core functions we provide to our communities.	Reduction in Government funding Reliant on £8m of Rate Support Grant after 2020 Fraud or Collection issue in a Billing Authority Loss of cash through banking failure Reduction in National Non-Domestic rates Freeze or reduction in council tax policy National pay settlements impacting on financial planning Any unforeseen non pay related settlements i.e. property, ICT	Temporary reductions in non-core spend and investment Prosecution Short term borrowing to fund expenditure Service reductions Loss of revenue Potential need to draw on reserves	Glenn McGuinness	Almost Certain	Major	20	1. Governance arrangements in place to monitor and scrutinise financial management 2. Proper control of capital and revenue spend. 3. Implement change to deliver Programme 2020 4. Strategic planning for future Fire & Rescue Plan, IRMP and post 2020 strategic planning 5. Budgetary control and financial planning internal audit	1. Glenn McGuinness 2. Glenn McGuinness 3. Ben Pilkington 4. Ben Pilkington 5. Glenn McGuinness	Almost Certain	Minor	10	10	Improving		29/11/2018	Treat	
SRR150002	Response - The emergency response services to provide when fires and other emergency incidents occur	Strategic Risk Register	01/04/2016	If we have a significant failure, loss or reduction of our physical infrastructure or resources (including our people) there is a risk that we will not deliver the same level of prevention, protection and response services to our communities.	1. Access to the workplace. No notice denial of access to primary site for an indefinite period (e.g. due to severe weather, loss of water, disruption to transport systems etc.) 2. National/Regional (H41/H45). Complete loss of mains electricity or water for upto 14 days. 3. Unplanned employee absence over several months Pandemic Influenza peaking at upto 50% of the workforce for periods up to two/three weeks. 4. Cyber. Complete loss of, or significant disruption to, a system essential to critical infrastructure or the delivery of critical functions. 5. Critical staff shortage through large scale notice. 6. Industrial Action 7. Major incident. (Any emergency that requires the implementation of special arrangements by one or more of the emergency services and will generally include the involvement, either directly or indirectly, of large numbers of people.) 8. Significant loss of appliances or equipment. 9. High turnover and loss of support staff through uncertainty over roles 10. Disruptive attack on the Service	Reduction in Prevention, Protection and Response activities, routine activities curtailed, training delayed etc. Unable to mobilise Response through the loss of Control Process delays and contact difficulties for public and colleagues Appliances unavailable, or a lower level of availability. Severe interruption to departmental service delivery, appliance Maintenance Programme if the Service Workshops is the subject of an incident. Senior managers and decision makers unavailable or not contactable Additional cost of business continuity or asset replacement The need to consider alternative arrangements for key support functions The need to support resilience costs and resources are increased to cover risk	Dave Bill	Likely	Major	16	1. Effective physical security arrangements to Service premise throughout Essex 2. Effective network resilience based on Service requirements 3. Adequate arrangements to support management of personnel 4. Effective business continuity plans in place 5. Arrangements for ICT cyber security are in place 6. Adequate funding arrangements for control and insurable loss	1. Jon Doherty 2. Martin Chester 3. Colette Black 4. Charles Thomas 5. Martin Chester 6. Glenn McGuinness	Unlikely	Significant	6	6	Improving	• Service Workshops Replacement Plan	13/10/2018	Treat	
SRR150003	Prevention - The services to prevent fires and other emergency incidents occurring	Strategic Risk Register	02/02/2015	Due to not engaging effectively with a our partners, there is a loss of public or stakeholder confidence which will impact on our ability to deliver our services.	