

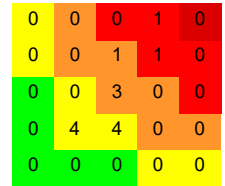
Lib Directorate Details

Directorate

Strategic Risk Register



Total Risks including Unassigned 14

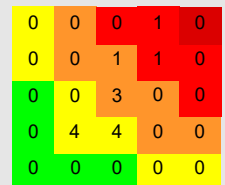


Risk Register - Strategic Risk Register

Manager Jo Turton



Total Risks including Unassigned 14



Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
There is a risk that, due to a lack of carbonaceous (hot) fire training facilities, the Service cannot deliver all its statutory training requirements (as detailed in the Fire and Rescue Services Act 2004 and associated guidance).	SRR150032	Colette Black	50 % complete	22/02/2022	22/05/2022

Triggers	Impact	Uncontrollable Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
The Ministry of Defence (MOD) provide 6 months' notice to leave the Wethersfield site at any time. Wethersfield is sold and we are required to leave between 2023-25. Wethersfield is not sold but facilities are removed meaning that we do not have access to essential services such as water/electricity. Wethersfield is not sold but is repurposed and we are no longer allowed to burn carbonaceous materials on the site. Wethersfield is sold and we are given enough notice to plan alternatives, but we are not successful in doing so.	We are unable to deliver training in line with our training plan We cannot provide training that enables our firefighters to fulfil our statutory obligations Training is less frequent/lower quality which exposes firefighters and public to greater risk of harm We do not have access to a training venue which is an integral part of our suite of resource We cannot provide training in a venue that is safe, inclusive and promotes dignity e.g. clean/dirty areas, showers, classrooms Reputational damage, this is a potentially foreseeable risk which we can plan to avoid Death or serious injury to Service personnel and/or member of the public. Inappropriate techniques leading to poor firefighting PI claims	Risk - Very High 25	• Ongoing conversation with the Defence Infrastructure Organisation (DIO) to ensure awareness of potential site closure <i>Colette Black</i>	In Progress	31/03/2022	50	Risk - High 20 Risk - Major	12 8
			• Planning for the potential site closure progresses and includes a feasibility study <i>Colette Black</i>	In Progress	31/03/2022	50	Almost Certain	
			• Appropriate project resources are allocated to the training facilities project to ensure capacity for delivery <i>Colette Black</i>	In Progress	31/03/2022	50		
			• A business continuity plan which enables the temporary delivery of hot fire training for those who are highest priority <i>Colette Black</i>	In Progress	31/03/2022	50		

Strategic Risk Register

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Manager

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Corporate manslaughter charges and prosecution
Investigation by the HSE
High work-related injuries



Review Comments A new Property Surveyor has been appointed and will lead the feasibility study . We will review this risk again in 4 weeks time.
22/02/2022

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
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There is a risk that the Service is unable to effectively mobilise or communicate with our response resources and partner agencies.	SRR150008	Karl Edwards	<div style="width: 44%; background-color: red; height: 10px;"></div> 44 % complete	24/02/2022	24/03/2022
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Cross Reference with:
Control Risk SDCON0005 and SDCON0006

Triggers	Impact	Uncontroll ed Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
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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 Supporting/replacement Programmes and projects are unable to continue or significantly delayed System not maintained effectively Corporate gazetteer not updating 4i Support for current station end equipment is withdrawn or becomes cost prohibitive	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 Failure to mobilise effectively Delay in responding to an operational incident	Risk - High 16	• Monitor and correct where possible addressing data in 4i <i>James Palmer</i>	Proposed	01/04/2023	10	Risk - High	12 4
			• Replacement of Station End Equipment <i>Karl Edwards</i>	Proposed	30/04/2022	10	Risk - Major	
			• ECFRS Control Business Continuity Plan <i>James Palmer</i>	Effective	31/05/2021	100	Likely	
			• Upgrade of 4i & creation of the ICT infrastructure to allow updates. <i>Paul Gardiner</i>	In Progress	31/03/2022	50		
			• Procurement and delivery of new mob and iccs system <i>Karl Edwards</i>	In Progress	27/01/2022	50		

Review Comments 15th Feb report SLT.

