ESSEX POLICE, FIRE AND CRIME COMMISSIONER
FIRE & RESCUE AUTHORITY
Essex County Fire & Rescue Service

Meeting	Performance & Resources Board	Agenda Item	
Meeting Date	29 July 2019	Report Number	
Report Author:	The Resilience Manager		
Presented By	Deputy Chief Fire Officer		
Subject	**The Strategic Risk Register – Overview of Strategic Risks**		
Type of Report:	Action		

1. Purpose of the Report

1.1. To provide the Performance & Resources Board with an update of the Strategic Risk Register.

2. Service Strategic Risk

2.1. In this Quarter, there are 19 Strategic Risks reported. (Previously 22). The Risks removed are:

- Through new legislation or changes in interpretation of current law/Regulations, one of the Service's crewing systems is not sustainable – This is now included in SR150010.
- Through its lack of Protection activity, the Service fails to identify and ensure effective control of risks (enforcing where appropriate) within the Essex Community - This is now included in SRR150028.
- The Service fails to collaborate effectively with partner agencies and thus does not comply with the Policing and Crime Act 2017) – This is now combined with 150004 to create SRR150003.
- Failure to deliver the (incoming) Essex Fire and Rescue Plan and/or PFCC Local Business case – as above, in addition to this, the objectives of the Fire and Rescue Plan are all captured within other strategic risks.
- There is a No-Deal BREXIT – This is now captured in SR150011.

2.2. Strategic Risks are owned by a member of the Service Leadership Team, (SLT). Through the Service's JCAD system all red risks are reviewed at least once a month, amber risks a minimum of every quarter, and others a minimum of six months.

3. Risk Quarterly Meetings

3.1. The SLT held a workshop in May to challenge all Strategic risks, to introduce the new SLT to our strategic risk management process, and give full consideration of the new Fire and Rescue Plan. This was then followed by a meeting with all Risk Owners, Director Innovation, Risk and Future Development and the Resilience Manager to review all risk rating and control measures.

3.2. During this Quarter, the following actions have taken place: -

- All Strategic risk descriptions were reviewed to reflect the new Fire and Rescue Plan.
- All Strategic risks allocated a new owner (as appropriate) to reflect the new Senior Leadership Team (SLT) structure.
- The SLT held a workshop on 1st May 2019 to challenge all Strategic risks.
- Individual meetings with the Director of Innovation, Risk and Future Development, the Resilience Manager and all risk owners took place in June'19.

4. Service Strategic Risk Summary

4.1. Following SLT restructuring, and taking into consideration the Fire & Rescue Plan, the Strategic Risk Register was reviewed. As a consequence, there are now 18 Strategic Risks.

Strategic Risks as at 25 July 2019					
Almost Certain	5	10	15 SRR150015	20	25
Likely	4	8	12 SRR150009	16	20
Possible	3	6 SRR150011	9 SRR150001 SRR150002 SRR150018 SRR150019	12 SRR150008 SRR150020 SRR150026	15 SRR150014
Unlikely	2	4	6 SRR150005 SRR150003 SRR150006 SRR150010 SRR150012	8 SRR150017 SRR150028	10
Rare	1	2	3	4 SRR150025	5
	Insignificant	Minor	Significant	Major	Critical

4.2. The highest scoring RED RISKS for the Service are:

SRR150014 - *Death or serious injury to staff, or death or serious injury to member of the public, at an incident* – Additional controls the Service is looking to implement to reduce this are,

- Full implementation of the National Operational Guidance,

- Improved systems to monitor firefighter (particularly On-call) availability, and,
- Delivery of the Service's Operational Training Plan (supported by reserves).

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 –* Additional controls which the Service is looking to implement are to,

- Improve the link between our Incident Record System and the Service mobilisation software (to be addressed via an up-grade), and
- Ensure continued improvements are made with the Service's TASK (training recording system), CRM (system used to manage the Service's data for Prevention, Protection and Response) and Electronic Rota Book (the current availability management system).

