



<b>Meeting</b>	<b>Performance and Resources Board</b>	<b>Agenda Item</b>	<b>8</b>
<b>Meeting Date</b>	30 April 2020	<b>Report Number</b>	
<b>Report Author:</b>	Director of Innovation, Risk & Future Development		
<b>Presented By</b>	Director of Innovation, Risk & Future Development		
<b>Subject</b>	<b>Strategic Risk Register</b>		
<b>Type of Report:</b>	Information		

## SUMMARY

Due to the extra-ordinary impact of the Coronavirus on the United Kingdom as a whole, and the current new requirement on Essex County Fire and Rescue Service (the Service), a total review of the Strategic Risk Register (SRR) has taken place with the following additions/amendment made for approval by the Service Leadership Team (SLT), and then escalation to the Police, Fire and Crime Commissioner (PFCC) via the Performance and Resources Board. Ultimately this paper will inform the Critical Incident Team Recovery Sub-group on areas of most concern that need to be addressed.

## RECOMMENDATIONS

Members of SLT were asked to; -

- agree the addition of a new Strategic Risk on the Register;
- agree the suggested amendments to the Strategic Risk Register; including,
- removal of Strategic Risk 150015.

## BACKGROUND

### 31 December 2019

World Health Organization (WHO) was informed of a cluster of cases of pneumonia of unknown cause detected in Wuhan City, Hubei Province, China.

### 12 January 2020

It was announced that a novel coronavirus had been identified in samples. This virus is referred to as SARS-CoV-2, and the associated disease as COVID-19.

### 29 March 2020

1,408 patients in the UK who tested positive for coronavirus (COVID-19) have died. (Over 638,000 cases have been diagnosed in 206 countries and areas (including mainland China), with over 30,100 fatalities. Of these totals, over 556,000 cases and

more than 26,800 deaths have been reported from countries outside mainland China. In the 15 days to 29 March, over 512,000 cases were reported).<sup>1</sup>

The government response has been to implement a number of policies designed to limit the impact on the NHS and other services. These have included:

- Closing Schools and businesses
- Limiting unessential travel
- Home working
- Social isolation of the vulnerable for a period of at least 12 weeks
- Social isolation for anyone experiencing symptoms
- A ban on social gathering

The impact of this has been that all none-critical activities are largely carried out from home or suspended, measures have been introduced to protect key staff, and the Service reallocated resources in order to work with other agencies in providing support to the community of Essex where it is most needed. The knock-on effect of this is that Essex Fire and Rescue Service is currently experience some difficulty in maintaining business as usual and this is impacting upon application of some of the control measures allocated in the Strategic Risk Register.

## **OPTIONS AND ANALYSIS**

### **Additions and changes**

**New Risk** - *There is a risk that due to the outbreak of a contagious virus, such as the current COVID 19 pandemic, we will be unable to provide business as usual services and may struggle to fulfil our obligations under the Civil Contingencies Act 2004*

### Triggers

- Large numbers of staff being required to self-isolate due to the need for containment of virus
- Reduced staff levels due to caring responsibilities for children or the vulnerable
- Enforced restrictions on the movement of people and goods
- Unable to obtain necessary supplies due to global nature of virus
- Asymptomatic carriers of virus infect others unknowingly
- Increased volume of calls to Control and dwelling fires results in surge in demand on depleted work force.
- Long-term nature results in the suspension or delay of programmes and projects vital to the delivery of critical services.