Works to go ahead 7th/8th March.
24/02/2022

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
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There is a risk of Data breach due to failure/lack of Data Protection Act (2018) compliance leading to personal loss, reputational damage or a loss of public confidence and legal action.	SRR150009	Karl Edwards	<div style="width: 81%; background-color: yellow; height: 10px;"></div> 81 % complete	25/02/2022	01/04/2022
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Manager

Jo Turton

Triggers	Impact	Uncontroll ed Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
<p>No or inadequate Information Governance arrangements (E.g., no Data Protection Policy and Information Security Policy)</p> <p>Poor management of Asset Register and Data Flow Mapping.</p> <p>Ineffective training programme for staff awareness</p> <p>Third party contracts do not contain the relevant clauses</p> <p>Poor governance/consultation on the contract process</p> <p>No or inadequate Data Privacy Impact Assessments (E.g., inadequate Privacy Impact Assessments at contract stages)</p> <p>Privacy Notices not updated to reflect new processing</p> <p>Inadequate Consent processes</p> <p>Poor Data Security</p> <p>Human Error</p> <p>Non compliance with the Data Breach process</p> <p>No Data Sharing and Processing Agreements</p> <p>Low staff morale resulting in mis-use of personal data</p> <p>Lack of due diligence on Third Party contractors (E.g Cloud hosting and outsourcing)</p>	<p>Breach of legislation</p> <p>Reputational damage, which may hinder community engagement and bring unwanted attention on the service</p> <p>Compensation claims from individuals</p> <p>Service delivery may be impacted due to loss of data (and thus knowledge)</p> <p>Impact on individuals such as potential for identity theft, fraud and disadvantage</p> <p>Heavy fines from Information Commissioner</p> <p>Inappropriate or illegal sharing of data</p>	<p>Risk - Very Hig</p> <p>25</p>	<ul style="list-style-type: none"> • Purpose limitations - Personal data shall be collected for specified, explicit and legitimate purposes and not further processed <i>Tracy King</i> 	Effective	17/06/2021	100	Risk - Medium	<p>16 </p> <p>-4</p>
			<ul style="list-style-type: none"> • Lawfulness, fairness & transparency - Personal data shall be processed lawfully, fairly and in a transparent manner <i>Tracy King</i> 	Implemented	28/03/2022	95	Risk - Significant	
			<ul style="list-style-type: none"> • Training and awareness programme established for the Data Protection Act <i>Tracy King</i> 	In Progress	31/03/2022	75	Likely	
			<ul style="list-style-type: none"> • ECFRS contract with Information Governance Services <i>Tracy King</i> 	Approved	01/04/2022	20		
			<ul style="list-style-type: none"> • Information Governance Officer (Agency) <i>Ana Tuckwell</i> 	Implemented	31/01/2022	100		
			<ul style="list-style-type: none"> • Accountability and Governance - recognition that we are responsible for complying with GDPR & able to demonstrate our compliance <i>Tracy King</i> 	Effective	29/11/2021	100		
			<ul style="list-style-type: none"> • Data Protection Policy <i>Ana Tuckwell</i> 	Implemented	03/06/2022	80		
			<ul style="list-style-type: none"> • Data Minimisation - Personal data shall be adequate, relevant and limited to what is necessary in relation to our purpose(s) <i>Tracy King</i> 	Implemented	31/03/2022	90		
			<ul style="list-style-type: none"> • Integrity and Confidentiality - Data is processed in a manner that ensures appropriate security of the personal data <i>Tracy King</i> 	In Progress	31/03/2022	75		
			<ul style="list-style-type: none"> • Storage limitations - Personal data is kept for no longer than is necessary <i>Ana Tuckwell</i> 	Implemented	03/06/2022	80		

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Manager

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			• Accuracy - Personal data is accurate and, where necessary, kept up to date <i>Tracy King</i>	Implemented	17/06/2022	80	
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Review Comments


Risk Score lowered due to resolution of staffing issues through out sourcing of DPO Services , appointment of Deputy DPO and appointment of temporary resource for a period of 6 months.