4.3. The AMBER RISKS are:

SRR150009

There is a risk of Data loss/breach due to failure/lack of Data Protection Action (2018) compliance leading to personal loss, Corporate loss or a loss of public confidence and legal action.

SRR150008

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 alerting/mobilising system (CAD) and/or telephony and radios (ICCS) being unavailable which leads to a failure or delay to mobilisation and/or a degradation in ECFRS Safe Systems of Work.

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.

SRR150001

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.

SRR150002

There is a risk that the Service has a significant failure, loss or reduction of our physical infrastructure, which leads to the Service failing to deliver its Prevention, Protection and Response activities.

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.

SRR150019

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.

SRR150028

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.

SRR150017

The Service fails to prepare or plan effectively, in line with Civil Contingencies Act 2004, leading to an inadequate response to an emergency.

4.4.   Risks that have improved are:

SRR 150018 – See above. This was a red risk previously as the Day Crewed conversion stations were proving difficult to recruit to. The programme has now been extended by one year and the budgetary impact of this have been included within our Medium Term Financial Plan.

SRR 150012 - Staff and/or volunteers fail to recognise and take appropriate action where a 'Safeguarding' issue occurs – This risk was previously an amber risk and has been reduced due to a positive report at the end of 2018 and a more elements, particularly against our safer recruitment process, being viewed as green in our Section 11 report action plan.

4.5.   Risks that have deteriorated are;

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. The likelihood of this being realised has slightly increased due to aging profile of some of the Service's ICT systems

5.0. Current Risk Status

5.1.   All Strategic Risks were reviewed in this Quarter.

6.0. New Strategic Risks

6.1.   There is one new strategic risk – SRR150028

'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'

7.0. Risk Process and Governance

7.1.   The Risk Register report is at Appendix A.

8.0. Other Risk Related Updates

8.1.   Nil at this time.

Audit Comittee Report - Essex County Fire & Rescue Service Strategic Risk Register July 20219