Negative publicity over Service changes Engagement/attendance at partners meeting poor Poor corporate leadership across the Service Continued exposure of themes identified in Lucas review Service impacted to National Terms and Conditions A poor public report from an external source on policies and procedures indicating points of critical failure, such as safeguarding, or HMICFRS	Reputational damage. Intervention by Home Office. Increased scrutiny by Police Fire & Crime Commissioner. Reduced and reducing efficiency. Deterioration in staff morale. Ability to deliver services with decline in performance and/or effects high turnover of staff. Poor or deteriorating relations with other emergency services and other partner agencies. Increased financial costs to support required changes in culture. Missed opportunities with partner agencies	Jo Turton	Possible	Major	12	1. Effective governance framework in place with effective meeting structure and appropriate escalation of issues as required. 2. Monthly and quarterly performance reporting to SLT and OPFCC to identify trends and poor performance 3. Vision, principles, objectives of Emergency Services Strategic collaboration governance board & strategic collaboration prog. 4. Regular engagement with staff to communicate and engage effectively & offer opportunity for direct feedback 5. Effective communication and media strategy to appropriately manage press/media 6. Alignment with HMICFRS inspection 7. Effective preparation, alignment and engagement with HMICFRS inspection	1. Jo Turton 2. Tracy King 3. Julian Ashley 4. Colette Black 5. Sarah Roberts 6. Tracy King 7. Tracy King	Unlikely	Significant	6	3	Improving		13/10/2018	Treat	
SRR150004	Public value and collaboration - Ensure the Authority provides efficient, effective, value for money services.	Strategic Risk Register	11/05/2015	Failure to deliver the (incoming) Essex Fire & Rescue Plan and/or PFCC Local Business Case.	Poor Political direction in not establishing delivery against the plans as priorities within Police and Fire Poor financial management meaning inadequate resources are allocated to delivery Lack of budgetary control Inadequate Partnership arrangements Poor corporate leadership across the Service and down through the management structure EFRP and LBC not perceived to be priorities Ineffective changes to delegations and assurance arrangements Inadequate reviewing process of actions and deliverable against the LBC and EFRP Poor project and programme management Inadequate risk management arrangements not identifying potential challenges to delivery and thus appropriate control not put in place	Poor Internal and External Audit reports Loss of Political confidence Challenges Nationally on inability to deliver against identified benefits Loss of public, partner and stakeholder confidence Potential breach of legislation or statutory duty Partnership arrangements failing with financial and other consequences to the Fire Authority	Jo Turton	Possible	Major	12	1. Effective working relationship of monitoring officer engaging Chief Fire Officer and PFCC 2. Operational governance, Collaboration governance arrangements put in place 3. Communications 4. Effective policies in place within service delivery directorate	1. Jo Turton 2. Dave Bill 3. Sarah Roberts 4. Moira Bruin	Unlikely	Significant	6	3	Improving		18/12/2018	Treat	

SRR150005	People and leadership - Meaningful roles staff can be proud of; right knowledge, skills and attitude; safe, effective delivery	Strategic Risk Register	02/02/2015	Failure to deliver against our People Strategy  If we do not have motivated and engaged people with the right skills and competencies, with appropriate succession planning and career development, there is a risk that we will be unable to innovate and deliver safe and effective services to our communities.	Unable to recruit and retain key staff into the Authority as an employer of choice Uncertainty around future employment conditions and shape/size of the Authority Poor or absent succession/career planning and individual development built in to business planning Poor or absent succession planning policies and procedures Representative bodies in dispute with the Authority Pay rates not reflective of market Poor or absent market horizon scanning coupled with vacancy forecasting and/or skills gaps. Safeguarding failure affecting employees Lack of Safer Recruitment processes We are unable to develop a culture where employees feel valued and engaged with the Service We do not reflect the diversity of the communities we serve and or/ do not treat all employees with equality, dignity and respect in a supportive and inclusive working We do not offer training and development to our employees. Poor or absent succession planning, incorrect pay rates, unattractive employee proposition Employees do not feel that they are safe or that their wellbeing is cared for	Higher costs