### Impacts

- Supporting other services reduces our own capacity to respond
- Unable to crew adequate numbers on appliances sufficiently
- Stations taken off the run for cleaning
- Prevention and Protection activities are substantially reduced
- Unable to maintain sufficient ICT services to support working differently
- Low numbers of green book staff in the workplace, due to COVID-19, leading to key support functions, i.e. payroll not able to function

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<sup>1</sup> Source [www.gov.uk](http://www.gov.uk)

## Controls

- Establishment of a sustainable Critical Incident Team
- Development of a Concept of Operations
- Activation of Business Continuity Plans (where a denial has caused a reduction in critical activity delivery)
- Communication to all Stakeholders
- Working Differently
  - staff shadowing
  - distribute skills across organisation
- Instigation of additional home working measures and further adoption of 365
- Changes to cleaning regimes
- Provision of adequate PPE and cleaning equipment
- Death in Service Policy
- Review of relevant people policies and procedures
- Introduction of additional Operational Guidance
- Establishment of a Welfare Subgroup of CIT
- Establishment of a Prevention and Protection Subgroup of CIT
- Establishment of a Response group of CIT
- Establishment of a New ways of Working Subgroup of CIT
- Establishment of a Resources Subgroup of CIT
- Establishment of Recovery Subgroup of CIT
- Use of technology to reduce physical contact
- Prioritisation of risk critical and statutory duty activities

Uncontrolled score – Almost Certain – Risk Critical – 25 (red)

Current assessment – Almost Certain – Risk Major – 20 (red)

Target Risk - - Almost Certain – Risk Minor – 10 (amber)

**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.*

## Additional triggers

Add the following; -

- Impact of COVID 19 on government funding leading to a reduction in government/local funding
- Impact on Service's budget cycle process from staff shortages, absentees, persons re-diverted to other roles and/or excessive workloads due to COVID 19
- Overspend due to the Service's reaction to COVID 19

## Additional Impacts

- Excessive use of reserves
- Failure to deliver change programmes which influence the medium-term financial plan
- There could be levels of procurement that do not attract the best value for money due to the impact on suppliers from COVID-19

### Additional Controls

- Additional spend attributed to COVID 19 is being closely monitored, recorded and projected (where possible)
- Finance Team will be preparing reports to closely monitor spend within the Service
- Government provided initial funding to the value of £279k
- £4.8m short-term cash flow boost received due to early funding received for S31 business rates and pension grants for 2020/21
- Reserves in the Service being reviewed and will be re-allocated to COVID-19 as appropriate (from general reserve pool)
- Adoption of the guidance issues by the Government on short-term procurement practices.
- The Service encouraging payment in advance of supplier terms to ensure supplier continuity.

### Risk Score

Risk Score to remain the same

**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.*

### Additional triggers

- See strategic risk for COVID 19
- Requests from partner agencies for mutual aid where they are under increased pressures in delivering services to the public

### Additional Impacts

- Member of the public involved in an incident which may have been avoided by Prevention and Protection work being put on hold.
- Increased response times leading to rescue efforts being impacted

### Additional Controls

- Risk based approach to prevention and protection activities so life risk and high-risk vulnerable persons still receive appropriate support
- Movement of operational staff to areas of most risk so as to maintain a response to our core functions
- Effective partnerships working, in particular through the Essex Resilience Forum, to ensure there is a shared understanding of those most vulnerable
- Working with the NFCC and other F&R Services to share good practice and resources where appropriate

### Risk Score

Increase uncontrolled risk score – Change likelihood to almost certain and impact to critical (25 - red)

Increase current risk score – Change likelihood to almost certain and risk to Major (20 – red)

**SRR150003** - *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.*

#### Additional triggers

- Police and/or Fire resources reallocated to respond to COVID 19
- Activities highlighted within the business case are not deliverable whilst restrictions implemented by COVID 19 are in place

#### Additional Impacts

- Projects are not provided with adequate resource allocation to deliver within the timescales of the business case
- Potential savings which have been identified are not achieved

#### Additional Controls

- Recovery sub-group of COVID CIT to provide an impact analysis of project and programme work, and where possible reprogrammed work, or continue with it, a report to be submitted to the PFCC.

#### Risk Score

Increase uncontrolled risk score – Likelihood increase to Likely, Impact to remain major (red-16)

Increase current risk score – Likelihood increased to Likely, Impact remain significant (amber-12)

**SRR150005** - *There is a risk that the Service does not develop and manage its 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.*

#### Additional triggers

- Impacts on staff of COVID 19 in particular on staff welfare, cancelation of training courses and delays in implementing the People Strategy

#### Additional Impacts

- Uncompleted training courses leading to key competencies not being achieved/maintained i.e. Driving, BA, Command courses etc.