								Inherent Risk									Target	Current Change	
Risk Ref	Link to PCP	Date Identifi	Description	Cause	Consequence	Risk Sponsor	Likelihood	Impact/Conse quence	Total	Existing Controls	Control Owner	Likelihood	Impact/Conse quence	Total	Exposure	Since 22/03/2019	Review Date
SRR150001	Legal Compliance	02/02/2015	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.	Unexpected reduction in Government funding⬜ Loss of cash through financial mismanagement or fraud⬜ Poor forecasting of decrease in business rates⬜ Central Government cap on Council Tax denying income expectations in MTFP⬜ National pay settlements impacting on financial planning ⬜ Any unforeseen non pay related settlements i.e. property, ICT⬜ Heavy fine through EL, PL, or Data breach	Temporary reductions in non-core spend and investment⬜ H & S or data breach prosecution⬜ Short term borrowing to fund expenditure⬜ Service Delivery reductions⬜ Loss of revenue through business rates, Council Tax and/or S31 grants. ⬜ Potential need to draw on Reserves⬜ Home Office Special Measures	Karl Edwards	Almost Certain	Major	20	1. Regular scrutiny of financial management 2. Proper control of capital and revenue spend. 3. Strategic planning for future Fire & Rescue Plan, IRMP and post 2020 strategic planning 4. Budgetary control and financial planning internal audit 5. Insurance arrangements 6. Engagement with National bodies 7. Increased scrutiny for the Medium Term Financial Plan	1. Glenn McGuiness 2. Glenn McGuiness 3. Ben Pilkington 4. Glenn McGuiness 5. Glenn McGuiness 6. Karl Edwards 7. Karl Edwards	Possible	Significant	9	6	Improving	04/09/2019
SRR150002	Prevention, Protection & Response	01/04/2016	There is a risk that the Service has a significant failure, loss or reduction of our physical infrastructure, which leads to the Service failing to deliver its Prevention, Protection and Response activities.	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/Disgruntled Employee. 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.	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 and 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	Rick Hylton	Likely	Major	16	1. Effective physical security arrangements to Service premises throughout Essex 2. Effective network resilience based on Service requirements 3. Adequate arrangements to support provision and management of core skills for 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. Stuart Antcliff 6. Glenn McGuiness	Possible	Significant	9	6	Improving	23/07/2019
SRR150003	Collaborate with our partners	02/02/2015	There is a risk that through ineffective engagement and involvement with our partners the Service does not fulfil its duty (e.g. under the Policing and Crime Act 2017), realise efficiencies identified within the PFCC's Local Business case, and provide a more efficient and effective service for the public.	Engagement/attendance at partners meeting poor⬜ Poor corporate leadership across the Service⬜ Service impacted to National Agreements⬜ A poor public report from an external source on policies and procedures indicating points of critical failure, such as safeguarding, or HMICFRS⬜ Engagement initially poor then initial issues are not identified that would impact on delivery	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.⬜ Missed opportunities with partner agencies⬜ Collaborative obligations under the Police & Crime Act not met⬜ Possible savings or efficiencies not realised	Rick Hylton	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. Support attendance at Policing and Community Hubs 5. Support to Local Strategic Partnerships 6. Governance arranged effectively and supported appropriately	1. Jo Turton 2. Lucy Clayton 3. Danny Bruin 4. Neil Fenwick 5. Neil Fenwick 6. Dave Bill	Unlikely	Significant	6	3	Improving	10/10/2019
SRR150005	Develop and broaden the roles and range of activities undertaken by the Service	02/02/2015	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.	Unable to recruit and retain key staff into the Authority as an employer of choice⬜ 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⬜ 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.	Karl Edwards	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 3. Efficient workforce planning & recruitment procedures are in place 4. Effective Inclusion & Diversity Plan	1. Sally Froment 2. Glenn McGuiness 3. Steve Tovey 4. Nikki Geaves	Unlikely	Significant	6	4	Improving	25/05/2019
SRR150008	Prevention, Protection & Response	01/11/2016	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 alerting/mobilising system (CAD) and/or telephony and radios (ICCS) 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)	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⬜ H41/H45	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	Rick Hylton	Likely	Major	16	1. Implementation of the Communication Systems, Mobilising and Operational Solutions Programme 2. ECFRS Control Business Continuity Plan 3. Communications during a widespread power outage	1. Rick Hylton 2. Peter Suarez 3. Peter Suarez	Possible	Major	12	4	Improving	22/08/2019