of interim and temporary staff Increased onboarding times for new staff Specialist roles vacant for long(er) periods Higher levels of sickness and absence Lack of skilled and experienced key employees to deliver the Service strategy Lack of flexibility in service delivery Detrimental effect on service delivery People leave and so we lose corporate knowledge, skills and experience which has a detrimental effect on service delivery We do not have diversity of thought and so do not make fully thought out decisions. People leave and so we lose corporate knowledge, skills and experience which has a detrimental effect on service delivery. Employees raise legal claims regarding breaches of equality/employment law. We do not have people trained to lead, manage or deliver effective Services. Lack of skilled employees to deliver our Service. Roles vacant for longer periods of time, increased onboarding time for new staff, higher cost of temporary staff, lack of service delivery, increased staff turnover. Absence rates increase, functions are not carried out, service delivery is impacted, health and wellbeing of individuals is compromised.	Colette Black	Likely	Major	16	1. Effective arrangements in place for Staff Engagement & development in line with the People Strategy 2. People strategy delivered within budget and reviewed on a monthly basis through the SLT team 3. Efficient workforce planning & recruitment procedures are in place	1. Nicky Croft 2. Glenn McGuinness 3. Nicky Croft	Unlikely	Significant	6	4	Improving		24/10/2018	Treat
SRR150008	Response - The emergency response services to provide when fires and other emergency incidents occur	Strategic Risk Register	01/11/2016	Service unable to effectively communicate with our mobile assets and partner agencies (including ESMCP & COMOS Projects)	Failure to successfully implement National Airwave replacement Programme Sufficient airwave hardware unavailable Government failure of ESMCP Service MDT's not fit for purpose Mobilising and/or ICCS (CAD) failure Collaboration with other partners/agencies hindering effective implementation of hardware solutions	This may result in the Service failing to meet its statutory requirements as set out within the FRSA 2004, CCA 2004, H&SAW 1974. Loss of Critical Communications Infrastructure Reduction in public & staff safety Loss of public trust Reputational damage Additional Financial Burden Central and Local Government Scrutiny Service is unable to provide safe systems of work	Matt Furber	Likely	Major	16	1. Implementation of the Emergency Services Mobile Communications Programme 2. Implementation of the COSMOS Project	1. Matt Furber 2. Matt Furber	Possible	Major	12	4	Improving		19/10/2018	Treat
SRR150009	Public value and collaboration - Ensure the Authority provides efficient, effective, value for money services.	Strategic Risk Register	15/05/2017	The manner in which the Services stores and/or manages it data fails to meet the requirements of the Data Protection Act 1998 and the General Data Protection Regulations (EU 2016/679)	Poor data management and leadership by Department Managers Quality of Information Asset Registers not maintained Information asset owners not appropriately trained and maintained Information governance breach of policies Insufficient understanding of implementation of process and procedures legislation Poor due diligence on third party contracts and other similar external arrangements Inadequate Privacy Impact Assessments at contract stages Lack of consent for information held. Data Breach Non-compliant processing of data	Inappropriate release of data Data released inappropriately Unintentional or illegal sharing of data into a public environment Suppliers breach information the service is data controlled Breach of legislation Heavy fines from Information Commissioner Reputational damage	Matt Furber	Almost Certain	Critical	25	1. Establishment and implementation of Information Governance Policies & Procedures 2. Establishment of corporate Information Asset Register and current (up to date) 3. Establishment of appropriate information governance in place to monitor data & security 4. Training and awareness programme established 5. Data Protection Policy 6. Data Breaches 7. Information Risk Policy 8. Awareness 9. Leavers Policy 10. Third Party Contracts	1. Tracy King 2. Tracy King 3. Tracy King 4. Hope Osayande 5. Hope Osayande 6. Hope Osayande 7. Tracy King 8. Paul Gulliver 9. Hope Osayande 10. Sheldon Dyer	Possible	Significant	9	6	Improving		20/10/2018	Treat