25/02/2022

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
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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.	SRR150001	Neil Cross	85 % complete	02/09/2021	02/12/2021
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Triggers	Impact	Uncontrolled Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
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<p>Impact of COVID 19 on government funding leading to a reduction in government/local funding</p> <p>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</p> <p>Overspend due to the Service's reaction to COVID 19</p> <p>Unexpected reduction in Government funding</p> <p>Loss of cash through financial mismanagement or fraud</p> <p>Poor forecasting of decrease in business rates</p> <p>Central Government cap on Council Tax denying income expectations in MTFP</p> <p>National pay settlements impacting on financial planning</p> <p>Any unforeseen non pay related settlements i.e. property, ICT</p> <p>Heavy fine through EL, PL, or Data breach</p> <p>Government funding settlement not secure for next year and looks increasingly uncertain that clarity will be given over the coming years</p>	<p>Excessive use of reserves</p> <p>Failure to deliver change programmes which influence the medium-term financial plan</p> <p>There could be levels of procurement that do not attract the best value for money due to the impact on suppliers from COVID-19</p> <p>Temporary reductions in non-core spend and investment</p> <p>H & S or data breach prosecution</p> <p>Short term borrowing to fund expenditure</p> <p>Service Delivery reductions</p> <p>Loss of revenue through business rates, Council Tax and/or S31 grants.</p> <p>Potential need to draw on Reserves</p> <p>Home Office Special Measures</p> <p>Impact on Medium Term Financial Planning</p> <p>Impact on service plans to balance budget each financial year</p>	<p>Risk - High</p> <p>20</p>	<p>• Regular scrutiny of financial management</p> <p><i>Amanda De Margary</i></p>	Effective	31/12/2023	100	Risk - Medium	10 
			<p>• Proper control of capital and revenue spend.</p> <p><i>Amanda De Margary</i></p>	Effective	31/12/2025	100	Risk - Significant	-1
			<p>• Strategic planning for future Fire & Rescue Plan, CRMP</p> <p>Strategic Planning</p> <p><i>Danny Bruin</i></p>	Effective	09/09/2021	100	Possible	
			<p>• Insurance arrangements & associated internal processes</p> <p><i>Neil Cross</i></p>	In Progress	31/03/2022	50		
			<p>• Engagement with National bodies</p> <p><i>Neil Cross</i></p>	Effective	10/06/2019	100		
			<p>• Increased scrutiny for the Medium Term Financial Plan</p> <p><i>Neil Cross</i></p>	Implemented	31/03/2022	80		
			<p>• Monitor COVID-19 spend</p> <p><i>Neil Cross</i></p>	Effective	31/12/2021	100		
			<p>• Revised Procurement Practices</p> <p><i>Neil Cross</i></p>	In Progress	31/12/2022	50		

Review Comments

Good financial planning measures are in place or being implemented the service has set at goal of producing a balanced budget for 22/23 as part of the budget setting process.

Still a lot of financial uncertainty that currently exists, the service needs to gain some experience in achieving savings and efficiencies in order to meet financial challenges once it is est . in doing

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this further consideration can be given to lowering the risk.
02/09/2021

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date			
There is a risk that without effective Cyber Security measures in place , we will be vulnerable to an attack causing harm or loss.	SRR150031	Karl Edwards	<div style="width: 40%; background-color: red; height: 10px;"></div> 40 % complete		22/04/2021			
Triggers	Impact	Uncontrolled Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
Human Error Lack of Expertise Inadequate funding Legacy Systems Lack of policies and procedures Lack of SLT over-sight and involvement in technological innovation and implementation. Inadequate monitoring and reporting of incidents to SLT Cultural issues Unhappy employees Failure to carry out adequate checks on third party and supplier security arrangements	Data loss or theft of sensitive or personal information Blackmail or bullying of staff due to personal data leaks Extensive Fines Unable to use systems Critical activity ceases or is hampered due to compromised technology	Risk - Very High 25	<ul style="list-style-type: none"> • Training for all Employees <i>Stuart Antcliff</i> • Starters and Leavers Policy <i>Stuart Antcliff</i> • Contract Controls <i>Stuart Antcliff</i> • Security and Data Breach Incident Management <i>Stuart Antcliff</i> • Server Security <i>Stuart Antcliff</i> • Hosted and Cloud Services <i>Stuart Antcliff</i> • Encryption <i>Stuart Antcliff</i> • Firewalls <i>Stuart Antcliff</i> • Vulnerability Management <i>Stuart Antcliff</i> • Perimeter & Key Systems <i>Stuart Antcliff</i> • Anti - Malware <i>Stuart Antcliff</i> • Web and Mail Filtering <i>Stuart Antcliff</i> 	In Progress In Progress In Progress In Progress Proposed In Progress In Progress In Progress In Progress	31/07/2022 31/07/2022 31/07/2022	10 50 50 50 10 50 50 50 50	Risk - Medium 9 Risk - Significant Possible	

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Jo Turton

			<ul style="list-style-type: none"> • Anti Virus <i>Stuart Antcliff</i> 	In Progress		50	
			<ul style="list-style-type: none"> • Password Management <i>Stuart Antcliff</i> 	In Progress		50	
			<ul style="list-style-type: none"> • Disaster Recovery and Business Continuity Planning <i>Stuart Antcliff</i> 	In Progress		50	
			<ul style="list-style-type: none"> • Back - up <i>Stuart Antcliff</i> 	Proposed		10	
			<ul style="list-style-type: none"> • Data in Transit <i>Stuart Antcliff</i> 	Proposed		10	
			<ul style="list-style-type: none"> • Secure Email <i>Stuart Antcliff</i> 	Proposed		10	
			<ul style="list-style-type: none"> • Secure Websites <i>Stuart Antcliff</i> 	In Progress		50	
			<ul style="list-style-type: none"> • Cyber Insurance <i>Neil Cross</i> 	Implemented		80	
			<ul style="list-style-type: none"> • Cyber Essentials <i>Stuart Antcliff</i> 	Approved		20	
			<ul style="list-style-type: none"> • Cyber Plan <i>Claire Sanders</i> 	Approved		20	



