

**ESSEX POLICE, FIRE AND CRIME COMMISSIONER FIRE & RESCUE AUTHORITY**

Essex County Fire & Rescue Service

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| Meeting | **Performance & Resources Board** | Agenda Item |  |
| Meeting Date | 29 May 2019 | Report Number |  |
| Report Author: | Resilience Manager | | |
| Presented By | Director of Innovation, Risk & Future Development | | |
| Subject | **Strategic Risk Register** | | |
| Type of Report: | Information | | |

# Recommendations

1. That the Board notes the content of the report and provides feedback on the new changes to the Strategic Risk Register

# BACKGROUND

1. The advent of the Fire & Rescue Plan, (FRP), required a review of the Strategic Risk Register in order to ensure that the principles and objectives in the FRP were covered. Preliminary work went in to an early draft of what risks aligned to the FRP might look like. The recent SLT workshop refined those, detail of which is in Appendix A. The workshop also took account of the recent risk audit, an action plan for which will follow in due course.
2. The SLT formally accepted the changes on 14th May.

# Options and Analysis

**Refining the SLT risks.**

1. The new risk descriptors are evident, as are the risk owners. SLT will now; -

* Assess the new risk, based on the new Impact Statement, attached at Appendix B. To be noted that the attached impact statement requires further amendments (in particular the finance risk category), the document will remain open for changes until the amended Risk Management Policy and Strategy is approved.
* Identify new Triggers and Impacts/consequences. This may influence the risk descriptor, and will certainly influence the risk assessment.
* Risk assessment. The opportunity can now be taken to mature the approach to risk assessments by documenting decisions prior to recording in JCAD. After determining the inherent risk level, risk owners should consider what, if any, current controls exist and score accordingly, before considering additional controls and their target score.
* Identify control measure owners. (See below)
* Determine what, if any, actions immediately fall out of the above steps.

1. As stated above, these risks are aligned to the FRP. The Directors will now populate the next level of risk register below the SRR, that being at Directorate level, with Departments to be identified as the control measure level, with Department managers being the primary owners for delivery.
2. The Board is asked to note that amendments to the Policy & Strategy, and the Guidance, documents will follow in early course, once the new foundations are firmly laid. There will also be some improvements to general housekeeping to JCAD, notably around projects.

# Benefits and Risk Implications

1. Following the publication of the FRP, and in advance of the IRMP, which may generate further changes to our risk profile, this is a welcome opportunity to further invigorate risk management at the senior level, by taking an almost clean-slate approach to the SRR.