SRR150010	People and leadership - Meaningful roles staff can be proud of; right knowledge, skills and attitude; safe, effective delivery	Strategic Risk Register	09/07/2018	Failure to manage and implement learning arising from incidents within Essex and also National events	Poor incident management including ARAs Inadequate internal and external debriefs following an incident involving ECFRS No learning/change in doctrine from Coroners' Reports and public inquiries from other incidents which may have a significant impact on our operations (e.g. Grenfell and Manchester) No engagement with the JOL process No mechanism for internal recording Lack of action to review policies and procedures. Lack of revised training and application No change to working with partners, stakeholders and the public No change to IRMP/Fire Plan/Community Risk model No communications strategy No review of Hi-rise response/PDAs Not compliant with (new) legislation and best/good practice	Inadequate operational response Death or serious injury to staff or public Breach of statutory duty Breach of regulation Loss of reputation and/or confidence in the Authority by partners, stakeholders and the public	Dave Bill	Likely	Major	16	1. Engagement with the Joint Organisational Learn (JOL) initiative 2. Engagement with National Operational Learning (NOL) initiative 3. Service Debrief Process and IRS Feedback 4. Operational Support Officers attending incidents	1. Danny Bruin 2. Julian Ashley 3. Danny Bruin 4. Danny Bruin	Possible	Significant	9	4			10/01/2019	Treat
SRR150011	Public value and collaboration - Ensure the Authority provides efficient, effective, value for money services.	Strategic Risk Register	09/07/2018	Change in political climate/direction Nationally and/or in Essex.	Change in PFCC Central Government preparations for 2022 General Election	Possibly damaging change in any financial settlement(s) Change of FRS direction from laid planning	Jo Turton	Possible	Major	12			Possible	Minor	6	6			09/10/2018	Treat

SRR150012	Prevention - The services to prevent fires and other emergency incidents occurring	Strategic Risk Register	09/07/2018	Staff and/or volunteers fail to recognise & take appropriate action where a 'Safeguarding' issue occurs.	No all-encompassing Safeguarding policy and procedures No understanding, awareness and training relating to existing policies and procedures relating to Safeguarding Breaching of GDPR	Unnecessary harm, stress and loss of dignity to individual(s) Damage to the Authority's reputation/confidence with partners, stakeholders and the public Potential for litigation/financial penalties	Dave Bill	Possible	Critical	15	1. Internal Audit on our Safeguarding procedures to be completed 2. Strategic lead identified for Safeguarding to engage with SLT and report to PFCC 3. Appropriate and current Safeguarding Policy in place for Adult and Children 4. Appropriate training, development and awareness in place for key members of staff 5. Appropriate level of DBS checks are carried out on staff 6. Assess of Strategic lead with Safeguarding Manager to raise at the appropriate level any concerns 7. Compliance with Section 11 audit process, and consequent reporting to Safeguarding boards	1. Dave Bill 2. Dave Bill 3. Dave Bill 4. Dave Bill 5. Dave Bill 6. Dave Bill 7. Dave Bill	Possible	Significant	9	6			10/01/2019	Treat
SRR150013	People and leadership - Meaningful roles staff can be proud of; right knowledge, skills and attitude; safe, effective delivery	Strategic Risk Register	09/07/2018	Through new legislation or changes in interruption of current Law/Regulations, one of the Services crewing systems is not sustainable	Legal challenge by FF or HSE to established operational shift pattern for On-Call (Belgium FRS) and the 15 hour night shift for W/T New Law brought in New case law putting a different interpretation in current understanding Accident involving an individual where it is identified that the shift pattern they worked could have been a factor	Judicial Review and/or civil proceedings Inspection by the HSE HO interest in policies etc. Changes required lead to significant increased in wage costs	Dave Bill	Likely	Critical	20	1. An impact assessment is carried on on new court rulings/law which impact on what is deemed to be a stand down period. 2. Continued monitoring of the outcome of key tribunal cases to consider and continually assess the impact on current shift patterns 3. Engagement with National Fire Chief Council group assigned to monitor and provide National guidance 4. LGA have put in place National sounding board to look at this issue	1. Colette Black 2. Colette Black 3. Colette Black 4. Dave Bill	Possible	Critical	15	10			09/10/2018	Treat