Risk ID	Category	Date	Risk Description	Causes	Consequences	Owner	Likelihood	Impact	Score	Controls	Control Owners	Likelihood	Impact	Score	Score	Direction	Date
SRR150009	Legal Compliance	15/05/2017	There is a risk of Data loss/breach due to failure/lack of Data Protection Action (2018)	No or inadequate Information Governance arrangements (E.g., no Data Protection Policy and Information Security Policy) Asset Register and Data Flow Mapping not in place. No training programme for staff awareness Third party contracts do not contain the relevant clauses No or inadequate Data Privacy Impact Assessments (E.g., inadequate Privacy Impact Assessments at contract stages) No Privacy Notices No or inadequate Consent Notices Poor Data Security Human Error No Data Breach process No Data Sharing and Processing Agreements No Data Protection Officer Low staff morale resulting in mis-use of data for personal grievance Lack of due diligence on Third Party contractors (E.g Cloud hosting and outsourcing)	Breach of legislation Reputational damage, which may hinder community engagement and bring unwanted attention on the service Compensation claims from individuals Service delivery may be impacted due to loss of data (and thus knowledge) Impact on individuals such as potential for identity theft, fraud and disadvantage Heavy fines from Information Commissioner Inappropriate or illegal sharing of data Asset registers do not contain the correct data	Rick Hylton	Almost Certain	Critical	25	1. Purpose limitations - Personal data shall be collected for specified, explicit and legitimate purposes and not further processed 2. Lawfulness, fairness & transparency - Personal data shall be processed lawfully, fairly and in a transparent manner 3. Accountability and Governance - recognition that we are responsible for complying with GDPR & able to demonstrate our compliance 4. Training and awareness programme established for the Data Protection Act 5. Data Protection Accountability 6. Data Minimisation - Personal data shall be adequate, relevant and limited to what is necessary in relation to our purpose(s) 7. Integrity and Confidentiality - Data is processed in a manner that ensures appropriate security of the personal data 8. Storage limitations - Personal data is kept for no longer than is necessary 9. Accuracy - Personal data is accurate and, where necessary, kept up to date	1. Tracy King 2. Tracy King 3. Tracy King 4. Hope Osayande 5. Hope Osayande 6. Hope Osayande 7. Tracy King 8. Hope Osayande 9. Tracy King	Likely	Significant	12	6	Improving	10/08/2019
SRR150010	Prevention, Protection & Response	09/07/2018	There is a risk that the Service fails to, or is unable to, implement appropriately the learning from local/National incidents, audit reports, case studies, changes/interpretation to law/regulations in an effective and timely manner.	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 NOL/JOL processes No mechanism for internal recording Lack of action to review policies and procedures. Not compliant with (new) legislation and best/good practice Poor communication of new processes/learning Failure to implement the Service's Monitoring Officer process Lack of engagement with NFCC committees	Inadequate operational response Death or serious injury to staff or public Breach of statutory duty/ 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 Learning (JOL) initiative 2. Engagement with National Operational Learning (NOL) initiative 3. Service Debrief Process and IRS Feedback 4. Operational Support Officers attending incidents 5. Implementation of Monitoring Officer attendance at incidents 6. Monitoring Regulation 28 Notices 7. Monitor incident and safety event trends locally/nationally and adopt shared learning	1. Danny Bruin 2. Danny Bruin 3. Danny Bruin 4. Danny Bruin 5. Danny Bruin 6. Danny Bruin 7. Danny Bruin	Unlikely	Significant	6	3	Improving	15/07/2019
SRR150011	Prevention, Protection & Response	09/07/2018	There is a change in local and/or National leadership, priorities or policy that 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.	Change in PFCC Central Government preparations for 2022 General Election Political unrest over EU Exit Change in Conservative leadership	Possibly damaging change in any financial settlement(s) Change of FRS direction from laid planning increased risk of industrial unrest	Jo Turton	Possible	Major	12	1. Continued monitoring of Local Authority Financial climate 2. Maintenance of Political awareness	1. Glenn McGuiness 2. Jo Turton	Possible	Minor	6	6	Improving	07/08/2019