#### Additional Controls

- Alternative methods to deliver Training and development via ICT to be investigated
- Impact assessment to be carried out on delivery of the People Strategy

#### Risk Score

Risk score to remain the same

**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*

#### Additional triggers

- Supporting/replacement Programmes and projects are unable to continue or significantly delayed.

- Lack of competent staff to assist in maintaining the systems due to illness
- Home working puts pressure on national infrastructure

#### Additional Impacts

- Failure to mobilise effectively
- Delay in responding to an operational incident

#### Additional Controls

- No additional control measures however actions should be added under the existing controls i.e. assessment of programmes and projects.

#### Risk Score

Risk Score to remain the same

**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.*

#### Additional triggers

- None

#### Additional Impacts

- Due to individuals taking on new roles to support the Services response to COVID 19, they are unaware of data protection requirements.

#### Additional Controls

- For control measure - Training and awareness programme established for the Data Protection Act – to be added that an awareness presentation should be completed.

#### Risk Score

Risk Score to remain the same

**SRR150010** - *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 way.*

#### Additional triggers

- COVID19 diverts attention away from normal ways of working
- Reduced staff resources to review and implement learning due to illness or self-isolation

#### Additional Impacts

- No new impacts

#### Additional Controls

- Assess and prioritise relevant work
- Adopt new ways of working

#### Risk Score

Increase current risk score, likelihood to possible (increase to amber - 9)

**SRR150011** - *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.*

Additional triggers

- National resources diverted to COVID-19 for a substantial period of time
- National policies e.g. Social Isolation and Distancing policies impacting on Service Delivery
- Austerity returns due to government debt resulting from COVID-19 spending
- Resources re-directed to assist other agencies

Additional Impacts

- Key projects delayed
- Savings identified in the medium-term financial plan not made
- Fire and Rescue plan objectives not all achieved

Additional Controls

- Regular reporting to the PFCC on project status and impact assessments completed where appropriate.

Risk Score

Increase uncontrolled risk score – likelihood to almost certain, impact to major (red - 20)  
Increase current risk score – impact increased to significant (amber - 9)

**SRR150012** - *Staff and/or volunteers fail to recognise & take appropriate action where a 'Safeguarding' issue occurs.*

Additional triggers

- Unavailability of appropriately trained staff to offer safeguarding advice

Additional Impact

- The vulnerable have an increased risk from harm.

Additional Controls

- Business continuity arrangements for safeguarding.
- Additional communication providing guidance for arrangements during the Service's response to COVID-19

Risk Score

No change

**SRR150014** - *There is a risk that through action or non-actions by the Service, there is a fatality of a member of staff or the public*

Additional triggers

- Reduced staffing levels due COVID-19
- Lack of effective PPE for firefighters
- Staff unwilling or unable to enter homes to carry out prevention and protection work
- Ineffective communication to stakeholders in a time of uncertainty; such as pandemic

- Additional duties put fire-fighters at increased risk of contracting virus

#### Additional Impacts

- Reputational damage

#### Additional Controls

- Death in Service Policy to be renewed
- Provision of effective PPE, including COVID-19 protective equipment
- Communication of National guidance
- Implement alternative ways of carrying out prevention and protection work where possible

#### Risk Score

Increase uncontrolled risk score – likelihood to likely (red - 20)

Increase current risk score – likelihood to possible (red – 15)

**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.*

Due to the completion of the IRMP, and the Service is very aware of its current data challenges, it is viewed that this risk can now be removed from the Strategic Risk Register. This will include a review of the current control measures and them being reallocated to other risks if appropriate.

**SRR150017** - *The Service fails to prepare or plan effectively, in line with Civil Contingencies Act 2004, leading to an inadequate response to an emergency.*

#### Additional triggers

- Changes to legislation where resourcing is not sufficient to ensure these are actioned and applied appropriately
- Business continuity arrangements are not adequate
- Reduction in staff numbers lower than planning assumptions
- Reduction in staff numbers through supporting and engaging with the multi-agency response to a large-scale incident

#### Additional Impacts

- The Service needs to revise its Critical workstreams in light of new ways of working during or following a major incident.
- Cessation of certain activities and long-term restructuring of departments and staff numbers.