Review Comments

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
There is a risk that the Service fails to provide a safe and inclusive culture which ensures the well-being of staff and contributes to attracting a diverse workforce	SRR150019	Colette Black	<div style="width: 58%; background-color: yellow; border: 1px solid black;"></div> 58 % complete	07/12/2021	07/03/2022

Triggers	Impact	Uncontrolled Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
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	Actions and behaviour of staff leads to an environment which 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	Risk - High 20	<ul style="list-style-type: none"> • Management Development (IRMP) <i>Colette Black</i> • Continued Cultural Development Plan (Annual Plan) <i>Colette Black</i> 	Approved In Progress	31/12/2020 31/03/2022	100 75	Risk - Medium 9 Risk - Significant Possible	12 -3

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Manager

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<p>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 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</p>	<p>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 Bullying Lack of productivity High staff turnover Suicide and general mental health issues Lack of diversity in the workforce leading to decision making which is not representative of the communities we serve Unable to harness talent due to barriers in the way difference is perceived</p>		<ul style="list-style-type: none"> • Utilise everyone matter feedback <i>Colette Black</i> • Scrutiny <i>Colette Black</i> • Promote the Service as the Employer of Choice (IRMP) <i>Colette Black</i> • Inclusion and Diversity Training for All (Annual Plan) <i>Colette Black</i> • Employee Networks (Annual Plan) <i>Colette Black</i> 	<p>Effective Approved Proposed Proposed Proposed</p>	<p>31/08/2020 31/12/2020 31/03/2022</p>	<p>100 100 10 10 10</p>		
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Review Comments We await feedback from HCIMFRS to triangulate anecdotal feedback and the sense that we can reduce the current risk assessments . Update against some of the triggers is as follows:

Performance Management cases are up, appraisal completion rates are up.
 Leadership development programme in action
 Strategic workforce plan in action
 Regular recognition through monthly and annual awards
 Positive action to attract diverse workforce continues

07/12/2021

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
There is a risk that the service does not achieve a full and successful migration to on-call as planned through the on-call programme resulting in lack of cover and a financial loss to the service.	SRR150018	Moira Bruin	90 % complete	28/02/2022	08/08/2022

Triggers	Impact	Uncontroll ed Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating

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<p>Service does not convert the day-crewed station to On-call by April 2021</p> <p>Unable to recruit On-call firefighters</p> <p>Local political challenge against change to on-call</p> <p>Poor Programme and Project Management</p> <p>Escalation route not identified and/or acted upon</p> <p>Poor reporting arrangements</p> <p>Lack of capacity at Strategic level</p> <p>Key roles with the project move/not replaced (i.e. Station Managers of concerting stations)</p>	<p>The Service will need to make other unplanned changes</p> <p>There is a need to use reserves outside of the current Reserve strategy</p> <p>Stop delivery against some of the objectives identified within the Service business planning</p> <p>Increased Political pressure to not make changes</p> <p>The service is unable to provide adequate cover due to lack of on-call personnel</p> <p>A financial loss is suffered due to unsuccessful conversation to on-call</p>	<p>Risk - High</p> <p>20</p>	<ul style="list-style-type: none"> Reporting on progress of the On-call conversion project <i>Laura Taylor</i> 	Implemented	31/03/2022	80	<p>Risk - Medium</p> <p>6</p> <p>Risk - Significant</p> <p>Unlikely</p>	<p>8</p> <p>-2</p> 
			<ul style="list-style-type: none"> Individual stations plans completed based on a generic template <i>Neil Fenwick</i> 	Implemented	01/04/2021	100		
			<ul style="list-style-type: none"> Governance arrangements for change activity are robust and supported by stakeholders <i>Tracy King</i> 	Implemented	30/09/2021	100		
			<ul style="list-style-type: none"> Increased managerial resources at the Converting stations <i>Neil Fenwick</i> 	Implemented		100		
			<ul style="list-style-type: none"> Provision of Training courses to support recruitment and progression through to competence of Ffs at the converting stations <i>Claire Couch</i> 	Effective	31/03/2022	100		
			<ul style="list-style-type: none"> Provision of training courses to ensure specialist skills, such as driving and incident command courses, are attained <i>Claire Couch</i> 	Effective	31/03/2022	100		
			<ul style="list-style-type: none"> The 'On=boarding' progress for On-call firefighters is improved to be more timely. <i>Karl Edwards</i> 	Effective	31/03/2021	100		
			<ul style="list-style-type: none"> New process for developing On-call firefighters through to managerial positions <i>Hannah Wakeman</i> 	In Progress	31/10/2021	50		
<ul style="list-style-type: none"> Use of the Operational Availability Management system to monitor availability at the converting stations <i>Neil Fenwick</i> 	Implemented		80					