# Financial Implications

1. None at this stage.

# Equality and Diversity Implications

1. None at this stage.

# Workforce Engagement

1. Risk ownerships vests in the SLT and as ever, the SLT is encouraged to engage with and lead on risk.

# Legal Implications

1. None at this stage.

Appendix A

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| **Risk Ref** | **Description** | **Suggested amendments** | **Comments** |
| SRR150001 | 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. | There is a risk that through poor financial planning or ineffective resource planning the Service does not effectively deliver or improve its core functions leading to it not providing value for money, not complying with financial regulations and/or failure to deliver a balanced budget. | Risk owner, Director of Corporate Services, now more aligned to F&R Plan Objective ' we will improve the safety of the people of Essex by making best use of our resources and ensuring value for money' |
| SRR150002 | 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. | There is a risk that, through ineffective planning, the Service fails to deliver its Prevention, Protection and Response activities leading to a loss of trust and confidence by the Essex Communities. | Owned by the Director of Operations, now more aligned to 'we will plan and provide effective and efficient prevention, protection and response activities, so the public continue to have trust and confidence in us'. |
| There is a risk that, that the Service has a significant failure, loss or reduction in its physical infrastructure which leads to the Service failing to deliver its Prevention, Protection and Response activities. | Own by DCFO |
| SRR150003 | Due to not engaging effectively with our partners, there is a loss of public or stakeholder confidence which will impact on our ability to deliver our services. | There is a risk that through ineffective engagement and involvement with our partners the Service does not fulfil its duty (e.g. under Policing and Crime Act 2017), realise efficiencies identified within the Local Business case, and provide a more efficient and effective service for the public. | Owner DCFO. This has changed to show alignment with F&R plan objective 'We will work together with our partners to provide a more efficient and effective service for the public', and references the Local Business Case. |
| SRR150004 | Failure to deliver the (incoming) Essex Fire & Rescue Plan and/or PFCC Local Business Case.  Cross reference to SRR150011 | Delete | See SRR 150003 and all F&R plan objectives are included within other risks. |
| SRR150005 | 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. | There is a risk that the Service does not develop and manage it's people effectively therefore not delivering a range of activities which save lives, prevent harm and protect our communities due to failure to deliver against the Service's People Strategy and have the right people, in the right place, with the right skills, at the right time. | Risk Owner - Director of Corporate Services, now more aligned to the Objective 'to save lives, prevent harm and protect our communities by developing and broadening our roles and partnerships' |
| SRR150008 | Service unable to effectively communicate with our mobile assets and partner agencies (including ESMCP & COMOS Projects) | There is a risk that the Service is unable to effectively mobilise and/or communicate with our response resources and partner agencies due to the CAD (alerting/mobilising system) and/or ICCS (telephony and radios) being unavailable which leads to a failure or delay to mobilisation and/or a degradation in ECFRS Safe Systems of Work  (Link to SRR150002, SRR150014 and SRR150026) | Owned by ACFO IRMP and Service Improvement. Change of wording to reflect the risk more effectively. *(Link to SRR150002, SRR150014 and SRR150026)* |
| SRR150009 | Failure to comply with the Data Protection Act 2018 and General Data Protection Regulations 2016 | There is a risk of Data loss/breach due to failure/lack of Data Protection Act (2018) compliance leading to personal loss, Corporate loss or a loss of public confidence and legal action | Owned by the DCFO. Change of wording to reflect the risk more effectively. |
| SRR150010 | Failure to manage and implement learning arising from incidents within Essex and also National events | There is a risk that the Service fails to, or unable to, implement appropriately the learning from local/National incidents, audit reports, case studies, changes/interruption to law/regulations in an effective and timely way. | To be owned by Director IRFD. This risk replaces SRR150013 and SRR150023 |
| SRR150011 | Change in political climate/direction Nationally and/or in Essex.  Cross reference to SRR150004 | There is a change in local and/or National leadership, priorities or policy which impacts on the Service's change programme effecting delivery of the Fire and Rescue Plan, the Medium Term Financial Plan and the Integrated Risk Management Plan. | To be Owned by CFO/CEO. Change of wording to reflect the risk more effectively. Also include Brexit in this risk. |
| SRR150012 | Staff and/or volunteers fail to recognise & take appropriate action where a 'Safeguarding' issue occurs. | There is a risk that due to poor safeguarding practices or engagement with the Essex Communities the Service fails to refer appropriately to other Services and help protect the vulnerable in staying safe | DCFO to own this risk , this is now better aligned to F&R Plan objective 'To help vulnerable people to be safer in Essex' |
| SRR150013 | Through new legislation or changes in interpretation of current Law/Regulations, one of the Services crewing systems is not sustainable | Delete | See SR150010 |
| SRR150014 | Death or serious injury to staff, or death or serious injury to member of the public, at an incident  Cross reference this risk with SRR150020 |  | Owned by DCFO |
| SRR150015 | There is a risk that ECFRS will develop planning assumptions that do not reflect the actual needs of the community (prevention, protection and response) because the data on which the plans are built is false and/or inaccurate. This could lead to sub-optimal prevention, protection and response models being developed with consequent impacts on Service delivery such as attendance times etc. This will almost certainly apply to business decision making in addition to Prevention, Protection and Response. |  | Owned by ACFO IRMP and Service Improvement. This is now an issue. |
| SRR150017 | The Service fails to prepare or plan effectively, in line with Civil Contingencies Act (2004), leading to an inadequate response to an emergency |  | Owned by DCFO |
| SRR150018 | 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. |  | Owned by Director IRFD |
| SRR150019 | The Service fails to encourage and establish a culture which creates a work environment in line with the Service values | There is a risk that due to the absence of a positive and supportive culture the Service fails to provide a safe and inclusive culture which ensures the well-being of staff and contributes to attracting a diverse workforce. | Risk owner ACEO Public Value & Culture, now better aligned to F&R Plan objective ' To have a safe and diverse workforce who we enable to perform well in a supportive culture underpinned by excellent training' |
| SRR150020 | The Service does not provide the training to ensure that staff have the skills required to provide an effective operational response to the Essex public and ensure the safety of operational staff in line with the Health and Safety at Work Act. The Service does not provide training to ensure that all employees have the skills to carry out their roles.   Cross reference this risk to SRR150014 & SRR150005 |  | Risk owner ACEO Public Value & Culture |
| SRR150022 | Through its lack of Protection activity, the Service fails to identify and ensure effective control of risks (enforcing where appropriate) within the Essex community. | Delete | See SRR 150002 |
| SRR150023 | The Service does not, or is not able to, respond effectively to the outcome of the Grenfell Inquiry  Cross reference to SRR150022 | Delete | See SRR150010 |
| SRR150024 | The Service fails to collaborate effectively with partner agencies and thus does not comply with the Policing and Crime Act 2017 | Delete | See SRR 150030. |
| SRR150025 | Failure to adequately prepare for the HMICFRS Inspection | There is a risk that ECFRS will receive an ‘inadequate’ assessment following the HMI inspection leading to additional scrutiny and impact on partnership arrangements | Owner DCFO. Change of wording to reflect the risk more effectively. |
| SRR150026 | 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. |  | Owner Director of Corporate Services |
| SRR150027 | There is a No-deal BREXIT | Delete | See SRR150011 |