#### Additional Controls

- No additional control measures however actions should be added under the existing controls i.e. which areas have instigated business continuity plans and measures taken to protect crews.



### Risk Score

Increase uncontrolled risk score – likelihood to almost certain, impact critical (red-25)  
Increase current risk score – likelihood to possible, impact major (amber-12)

**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.*

This risk is to change to be specific to the On-call conversions as the new IRMP will be in effect from June 2020.

### Risk Score

Increase current risk score – likelihood changed to likely and impact major (16, red)

**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.*

### Additional triggers

- Difficulties in recruiting the right people whilst COVID-19 mitigations are in place
- Decisions made in response to COVID-19 are viewed as divisive by personnel
- Delay in delivery of Leadership and Development Programme and Dignity in our Workplaces sessions which have been designed to support a positive culture
- The strain of ‘working differently’ has a negative impact on the behaviour of our people

### Additional Impacts

- none

### Additional Controls

- Significant opportunity to engage with our people in a way that responds well to Everyone Matters feedback e.g. SLT visibility, action orientation, trust, pride, fairness and working relationships
- Alternative methods (aside from face to face) provision of training being identified
- Appropriate scrutiny of operational decisions by SLT for its response to COVID-19

### Risk Score

Increase uncontrolled risk score – likelihood to almost certain, impact to risk major (red – 20)  
Increase current risk score – impact to major (amber-12)

**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.*

### Additional triggers

- Lack of staff to conduct training for service personnel
- Staff unable to attend traditional group training due to social distancing
- Cancellation of training courses and core assessment programmes

### Additional Impacts

- None

### Additional Controls

- Risk Assess and prioritise operational training
- Implement alternative training methods where appropriate

### Risk Score

Increase current risk score – Likelihood to likely, impact to major (amber-16)

**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.*

*Information requested from Sarah Taylor 30/03/2020*

### Additional triggers

- Demands for home working ICT solutions leading to staff being allocated off project work
- Key staff with specialist skills are absent
- New ways of working put increased pressure on ICT infrastructure
- Current physical hardware infrastructure remains to be fragile due to end of life systems

### Additional Impacts

- Budget overspends against previous forecasts
- Inability to communicate on a remote basis leading to inefficient and ineffective working practices
- Inability to engage with key internal and external stakeholders resulting in reduced collaboration and partnership working.
- End of life systems if not replaced and updated in a timely manner may have additional adverse consequences resulting in multi-system failures.
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### Additional Controls

- Impact assessment to be completed on COVID-19 on the ICT Transformation Programme.
- Agreed ICT Transformation Programme re-design to allow programmes of work to be bought forward and accelerated such as moving completely to an Office 365 environment.
- External procurement of resources to complete bespoke transformation programmes that will allow in house knowledge to be focused on business as usual.
- ICT Programme Board Meetings chaired by SRO twice weekly to ensure that all key decisions are recorded and programme overview is monitored for progress against highest items of risk.

### Risk Score

Score to remain the same.

**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*

Cross reference this to the new COVID-19 risk

Risk Score

Risk score to mirror COVID-19

**BENEFITS AND RISK IMPLICATIONS**

Are dealt with in the content of the report. All strategic risks will be subject to review by owners in one months' time.

**FINANCIAL IMPLICATIONS**

None specific to this report.

**EQUALITY AND DIVERSITY IMPLICATIONS**

None specific to this report.

**WORKFORCE ENGAGEMENT**

Communication required in this will be incorporated within current COVID communications plan.

**LEGAL IMPLICATIONS**

Are set out within the report or identified in the Service's Strategic Risk Register.

**HEALTH AND SAFETY IMPLICATIONS**

Are set out within the report or identified in the Service's Strategic Risk Register.