Review Comments
28/02/2022

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date			
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	SRR150014	Rick Hylton	<div style="width: 59%; background-color: yellow; border: 1px solid black;"></div> 59 % complete	31/01/2022	28/02/2022			
Triggers	Impact	Uncontroll ed Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating

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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. SRR150026 Karl Edwards 01/03/2022 01/05/2022

96 % complete

Triggers	Impact	Uncontrolled Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
Mass Power failire from external soucres	Loss of staff productivity	Risk - Medium	• The Continued operation of ICT services <i>Stuart Antcliff</i>	Effective	30/04/2020	100	Risk - Medium	8
Ineffective medium/long-term planning	Unable to respond to emergencies in a timely manner resulting in injury, exssive property damage or loss of life	12	• Group established to identify new opportunities and future planning of ICT processes <i>Sarah Taylor</i>	Effective	31/01/2021	100	Risk - Significant	-2
Failure of hardware systems	Loss of access to data		• Prioritisation of ICT Projects to ensure effective resourcing of critical ICT projects <i>Karl Edwards</i>	Effective	30/04/2020	100	Unlikely	
Software used no longer supported by supplier	Loss of data		• Systems regularly backed up and procedure in place to cover in the event of a power outage <i>Stuart Antcliff</i>	Effective	30/04/2020	100		
Incomaptale interoperability of systems	None mobilisation of appliance due to failure of critical mobilising architecture i.e. ERB and/or 4i		• Effective Disaster Recovery Plan in place <i>Stuart Antcliff</i>	Implemented	31/12/2021	80		
Aging hardware	Inability to communicate on a remote basis							
Lack of effective disaster recovery planning	multi-system failures.							
Projects putting pressure on ICT workforce								
Loss of experinced or skilled staff								

Review Comments
01/03/2022

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
There is a risk that the Service fails to deliver its Prevention, Protection and Response activities leading to a loss of trust and confidence by the Essex Communities	SRR150028	Chris Parker	 76 % complete	28/02/2022	28/05/2022
See risk SRR150029					

Triggers	Impact	Uncontrolled Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
Lack of resource, both human and physical, loss or reduction of our physical infrastructure,	Not able to support key meetings or engage effectively with local communities	Risk - Medium	• Ensure Protection function of the Service is fit for purpose and ready to respond to future challenges and changes <i>Chris Parker</i>	In Progress	30/04/2022	50	Risk - Medium	20
Ineffective ICT solutions	Loss of trust in ECFRS	9	• CRIS Project <i>Tracy King</i>	Effective	31/12/2020	100	Risk - Significant	-14
Poor data management	Poor Audit/Inspection reports		• Increased resources in the Protection Team <i>Chris Parker</i>	Proposed	30/04/2022	10	Unlikely	
Lack of engagement with Directorate planning process	Data collated not accurate , which leads to poor decisions							
Poor engagement with partners and community leading to	Lack of clarity for Managers on priorities							
mismanagement of priorities	Projects not delivered on time							
Lack of effective performance	Collaboration activities resource							

