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| Meeting | Audit Committee | Agenda Item | 8a |
| Meeting Date | June 2023 | Report Number | 8a |
| Report Author: | Helen O'Sullivan | | |
| Presented By | Karl Edwards | | |
| Subject | Risk Report | | |
| Type of Report: | Information - Update | | |

1. PURPOSE OF REPORT

To provide the Audit Committee with the appropriate assurance that ECFRS is effectively managing the Service's Strategic Risks.

2. SERVICE STRATEGIC RISKS

There are a total of 14 strategic risks reported.

Red 0
Amber 7
Yellow 5
Green 0
Unassigned 2

Red Risks

There are no red risks to report for Q1.

3. CHANGES TO THE RISK REGISTER

All strategic risks are part of a continuous review through the Service Leadership Team (SLT) and the designated risk and control measure owners.

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.

Risk Score 9 (Amber)

The likelihood has been increased from unlikely to possible, increasing the over-all risk score from 6 (Yellow) to 9 (Amber), above the services risk appetite. This is due to

control measure 002 not being adequately fulfilled. We are actively treating this with a plan to rectify this underway as a matter of urgency.

002 Health and Safety Training and Competence as outlined in HSE65

The control measure has been moved from 75 percent complete to 50 percent complete and in progress.

This is due to a lapse in the training of operational personnel in IOSH which is required at Crew Manager Level.

In the short term, the Health and Safety team are working with Learning and Development to create online learning modules through learnpro/PDR pro which will allow all relevant managers access to the knowledge and assess their understanding. It is anticipated that the eLearning should be available by mid-July 2023.

In the Medium Term a priority list for IOSH training will be developed to allow the Service to start rolling out accredited IOSH training, this will require an additional funding from the essential learning reserves.

Long-term budgets will need to be amended to account for the ongoing cost of IOSH and mechanisms developed for the reporting and monitoring of Health and Safety Training.

4. SERVICE STRATEGIC RISK SUMMARY

There are strategic risk scores which remain the same within quarter one, three of which are above the services risk appetite of 8 (Amber).

SRR150001

As a result of ineffective financial and/or resource planning there is a risk that the Service does not deliver its core functions leading to it not providing value for money, not complying with financial Regulations, and/or failure to deliver a balanced budget.

Risk Score 12 (Amber)

There remains a budgetary gap due to the recent pay awards, the Productivity and Efficiency Board have now considered options to close the gap, with a paper due to go to the strategic board June 2023.

SRR150008

There is a risk that the Service is unable to effectively mobilise or communicate with our response resources and partner agencies.

Risk Score 12 (Amber)

The previously reported Issue with non-emergency telephony for the new systems is now resolved, we are currently awaiting delivery of emergency telephony for the new systems from the supplier.

Go live remains due at end of June 2023 and the project is on track.

SRR150009

There is a risk of a 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.

Risk Score 12 (Amber)

There have been 3 data breaches in the last 3 months all related to the use of SharePoint and OneDrive. One of the breaches (Major) was reported to the ICO, two were due to a lack of knowledge about the use of repository folders and folders in OneDrive.

The following actions have been proposed by the Deputy Data Protection Officer to support better use of data and technology with the aim of prevent a further occurrence of this type of breach. These are set out below:

Clear policy and guidance on who can set up and manage SharePoint Sites and Teams. This will support improved data management and enable informed decisions to be made regarding data storage.

It is recommended that 'Private' is the default set up for SharePoint sites with a minimum of two owners, any public sites should be put through an approval process.

It is clear from the information gathered during the investigation that there were breaches of ECFRS policy around the disclosure of sensitive information to colleagues. Management should ensure that employees are aware of the Data Protection Policies and where to report a potential breach.

Policy requirements for employees relating to data breaches needs to be strengthened. This includes wording which conveys the urgency of reporting a potential breach, as soon as they are aware that a potential breach has occurred.

Any data remaining in the W Drive should be reviewed by Information Asset Owners to determine whether it needs to be moved to SharePoint or securely destroyed.

Project Managers should ensure that project closure processes include a review of all project documentation and data with the aim of securely deleting any which is no longer necessary, retaining only that data which has some immediate or future value.

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.

Risk Score 9 (Amber)

Gap analysis is currently being undertaken on the recommendations made in the Values and Culture Report from HMICFRS, the risk will be reviewed following completion of the gap analysis.