SRR150012	Prevention, Protection & Response	09/07/2018	Staff and/or volunteers fail to recognise & take appropriate action where a 'Safeguarding' issue occurs.	Ineffective Safeguarding policy and procedures Lack of understanding, awareness and training relating to existing policies and procedures relating to Safeguarding Breaching of GDPR and/or poor information governance. Poor strategic leadership Inappropriate/poorly implemented recruitment policy and procedures	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 Poor working environment Low staff morale	Rick Hylton	Possible	Critical	15	1. Strategic lead identified for Safeguarding to engage with SLT and report to PFCC 2. Appropriate and current Safeguarding Policy in place for Adults and Children 3. Appropriate training, development and awareness in place for key members of staff 4. Appropriate level of DBS checks are carried out on staff 5. Assess of Strategic lead with Safeguarding Manager to raise at the appropriate level any concerns 6. Compliance with Section 11 audit process, and consequent reporting to Safeguarding boards	1. Rick Hylton 2. Donna Finch 3. Donna Finch 4. Karl Edwards 5. Rick Hylton 6. Rick Hylton	Unlikely	Significant	6	4	Improving	15/10/2019
SRR150014	Legal Compliance	09/07/2018	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	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.	Rick Hylton	Possible	Critical	15	1. Service's Policies are aligned with the National Operational Guidance Programme 2. Health and Safety Training and compliance with HSG65 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 maintainance of the COPE 6. Continued assessment of risks, both National and Local to the Service by the Strategic Assessment of Risk 7. Implementation of a new/improved system to monitor On-call availability 8. Delivery of operational training plan	1. Moira Bruin 2. Danny Bruin 3. Paul Chipperfield 4. Paul Chipperfield 5. Charles Thomas 6. Dave Bill 7. Karl Edwards 8. Colette Black	Possible	Critical	15	5	(red)	01/08/2019
SRR150015	Prevention, Protection & Response	09/07/2018	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.	Individuals are unable to update CRM/ERB/input data in a timely manner Individuals are unable to produce accurate reports or access data in an appropriate structured format Different reports requesting the same information give rise to different data outcomes. no negotiable updates from Microsoft disrupts CRM system processes rendering them unusable/unavailable Poor risk information management for the IRS Poor information management culture Lack of detail provided by OIC Lack of questioning by ConOps in order to fulfil IRS requirements Time constraints in moments of spate conditions Delay in producing timely reports as manual intervention is usually required to access data No quality assurance process Potential lack of understanding of available guidance on IRS procedures Inadequate systems/technology in Control to record Ineffective engagement leading to dependencies between systems being missed or incorrectly prioritised Delays to system upgrades creating incompatibility between systems	Death or serious injury to staff Loss of critical information Poor short term/long term decision making based on false/inaccurate data A backlog of un-entered data will be created if the CRM system does not allow timely input. This will result in inaccurate data/reporting Key activities may have to temporarily cease to prevent a backlog of data (for example, TFS routine audits) The organisation will be unable to produce accurate and timely data reporting in response to data requests for example, for HMICFRS and Home Office data returns Risk information updates can only be completed using a manual work-around which introduces a delay into update processes - this may result in inaccurate/out of date risk information being available to operational crews Incorrect availability data leads to incorrect mobilising Employee welfare is impacted. Situational awareness judgements of OICs/crews are influenced by a lack of any or outdated or 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 Home Office 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	Rick Hylton	Almost Certain	Significant	15	1. Business Continuity Arrangements for IRS 2. Reporting of Poor Performance 3. Update and review the IRS Quality Assurance programme 4. There is a project established to get CRM working more effectively 5. More effective means of managing central Training data 6. IRS Training 7. Quality Assurance of IRS Data 8. Provide learning to upskill IRS user 9. Ops Assurance - Completion of IRS inputs within 48 hours 10. Deliver 4i upgrade 11. Re-establish the 4i/ERB interface 12. A project is established to deliver a replacement for the exisiting TASK system 13. Introduction of an interim tactical solution to enable TASK reporting 14. Daily comparison between the incidents recorded on 4i and the incidents recorded on IRS 15. IRS records are completed in accordance with Service guidelines 16. Ensure that station personnel are updating ERB 17. Ensure the operational availability management solution meets the needs of the Service	1. Tracy King 2. Ben Fragola 3. Deborah Gordon 4. Moira Bruin 5. Colette Black 6. Tracy King 7. Tracy King 8. Neil Fenwick 9. Danny Partridge 10. Paul Gardiner 11. Peter Morath 12. Peter Morath 13. Peter Morath 14. Deborah Gordon 15. Neil Fenwick 16. Neil Fenwick 17. Peter Morath	Almost Certain	Significant	15	4		15/08/2019