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Manager

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<p>management</p> <p>Poor succession planning leading to loss of key skills, experience and relationships</p> <p>ECFRS too inwardly focused, therefore not delivering community needs</p> <p>Ineffective or inappropriate collaboration activities</p> <p>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.)</p> <p>2.National/Regional (H41/H45). Complete loss of mains electricity or water for upto 14 days.</p> <p>3.Unplanned employee absence over several months Pandemic Influenza, or any other similar virus, peaking at upto 50% of the workforce for periods up to two/three weeks.</p> <p>4.Cyber/Disgruntled Employee. Complete loss of, or significant disruption to, a system essential to critical infrastructure or the delivery of critical functions.</p> <p>5.Critical staff shortage through large scale notice.</p> <p>6.Industrial Action</p> <p>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.)</p> <p>8.Significant loss of appliances or equipment.</p> <p>poor response to a marauding terrorist attack</p> <p>See strategic risk for COVID 19</p> <p>Requests from partner agencies for mutual aid where they are under increased pressures in delivering services to the public</p>	<p>intensive and not proportionate</p> <p>Reduction in Prevention, Protection and Response activities, routine activities curtailed, training delayed etc.</p> <p>Unable to mobilise Response through the loss of Control</p> <p>Process delays and contact difficulties for public and colleagues</p> <p>Appliances unavailable, or a lower level of availability.</p> <p>Severe interruption to departmental service delivery, appliance</p> <p>Maintenance Programme if the Service Workshops is the subject of an incident.</p> <p>Senior managers and decision makers unavailable or not contactable</p> <p>Additional cost of business continuity or asset replacement</p> <p>The need to consider alternative arrangements for key support functions</p> <p>The need to support resilience costs and resources are increased to cover risk</p> <p>Member of the public involved in an incident which may have been avoided by Prevention and Protection work being put on hold.</p> <p>Increased response times leading to rescue efforts being impacted on to outcome.</p>	<ul style="list-style-type: none"> • Risk Based Inspection Programme <i>Chris Parker</i> • Quality Assurance <i>Chris Parker</i> • Protection training and competence maintenance programme <i>Alison O'Neill</i> • Protection Team Structure and resourcing <i>Chris Parker</i> • Arrangements for ICT cyber security are in place <i>Stuart Antcliff</i> • Ability to use operational staff on a more flexible basis <i>James Palmer</i> • Review of the Service's response to MTA (Annual Plan) <i>Neil Fenwick</i> • Operational Training and Competency Recording <i>Colette Black</i> • Prevention and Protection strategies <i>Chris Parker</i> • Active involvement in the Policing Hubs and Local Strategic Partnerships <i>James Palmer</i> • Successful implementation of core ICT infrastructure (optimisation programme) <i>Sarah Taylor</i> • Directorate Governance Arrangements <i>Chris Parker</i> • Delivery of Response strategy <i>James Palmer</i> • Appraisal's for the Operation Directorate <i>Chris Parker</i> 	<p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>In Progress</p> <p>Implemented</p> <p>Implemented</p> <p>Implemented</p> <p>Effective</p> <p>Effective</p> <p>Effective</p>	<p>30/04/2022</p> <p>31/03/2022</p> <p>30/09/2021</p> <p>01/04/2022</p> <p>31/12/2021</p> <p>30/09/2022</p> <p>31/12/2021</p> <p>30/06/2022</p> <p>31/12/2020</p> <p>30/06/2022</p> <p>30/06/2021</p> <p>31/01/2021</p> <p>31/12/2021</p> <p>30/11/2020</p>	<p>50</p> <p>50</p> <p>50</p> <p>75</p> <p>50</p> <p>50</p> <p>75</p> <p>50</p> <p>100</p> <p>80</p> <p>100</p> <p>100</p> <p>100</p>	
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Strategic Risk Register

Risk Register - Strategic Risk Register

Manager

Jo Turton

Service not meeting its response standards		<ul style="list-style-type: none"> Effectively manage, prioritise and ensure the availability of Core stations <i>James Palmer</i> 	Effective	31/12/2020	100	
		<ul style="list-style-type: none"> Effective business continuity plans in place <i>Claire Sanders</i> 	Effective	30/04/2021	100	
		<ul style="list-style-type: none"> Effective physical security arrangements to Service premises throughout Essex <i>Jon Doherty</i> 	Effective	31/12/2020	100	
		<ul style="list-style-type: none"> Effective network resilience based on Service requirements <i>Stuart Antcliff</i> 	Effective	31/01/2021	100	

Review Comments

The service and the OPFCC new strategies across protection, prevention and response
The strategies are designed to ensure that Essex fire delivers across these areas in an efficient and effective way that responds to community need .

The strategies are now being operationalised and a suit of performance measures developed to ensure that we can measure and monitor the impact they have had.
28/02/2022

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
There is a risk that due to the Covid-19 Pandemic, the service will not be able to deliver the objectives set out in the Fire and Rescue Plan, IRMP and/or Annual Plan.	SRR150029	Moira Bruin	100 % complete	09/12/2021	01/01/2022

Triggers	Impact	Uncontroll ed Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
Reduced function and some work streams on hold to allow staff to assist in boost vaccinations 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	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	Risk - Very Hig 25	<ul style="list-style-type: none"> Monitoring of Staff Levels <i>Jaelyn Thorold</i> 	Effective	30/07/2021	100	Risk - Medium	12
			<ul style="list-style-type: none"> Business Continuity Plans to identify single points of failure <i>Claire Sanders</i> 	Effective	30/09/2021	100	Risk - Minor	-8
			<ul style="list-style-type: none"> Communication to all Stakeholders <i>Emily Cheyne</i> 	Effective	04/05/2020	100	Unlikely	
			<ul style="list-style-type: none"> Return to the Work Place Working Group <i>Karl Edwards</i> 	Effective	31/01/2021	100		
			<ul style="list-style-type: none"> Changes to cleaning regimes <i>Jon Doherty</i> 	Effective	30/04/2020	100		

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suspension or delay of programmes and projects vital to the delivery of critical services. Staff being lax in the use of controls designed to protect others from contracting covid (false sense of safety due to national guidelines being relaxed)		• Provision of adequate PPE and cleaning equipment <i>Sheldon Dyer</i>	Effective	24/07/2020	100	
		• Use of covid fogging units <i>Karl Edwards</i>	Effective	30/10/2020	100	
		• Covid-19 Risk Group <i>Moira Bruin</i>	Effective	06/10/2020	100	
		• Completion of Site Specific Risk Assessments to ensure they are COVID secure <i>Joanne Hellen</i>	Effective	01/08/2020	100	
		• Lateral Flow Testing <i>Karl Edwards</i>	Effective	28/02/2021	100	