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| **Appendix B** | | | | | |
| **Impact** | **Public Value** | **Financial** | **People** | **Infrastructure** | **Compliance** |
| **Insignificant**  **1** | Negative trend across specific KPI’s, evidence of mitigating action in place.  Some social media comments, not picked up by local or national media.  Little or no impact on public confidence.  Good HMICFRS outcome with areas for improvement identified in less than two categories.  No impact on community work and partnerships | Solution not likely to require additional funds | Minimal people issues raised  Delivery of people programmes on track  People KPI’s (Engagement etc.) reflect a healthy and engaged workforce | Minor disruption to some non-critical services. | Minor cuts/abrasions requiring minimal treatment  Incidents involving an individual or a few data subjects that can be easily contacted and resolved.  Minor impact on environment  Minimal impact of breach of guidance/statutory duty |
| **Minor**  **2** | Negative trend across several KPI’s, evidence of mitigating action in place.  Short term adverse local publicity  Minor damage to reputation & temporary reduction in public confidence  Good HMICFRS with areas for improvement identified in more than three categories  Community Safety work is temporarily disrupted and partnership work may be put on hold | Solution possible within amendments to current working practices | Minor levels of people issues  Delivery of people change programmes broadly on track  A short term small decrease to one of the People KPI’s (Engagement etc.) but reflective of a generally healthy and engaged workforce | Disruption to physical environment which would require some alternative working and staff information but no real impact on ability to perform. | 4 - 14 day lost time injury. Medical treatment required.  A single incident involving less than 100 data subjects. no special category data is compromised  Impact on environment in the short term which can be rectified.  Internal or external Audit criticism/failure to meet recommended best practice |
| **Significant**  **3** | Declining performance standards, with no evidence of mitigating action in place.  Sustained adverse local publicity  Damage to reputation and reduction in public confidence  Requires Improvement HMICFRS with areas for improvement identified  Community activity is significantly disrupted, with a negative effect on existing Partnership arrangements. | Solution requires additional resources within organisation and potential over-spend | Increasing levels of significant people issues.  Significant delay or disturbance in delivery of people change  Programmes  Sustained decrease across one or two of the People KPI’s (e.g. regretted attrition and engagement). | Disruption which can be managed with existing BCP arrangements and is limited or short term in nature. | A major injury, including permanent disabling injury to an individual  Multiple instances of data breech, no special category data is compromised  Some environmental impact which may be lasting be not immediate.  Breach of statutory duty, legal/contractual obligation |
| **Major**  **4** | Performance targets not being achieved, with continuing negative trends, no evidence of mitigating action or actions in place having little or no impact on trend.  Failure to meet primary objectives of the Fire and Rescue Plan  Short term national media coverage    Significant damage to reputation & public confidence  Inadequate HMICFRS, with area of improvements identified.  Community activity stops, incidents of harm increase & existing partners no longer view ECFRS as a credible partner, or partners withdraw from partnership/collaboration arrangements. | Solution requires additional resources not within the current staff profile, inevitable over spend | High and increasing levels of complex people issues such as complex grievance and discipline  Major delay or disruption to delivery of people change programmes.  Significant decrease across all people KPI’s indicating major sustained issues with health and engagement of workforce i.e. withdraw of good will/work to rule. | Disruption which is sustained or impacts multiple locations.  Existing BCP arrangements may reach limits. | Major injuries including permanent disabling injuries involving a number of people.  A single incident in which special category data is compromised  Major impact on environment which may not be easily rectified.  Serious breach of statutory duty, legal/contractual obligation |
| **Critical**  **5** | KPI’s are not clearly defined with little or no Performance taking place.  Not meeting statuary duties under the Fire Service Framework etc. …….  Extensive negative national media coverage over sustained period  loss of credibility and widespread & permanent reduction in public and partner confidence  Inadequate HMICFRS with immediate cause for concern identified  Community work fails to fulfil legislative requirements, vulnerable people are not safe from harm, high incidents of ADF and RTC | The additional resources required are not available within the Service’s current financial position.  Overspend Cannot be met | Unable to manage people issues or deliver people change programmes.  All people KPI measures indicate a drastic and long term reduction in the health and engagement of the workforce i.e. withdrawal of labour | Disruption to critical services which would require emergency plans, and leave the Service unable to attend or prevent incidents. | Single or multiple deaths involving any persons  Multiple or large data incident in which special category data is compromised which results in extensive media coverage and regulatory action  Data breach involving personal data  Catastrophic and immediate impact on environment.  Serious breach of legal or contractual obligation |