SRR150014	Response - The emergency response services to provide when fires and other emergency incidents occur	Strategic Risk Register	09/07/2018	Death or serious injury to staff, or death or serious injury to member of the public, at an incident	A failure to operate safe systems of work Inadequate operational response Poor training at all levels Poor policies and procedure	Criminal and/or Civil proceedings against The Authority Criminal and/or Civil proceedings against the CFO/CEO Custodial Sentence High financial penalties Severe and long-term lowering of staff morale Loss of reputation with partners, stakeholders and the public.	Jo Turton	Possible	Critical	15	1. Service's Policies are aligned with the National Operational Guidance Programme 2. Health and Safety Training 3. Incident Command Training - verification and development programme 4. liaison with other Services at incident - aligned to the principles of JESIP 5. Continued work and support of the Essex Resilience Forum - in particular maintenance of the COPE 6. Continued assessment of risks, both National and Local to the Service by the Strategic Assessment of Risk	1. Dave Bill 2. Danny Bruin 3. Mark Huggins 4. Mark Huggins 5. Mark Samuels 6. Dave Bill	Possible	Critical	15	5			09/10/2018	Treat
SRR150015	Public value and collaboration - Ensure the Authority provides efficient, effective, value for money services.	Strategic Risk Register	09/07/2018	False or inaccurate data limits the Service's future planning and decision making leading to the service being unable to plan or deliver an effective or efficient service	Poor risk information management for the IRS Poor culture Lack of detail provided by OIC Lack of questioning by ConOps in order to fulfil IRS requirements Time constraints in moments of spare conditions Delay in obtaining data No quality assurance process Poor training and situational awareness of OICs/crews Potential lack of understanding of available guidance on IRS procedures Inadequate systems/technology in Control to record	Death or serious injury to staff Loss of critical information Poor short term/long term decision making based on false/inaccurate data Breach of statutory duty Negative media coverage/reputational damage with partners, stakeholders and the public Ambiguous and/or incorrect information into the IRS HO receiving false/ambiguous data Inability to respond to Coroner's Court questions Criminal Prosecution In an extreme case injury (or death) could result if turn out times are falsified (i.e. Appliance sent from wrong station resulting in a delay to incident). Extra managerial time required due to the need to check/collate data	Matt Furber	Likely	Major	16	1. Business Continuity Arrangements 2. Business Continuity Arrangements 3. Business Continuity Arrangements 4. Reporting of Poor Performance 5. Update and review the IRS Quality Assurance procedure 6. There is a project established to get CRM working more effectively 7. IRS Training 8. Quality Assurance of IRS Data 9. Re-education of existing staff 10. Ops Assurance - Completion of IRS inputs within 48 hours	1. Dave Bill 2. Neil Fenwick 3. Tracy King 4. Ben Fragola 5. Gary Clarke 6. Moira Bruin 7. Gary Clarke 8. Gary Clarke 9. Neil Fenwick 10. Danny Partridge	Likely	Significant	12	4		* More effective means of managing central Training data	09/10/2018	Treat
SRR150017	Response - The emergency response services to provide when fires and other emergency incidents occur	Strategic Risk Register	09/07/2018	The Service fails to prepare or plan effectively, in line with Civil Contingencies Act (2004), leading to an inadequate response to an emergency	Lack of commitment to the Essex Resilience Forum Poor engagement with the Service and key partners Ineffective planning due to lack of capacity/resources Service resources not aligned to areas of most need Poor planning to risks high up on the Community Risk Register; - - Terrorist incident - Tidal Flooding	Loss of life, public confidence and reputational damage Public enquiry where the Service is criticised Public fatalities which could have been avoided Legal challenge The Service responds poorly to National Marauding Terrorist	Julian Ashley	Possible	Major	12	1. Service engages and is a key partner within the Essex Resilience Forum 2. Effective Planning with other blue light Service in dealing with an incident (i.e. MTFA) in line with the principles of JESIP 3. The Service regularly reviews Risks from large events through its Strategic Assessment of Risk document	1. Julian Ashley 2. Julian Ashley 3. Charles Thomas	Unlikely	Major	8	3			09/10/2018	Treat