Review Comments
Risk Owner changed to reflect organisational changes.
09/12/2021

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
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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.	SRR150011	Rick Hylton	100 % complete	31/01/2022	31/07/2022
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Triggers	Impact	Uncontroll ed Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
Change in PFCC Central Government preparations for next General Election Change in Conservative leadership General Election brought forward Change in Government Government without a majority 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	Possibly damaging change in any financial settlement(s) Change of FRS direction from laid planning Increased risk of industrial unrest Delay in spending review and allocation of central grants Medium Term financial planning scenario incorrect Potential difficulties in planning for a balanced budget Key projects delayed Savings identified in the medium-term financial plan not made Fire and Rescue plan objectives not all achieved	Risk - High 20	• Continued monitoring of Local Authority Financial climate <i>Amanda De Margary</i> • Maintenance of Political awareness <i>Rick Hylton</i> • Reporting to the PFCC on the change programme <i>Tracy King</i>	Effective Effective Implemented	29/03/2019 31/05/2021 31/12/2025	100 100 100	Risk - Medium 4 Risk - Minor Unlikely	6 -2

Review Comments
Risk reviewed local and national politics and policies considered no change to risk score.

Strategic Risk Register

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Manager

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31/01/2022

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
Due to a lack of operational training there is a risk that colleagues do not have the appropriate skills to fulfil their role (in line with the Health and Safety at Work Act) resulting in serious injury or loss of life.	SRR150020	Colette Black	<div style="width: 83%; background-color: yellow; border: 1px solid black;"></div> 83 % complete	07/12/2021	07/03/2022

Cross reference this risk to SRR150014

Triggers	Impact	Uncontroll ed Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
Poor or lack of suitable training facilitates	Reputational Damage	Risk - High	• Competency Recording <i>Colette Black</i>	Implemented	01/08/2021	100	Risk - Medium	16
Inability to deliver centralised training	Death or serious injury to Service personnel and/or member of the public.	16	• Risk critical training updated manually and reported to managers on a monthly basis <i>Colette Black</i>	Effective	31/12/2020	100	4 Risk - Minor	-12
Poor training and competence monitoring systems in place	Inappropriate techniques leading to poor firefighting		• L&D Advisory Group <i>Colette Black</i>	Effective	31/12/2020	100	Unlikely	
Staff not assessed/verified in critical training areas	Police investigation		• Quality Assurance Processes <i>Claire Couch</i>	Effective	27/07/2019	100		
Out of date or of a poor quality training materials	PI claims		• Operational Learning <i>Danny Bruin</i>	Implemented	30/09/2020	100		
Unexpected loss of skill due to attrition	Corporate manslaughter charges and prosecution		• Regular reporting to SLT and P & R <i>Colette Black</i>	Effective	31/03/2021	100		
Insufficient time or capacity to complete required training and development	Investigation by the HSE		• Adoption of NOG (Annual Plan 21/22) <i>Neil Fenwick</i>	Effective	01/08/2022	100		
Prolonged industrial action leading to lack of training	High work related injuries and poor attendance rates		• Training during COVID-19 <i>Claire Couch</i>	Effective	31/12/2021	100		
Inefficient or ineffective quality assurance systems			• Operational Training Strategy (Annual Plan 21/22) <i>Claire Couch</i>	In Progress		50		
Watch based managers not having the skills or resources to deliver localised training			• Training Facilities <i>Colette Black</i>	In Progress		50		
Unable to track and evidence training								
Failure to adopt the National Operational Guidance work being done in the region								
Poor succession planning leading to skills gap								
Lack of sufficiently qualified staff to conduct training for service personnel								
Cancellation of training courses and core assessment programmes								
Less operational incidents not								

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addressed through effective training			• Refurbishment of BA Facilities (Annual Plan 21/22) <i>Colette Black</i>	Proposed		10	
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Review Comments This risk remains assessed as medium low.

The triggers for this risk include 'Poor or lack of suitable training facilities'. The control measure (SRR150020/14) for this trigger is changing and so this element extracted and has become SRR150032. This reflects our current focus on ensuring that we will be able to continue providing suitable training facilities at the point that our lease at Wethersfield expires (potentially 2025). The focus on this area of the risk is driven by a potentially closing timescale and the fact that several potential alternatives have been explored and closed.