SRR150031

There is a risk that without effective Cyber Security measures in place, we will be vulnerable to an attack causing harm or loss.

Risk Score 9 (Amber)

The risk causes and consequences were reviewed and amended by the Head of ICT on the 3 May 2023, the validity of risk date was also extended to the end of the financial year for 2023/24.

Control measures were reviewed and are correctly assigned.

SRR150032

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).

Risk Score 12 (Amber)

Controlled Risks

These risks are deemed to be low priority and below the services risk appetite level.

SRR150005

Due to a lack of investment and planning there is a risk that the Service does not develop and manage its 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.)

Risk Score 4 (Yellow)

The Human Resources Department has recently moved into Business Continuity Measures; however, it is not anticipated that this will impact delivery of the People Strategy which remains on target.

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.

Risk Score 4 (Yellow)

No notable changes to this risk, a workshop is planned with the Programme Management Board on the 14th June to consider how Strategic Risk and Control Management is supported by the service change programme.

SRR150020

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.

Risk Score 4 (Yellow)

The Operational Training Team are currently in business continuity due to a higher than usual level of sickness absence, additional resources are being brought into the team to support training delivery and as such the risk is under review.

SRR150026

Failure in the Services Information, Communication and Technology (ICT) Infrastructure, leading to intermittent or loss of service or current ways of working are not fit for purpose.

Risk Score 6 (Yellow)

Following a review with the Head of ICT and Risk Lead the risk description has been slightly amended, along with the causes and consequences to better represent the risk to the Service.

The Digital & Data Strategy has been extended to March 2026 and the Digital & Data Programme has delivered replacement VOIP (telephony) and, is in the final stages of delivery of a Software Defined Wide Area Network (SD-WAN) to provide improved performance across our estate, Applications and platforms are being replaced or modernised.

SRR150028

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.

Risk Score 6 (Yellow)

The following changes have been made in conjunction with the risk and control owners.

The Industrial Action Project Team and CRIS project control measures have been withdrawn as no longer relevant to managing this risk.

008 Effectively Manage, Prioritise, and ensure the availability of Core Stations.

The control measure will be enhanced with the completion of the Resource Management Unit and Crewing Policy. The working time solution is due to be adopted in September and will also enhance the availability and best use of our resources.

009 Risk Based Inspection Programme

The RBIP is progressing, and the programme has been revised to accommodate 87,000 properties up from 33,000. The programme has move from using FCEC to address based premium to ensure better accuracy in assessing properties.

The plan has been signed off by the Service Leadership Team and will be presented to the June Strategy Board. Progressing.

022 Review Services Response to MTA has been moved to Implemented from Progressing.

5. CURRENT RISK STATUS

Risk Map showing the distribution of strategic risk based on the combined risk score.

| | | | | | |
|-----------------|----------------------|--------------|--------------------|--------------|-----------------|
| Almost Certain | 0 | 0 | 0 | 0 | 0 |
| Likely | 0 | 0 | 2 | 0 | 0 |
| Possible | 0 | 1 | 3 | 2 | 0 |
| Unlikely | 0 | 2 | 2 | 0 | 0 |
| Rare | 0 | 0 | 0 | 0 | 0 |
| Unassigned 2 | Risk - Insignificant | Risk - Minor | Risk - Significant | Risk - Major | Risk - Critical |

Risk Score = Likelihood x Consequence

6. NEW STRATEGIC RISKS

Two new risks have been identified and added to the Strategic Risk Register, risk scoring and treatment plans to be added in due course.

SRR150033

There is a risk that we do not have the correct resources and systems in place to cope with the demands of increasingly hot and dry summers as a result of climate change inaction.

SRR150034

There is a risk that the Service does not implement with required timescales and sustain recommendations from external inquiries into similar organisations resulting in a failure to prevent a repeat of the mistakes highlighted and to restore public confidence.

7. RISK PROCESS AND GOVERNANCE

The Audit Committee Risk Register report is at Appendix A.
Finance Risk FIN0010 is at Appendix B.

8. OTHER RISK RELATED UPDATES

Departmental Risk FIN0010

The support for the finance system has been withdrawn, as such, an alternative system will need to be implemented to ensure that the service has a fully supported financial system. (This has been outlined in PFCC Decision Sheet 058-22, which was officially signed off 13th Jan 2023).

The outcome of the decision sheet will determine if the risk needs to be escalated to the strategic risk register from the finance risk register.

See Appendix B for FIN0010 Risk Report in detail.