ID	Objective	Date	Risk	Causes	Consequences	Owner	Likelihood	Impact	Score	Controls	Control Owners	Likelihood	Impact	Score		Direction	Review Date
SRR150017	Prevention, Protection & Response	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	Rick Hylton	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. Charles Thomas 2. Danny Bruin 3. Charles Thomas	Unlikely	Major	8	3	Improving	01/10/2019
SRR150018	Prevention, Protection & Response	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 2021☐ 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☐ Key roles with the project move/not replaced (i.e. Station Managers of concerting stations)	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☐ The Service will need to review/amend its Medium Term Financial Plan 2020-24☐ Increased Political pressure to not make changes	Dave Bill	Almost Certain	Major	20	1. Reporting of Medium-term financial plan to be included in monthly finance to SLT 2. Monthly reports of progress of the Service's progress against the On-call conversion programme 3. Update the implementation plan for 2020 programme for PFCC approval on a regular basis. 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. 7. Review of 2016/20 IRMP and 2020 Change Programme	1. Glenn McGuiness 2. Ben Pilkington 3. Ben Pilkington 4. Ben Pilkington 5. Ben Pilkington 6. Glenn McGuiness 7. Matt Furber	Possible	Significant	9	6	Improving	10/08/2019
SRR150019	Promote a positive culture in the workplace	13/07/2018	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	Not effectively challenging poor performance /behaviour☐ Poor leadership and actions of senior managers not viewed as being in line with Service values☐ Decision making made without clear consideration given to the impact across all staffing groups/locations☐ Poor communications leading to lack of clarity or understanding of Service intention☐ Fail to promote the Managers/leaders with the right skills☐ Failure to recognise good performance☐ Inability to engage staff effectively in Service change and strategy☐ Not having a diverse workforce that reflects Essex communities	Actions and behaviour of staff leads to an environment that does not allow effective engagement with the public of Essex☐ Divides within different staffing groups and locations leading to poor communication and engagement across the Service☐ Poor attendance levels☐ Lack of engagement with Service Strategy/Fire and Rescue Plan leading to objectives not being delivered☐ Poor engagement with other agencies leading to not having effective collaboration and partnership arrangements in place	Colette Black	Possible	Significant	9	1. Manager development workshops 2. Initiate a Values and behaviours project - Refresh and Revise the work that has been done on Organisational values 3. Initiate a Recognition Project 4. Initiate a Communications Project	1. Colette Black 2. Jo Turton 3. Jo Turton 4. Jo Turton	Possible	Significant	9	3		15/10/2019
SRR150020	Prevention, Protection & Response	13/07/2018	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	Inadequate facilities on fire stations ☐ Poor or lack of critical training facilities (i.e. BA Chambers/hot fire training)☐ Inability to deliver centralised courses☐ Poor training and competence monitoring systems in place☐ Staff not assessed/verified in critical training areas☐ Training materials/resources provided out of date or of a poor quality☐ Unexpected loss of skill due to attrition☐ Insufficient time or capacity to complete required training and development☐ Prolonged industrial action leading to lack of training☐ Inefficient or ineffective quality assurance systems☐ Watch based managers not having the skills or resources to deliver localised training☐ System to record competence and training attendance not fit for purpose there for leading to skills gap/fade☐ Failure to adopt the National Operational Guidance work being done in the region	Death or serious injury to Service person (s) and/or member of the public☐ Low staff morale leading to poor standards/professionalism☐ Inappropriate techniques leading to poor firefighting/rescue standards impacting of the effectiveness of our response☐ Poor succession planning leading to skills gap☐ Gaps due to attending less operational incidents not address through effective training☐ Police investigation☐ PI claims☐ Corporate manslaughter prosecution ☐ Investigation by the HSE☐ High work related injuries/poor attendance rates☐ NOG - Service procedures not in line with National good practice	Colette Black	Likely	Major	16	1. The new temporary Group Manager in place to provide addtional resource to Training 2. Updated L&D priorites agreed by SLT 3. TASK (Training recording system) provision reviewed and a proposed specification provided. 4. Risk critical training updated manually and reported to managers on a monthly basis 5. L&D Advisory group established and meeting Quarterly 6. Quality assurance processes are established 7. Operational Learning, H&S events and monitoring of National reports feeding into training priorities 8. Monthly training reports to SLT and P & R 9. ECFRS adopting and proactively engaging with the regional NOG work	1. Colette Black 2. Paul Chipperfield 3. Claire Budgen 4. Claire Budgen 5. Claire Budgen 6. Paul Chipperfield 7. Danny Bruin 8. Colette Black 9. Greg Keys	Possible	Major	12	4	Improving	08/10/2019
SRR150025	Promote a positive culture in the workplace	16/07/2018	There is a risk that ECFRS will receive an 'inadequate' assessment following the HMI inspection leading to additional scrutiny and impact on partnership arrangements.	Not preparing the new SLT wef 1 April 2019 ☐ Poor communications with SHQ, Stations/SDPs, HMICFRS liaison, and not following the agreed communications plan☐ Inadequate or no Welcome Pack☐ Inadequate or no Data Return☐ Inadequate or no Document Return☐ Not presenting a self-assessment that properly identifies the Service strengths and/or areas for improvement☐ Poor quality Strategic Briefing and Presentation pack☐ Poor engagement by Task Force out to Stations, Watches, Departments, Partners and Stakeholders☐ Not identifying current and former staff to be available for interview and focus groups	Negative impression of ECFRS for mandatory inspection ☐ Poor score☐ Creates more work to adequately provide information to the HMI team☐ Increase in time required to brief internally☐ Additional costs to the Service, e.g. Overtime/ex gratia payments to former staff	Rick Hylton	Likely	Major	16	1. SLT Preparation 2. Preparation of the Welcome Pack 3. Full Data Return 4. Full Document Return 5. Completed self-assessment 6. Strategic Briefing & Presentation Pack 7. Engagement by Task Force 8. Discovery Week timetable 9. Field Work Week timetable 10. Full "All Service" Access to HMI Team 11. Evidence of progress - Service Improvement Plan 12. Identify and request staff and former staff to assist with Inspection	1. Tracy King 2. Ian Adams 3. Tracy King 4. Ian Adams 5. Tracy King 6. Tracy King 7. Tracy King 8. Ian Adams 9. Ian Adams 10. Ian Adams 11. Rick Hylton 12. Tracy King	Rare	Major	4	4	Improving	11/07/2019
SRR150026	Prevention, Protection & Response	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☐ 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 maintain 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☐ Savings/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	Karl Edwards	Likely	Major	16	1. Addtional 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 Director PP & R on ICT effectiveness in delivering its Business Plan 5. Prioritisation of ICT Projects to ensure effective resourcing of critical ICT projects 6. Systems regularly backed up and procedure in place to cover in the event of a power outage 7. Effective Disaster Recovery Plan in place 8. Monthly change/ICT resourcing meetings to ensure ICT/projects are aligned to the same priorities and to identify conflicts	1. Dave Bill 2. Martin Chester 3. Karl Edwards 4. Martin Chester 5. Ben Pilkington 6. Martin Chester 7. Martin Chester 8. Ben Pilkington	Possible	Major	12	3		24/08/2019