07/12/2021

Risk Title	Risk Ref	Risk Owner	Control Progress	Last Review date	Next Review Date
Due to a lack of investment and planning there is a risk that the Service does not develop and manage it's people effectively resulting in a failure to deliver against the Service's People Strategy. (Having the right people, in the right place, with the right skills, at the right time.)	SRR150005	Colette Black	73 % complete	07/12/2021	07/03/2022

Triggers	Impact	Uncontrolled Rating	Control Measures	Control Status	Target Date	Control Progress	Current Risk Rating	Previous Current Rating
Unable to recruit and retain key staff into the Authority as an employer of choice	Higher costs of interim and temporary staff	Risk - Medium 12	• Efficient workforce planning & recruitment procedures <i>Jaclyn Thorold</i>	Effective	31/05/2021	100	Risk - Medium 4	9 
Poor or absent succession/career planning and individual development built in to business planning	Increased onboarding times for new staff		• Appraisals <i>Jaclyn Thorold</i>	Effective	31/12/2021	100	Risk - Minor Unlikely	-5
Poor or absent succession planning policies and procedures	Specialist roles vacant for long(er) periods		• Training Recording System (PDRpro) <i>Jaclyn Thorold</i>	Effective		100		
Representative bodies in dispute with the Authority	Higher levels of sickness and absence		• Leadership Training <i>Jaclyn Thorold</i>	Effective		100		
Poor or absent market horizon scanning coupled with vacancy forecasting and/or skills gaps.	Lack of skilled and experienced key employees to deliver the Service strategy		• Staff Engagement in line with the People Strategy <i>Jenny Smith</i>	In Progress	27/03/2022	80		
Safeguarding failure affecting employees	Lack of flexibility in service delivery		• People strategy delivered within budget and reviewed on a monthly basis through the SLT <i>Colette Black</i>	In Progress	31/03/2022	50		
Lack of Safer Recruitment processes	Detrimental effect on service delivery		• Effective Inclusion & Diversity Plan <i>Nikki Hudson</i>	Implemented	30/04/2021	80		
We are unable to develop a culture where employees feel valued and engaged with the Service	People leave and so we lose corporate knowledge, skills and experience which has a detrimental effect on service delivery.		• Training should be available for all shift patterns <i>Claire Couch</i>	Effective	31/12/2020	100		
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	Employees raise legal claims regarding breaches of equality/employment law.		• Impact assessment to be carried out on delivery of the cultural change strand of the People Strategy <i>Jenny Smith</i>	Approved	30/09/2020	100		
We do not offer training and development to our employees.	We do not have people trained to lead, manage or deliver effective Services.							
Poor or absent succession planning, incorrect pay rates, unattractive employee proposition	Lack of skilled employees to deliver our Service.							
Employees do not feel that they are	Roles vacant for longer periods of time, increased onboarding time for							

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<p>safe or that their wellbeing is cared for</p> <p>Impacts on staff of COVID 19 in particular on staff welfare, cancelation of training courses and delays in implementing the People Strategy</p> <p>Non-compliance with working time directive</p>	<p>new staff, higher cost of temporary staff, lack of service delivery, increased staff turnover.</p> <p>Absence rates increase, functions are not carried out, service delivery is impacted, health and wellbeing of individuals is compromised.</p> <p>Uncompleted training courses leading to key competencies not being achieved/maintained i.e. Driving, BA, Command courses etc.</p> <p>Staff not having adequate rest periods between shifts or working more hours than set out in the working time directive.</p>	<ul style="list-style-type: none"> • Provide adequate recording system to ensure compliance with the working time directive <i>Karl Edwards</i> • Identify Gaps in Learning <i>Colette Black</i> • Training should be suitable for all learning types <i>Colette Black</i> 	In Progress	30/04/2022	50	
			Proposed		10	
			Proposed		10	

Review Comments

I have reviewed the risk assessment and recommend that we reduce the risk profile to 'medium low'. Our People Strategy is in place. We are entering the 3rd year of delivery of the People Strategy; delivery of the Strategy is overseen by our People Board. We remain on track and are delivering against the strategy. Of particular note when making the recommendation:

Leadership Development - We have invested in leadership development. 120 colleagues have accessed our leadership development programme in 2021. We have a further 360 places available across the next 3 years. Coaching continues to be offered to all. Institute of Leadership Management courses at levels 3 and 5 continue to be offered.

Managing our people - Appraisal completion rates are high as are the number of performance management cases. These are both good indicators of proactive performance management.

Assurance of competence - our new competence recording system, PRD Pro, is in place and has now been used for 7 months. Assurance is provided via training, verification and assessment. Assessment happens through a variety of methods including our Core Skills Assurance Programme which is now in phase 3.

Audit - our recent audit of Competency Management offered a substantial level of assurance.

Strategic Workforce Plan - we continue to utilise our Strategic Workforce Plan and review regularly. The data and recommendations in plan lead us to evidence based decision making about having the right people in the right place at the right time.

07/12/2021