SRR150018	Public value and collaboration - Ensure the Authority provides efficient, effective, value for money services.	Strategic Risk Register	13/07/2018	The Service does not deliver changes set out in the 2020 programme which identified financial savings and thus cannot deliver against its medium term financial plan.	Service does not convert the day-crewed station to On-call by April 2020 The Service does complete the savings through Collaboration identified in the MTFP Service does not achieve the Savings in the support function set out in the MTFP Unable to recruit On-call firefighters Local political challenge against changes Poor Programme and Project Management Escalation route not identified and/or acted upon Poor reporting arrangements lack of capacity at Strategic level	The Service will need to make other unplanned changes There is a need to use reserves outside of the current Reserve strategy Stop delivery against some of the objectives identified within the Service business planning	Matt Furber	Almost Certain	Major	20	1. Monthly reports of progress of the Service's progress against the On-call conversion programme 2. Complete a review of all projects within the 2020 programme, and provide a status and lessons learnt report 3. Produce a new implementation plan for 2020 programme for PFCC approval at P&R 24 September 2018 4. Governance arrangements for change activity are robust and supported by stakeholders 5. Well defined programmes and projects with clear scope and time frames. 6. The Budget build process ensures that resources are available to deliver projects and programmes.	1. Ben Pilkington 2. Ben Pilkington 3. Ben Pilkington 4. Ben Pilkington 5. Ben Pilkington 6. Glenn McGuinness	Likely	Major	16	9		* Reporting of Medium-term financial plan to be included in monthly finance to SLT	19/10/2018	Treat



SRR150026	Public value and collaboration - Ensure the Authority provides efficient, effective, value for money services.	Strategic Risk Register	20/07/2018	Failure in the Service's Information, Communication and Technology (ICT) infrastructure, leading to intermittent or loss of service or current ways of working are not fit for purpose.	Poor project management processes Ineffective medium/long-term planning Failure of hardware systems Software used no longer supported by supplier New upgrade used not able to integrate with new systems Software cannot run on old hardware systems Hardware system can't meet new software requirements prolonged wide area electricity power failure prolonged localised electricity power failure ineffective or current disaster recovery plan	Service resources are not mobilised Service resources cannot communicate leading to less effective response to an emergency Data held not managed in line with GDPR Need to continue to main paper copies, or move back to using hard copies loss of data Not able to provide data for the Home Office/other National sources Service can not realise benefits/savings from ICT systems Service needs to have additional resources to maintain systems Collaboration/savings opportunities missed Collaboration opportunities not available as the Service is not viewed as a credible partner Projects not delivered on time Systems no longer supported or supportable None mobilisation of appliance due to failure of critical mobilising architecture i.e. ERB and/or 4i	Dave Bill	Likely	Major	16	1. Additional resource released in to map ICT infrastructure required for 2024 and beyond 2. The implementation of the ICT Business Plan 3. Group established to identify new opportunities and future planning of ICT processes 4. Regular reporting to SLT on ICT effectiveness in delivering its Business Plan 5. Prioritisation of ICT Projects to ensure effective resourcing of crucial ICT projects 6. Systems regularly backed up and procedure in place to cover in the event of a power outage 7. Effective Distaster Recovery Plan in place	1. Jo Turton 2. Martin Chester 3. Dave Bill 4. Martin Chester 5. Martin Chester 6. Martin Chester 7. Martin Chester	Possible	Major	12	3		• Review of current systems to identify effectiveness of each function within ICT	20/11/2018	Treat
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