| SRR150028 | Prevention, Protection & Response | 10/06/2019 | 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 | Lack of resource, both human and physical☐ Ineffective ICT solutions☐ Poor data management☐ Lack of engagement with Directorate planning process☐ Poor engagement with partners and community leading to mismanagement of priorities☐ Lack of effective performance management☐ Poor succession planning leading to loss of key skills, experience and relationships☐ ECFRS too inwardly focused, therefore not delivering community needs☐ Ineffective or inappropriate collaboration activities | Not able to support key meetings or engage effectively with local communities☐ Loss of trust in ECFRS ☐ Poor Audit/Inspection reports☐ Data collated not accurate , which leads to poor decisions☐ Lack of clarity for Managers on priorities☐ Projects not delivered on time☐ Collaboration activities resource intensive and not proportionate to outcome. | Moira Bruin | Likely | Major | 16 | 1. Effective directorate governance arrangements in place 2. Effective implementation of the Response strategy 3. Completion of Prevention and Protection strategies 4. Successful completion of the CRM Project 5. Active involvement in the Policing Hubs and Local Strategic Partnerships 6. Effective Directorate Plan for 2020 on-wards 7. All appraisals completed within the Operation Directorate | 1. Moira Bruin 2. Neil Fenwick 3. Danny Bruin 4. Moira Bruin 5. Neil Fenwick 6. Moira Bruin 7. Moira Bruin | Unlikely | Major | 8 | 4 | Improving | 11/09/2019 |