



<b>Classification</b>	<b>Official</b>		
<b>Meeting</b>	<b>Performance and Resource Board</b>	<b>Agenda no.</b>	<b>15</b>
<b>Meeting Date</b>	<b>2 November 2023</b>		
<b>Report Authors</b>	<b>Helen O’Sullivan, Risk Lead</b>		
<b>Presented By</b>	<b>Moira Bruin, Deputy Chief Fire Officer</b>		
<b>Subject</b>	<b>Quarterly Risk Report</b>		
<b>Type of Report</b>	<b>Information</b>		
<b>Action Point No.</b>	<b>NA</b>	<b>For Publication</b>	<b>Yes</b>

### **RECOMMENDATION(S)**

None. This report is for information and provides an update on the changes made and progress with the Strategic Risk Register (SRR) over the quarter.

### **EXECUTIVE SUMMARY**

There are 15 risks on the Strategic Risk Register.

Red 0

Amber 9

Yellow 6

Green 0

9 risks are above the stated Risk Appetite Level, 0 have exceeded the Tolerance Level. There is one new risk to report:

SRR150035 identifies the risk of poor data quality on strategic decision making, the likelihood of this risk materialising has been assessed as likely, and the potential impact is significant. The total risk score is 12 (Amber).

SRR150019 has been reshaped to better reflect the risk to the Service of a workplace culture which is not supportive or inclusive, further information is contained within Appendix B.

Two risks have changed since the last quarter:

- SRR150009 has decreased from 20 (Red) to 9 (Amber)
- SRR150019 has decreased from 9 (Amber) to 4 Yellow

## BACKGROUND

### New Risks

There is one new risk.


<b>Risk Reference</b>	SRR150035	<b>Risk Owner</b>	Karl Edwards		
<b>Risk Description</b>					
Poor data quality will lead to poor decision making and impact on either cost, or safety of communities.					
<b>Residual Risk</b>	9	<b>Target Risk</b>	4	<b>Score Change</b>	No
<b>Risk Update</b>					
<p>Poor data quality refers to inaccuracies, incompleteness, inconsistencies, and unreliability in the data used for decision-making. This can arise from various factors such as data entry errors, outdated information, missing data, inconsistency of recording, lack of validation processes, and inadequate data governance.</p> <p>By proactively managing the risk of poor data quality through these strategies, the Service can improve their decision-making capabilities, enhance stakeholder experiences, and maintain compliance with data regulations, ultimately leading to improved overall performance and safer communities.</p>					
<b>Control Measures</b>				<b>Status</b>	<b>% Completed</b>
<b>Formation of Data Board</b> <i>Board to look at and discuss any and all changes to the data landscape including poor data quality. The board will make recommendations to other decision-making boards where appropriate and will advise IAOs on issues relating to them.</i>				In Progress	50
<b>Cyclical data quality checks on all datasets</b> <i>Carry out checks on all datasets using set dimensions such as Consistency, Uniqueness and Timeliness, then work with IAOs to improve data where necessary.</i>				In Progress	70
<b>Implement Data Quality Issues Process</b> <i>Implement a process whereby breaches in data quality can be reported and dealt with as quickly as possible.</i>				Implemented	80
<b>Service wide training and engagement</b> <i>A series of activities to improve understanding of the importance of data quality.</i>				In Progress	70


### Red Risks

There are no red risks to report for this quarter.

## Changing Risks

Two risks have changed this quarter SRR150009 and SRR150019

<b>Risk Reference</b>	SRR150009	<b>Risk Owner</b>	Karl Edwards		
<b>Risk Description</b>					
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.					
<b>Residual Risk</b>	9	<b>Target Risk</b>	4	<b>Score Change</b>	-11 
<b>Risk Update</b>					
<p>The risk score had previously increased as a result of the Service registering five data breaches, which all involved SharePoint, and concerned employees being able to access personal information in sites they shouldn't be able to access.</p> <p>Since this was last reported, the Information Governance Team has put the following mitigations in place to address the issues raised with SharePoint:</p> <ul style="list-style-type: none"> <li>• Commissioned an external review and audit of all information governance practises including a review of all SharePoint sites.</li> <li>• Obtained a list of all SharePoint sites with the associated owner of each site.</li> <li>• Produced a SharePoint policy and guidance for employees.</li> </ul> <p>As a result, the likelihood of this risk occurring has decreased from 'almost certain' to 'possible' and the Impact has decreased from 'Major' to 'Significant' lowering the Risk Score from 20 (Red) to 9 (Amber).</p>					
<b>Control Measures</b>			<b>Progress</b>	<b>% Completed</b>	
<b>Transparency and Accountability</b> <i>The Information Governance Board (IGB) Strategy was approved by the IGB in July, additional actions outlined in the Audit remain on-going</i>			In Progress	70	
<b>Training and Awareness</b> <i>The communication plan and staff guide remain to be completed.</i>			In progress	70	
<b>Data Protection Policy</b> <i>Approved by the Service Leadership Team and IGB, to be consulted with Rep bodies.</i>			In Progress	70	
<b>Contract with Information Governance Services</b>			Effective	100	
<b>Information Governance Officer (Agency)</b>			Effective	100	
<b>Records Management</b> <i>The RM project is in progress. A temporary resource has been approved to complete some actions.</i>			In Progress	70	
<b>Risk and Assurance</b>			In Progress	50	

<b>Risk Reference</b>	SRR150019	<b>Risk Owner</b>	Colette Black		
<b>Risk Description</b>					
<p><b>New:</b> The Service is committed to continuously developing a positive and kind culture where every employee has the right to be treated fairly, inclusively, with kindness, equality, dignity and respect. There is a risk that we fail to continuously develop a supportive and inclusive working environment to foster such a culture.</p>					
<b>Residual Risk</b>	4	<b>Target Risk</b>	3	<b>Score Change</b>	 -5
<b>Risk Update</b>					
<p>This risk has been fully reviewed. There is a new risk description which more accurately reflects the current risk, there are also new triggers and control measures articulated. The updated risk has been reviewed and approved by the SLT.</p> <p>The risk score has been re-assessed as part of the review, the Likelihood has decreased from Possible to Minor and the Impact has decreased from Significant to Minor, reducing the risk score from 9 (Amber) to 4 (Yellow).</p>					
<b>Control Measures</b>			<b>Status</b>	<b>% Completed</b>	
<b>Fire and Rescue Plan, IRMP and People Strategy all incorporate culture, inclusion, ethics, values and behaviours. Inclusion is stated as a 'top 10' priority.</b>			Effective	100	
<b>Positive action plan in place.</b>			Effective	100	
<b>Values and ethics are incorporated into recruitment and promotion processes.</b>			Effective	100	
<b>Succession plans include consideration of diversity.</b> <i>Targeted support is available to those who are underrepresented at more senior levels of the Service.</i>			In progress	50	
<b>Diversity and inclusion training advocates.</b>			Implemented	80	
<b>Training relating to ethics, values and behaviour.</b>			In progress	70	
<b>Monthly diversity reporting is in place.</b>			Implemented	80	
<b>People Impact Assessments are in place and are monitored regularly.</b>			In progress	70	
<b>External benchmarking, independent review and auditing.</b>			Implemented	90	
<b>Staff forum and/or inclusion groups.</b>			Implemented	90	
<b>Pulse surveys are used to check psychological safety.</b>			In progress	50	
<b>Consultation takes place through representative bodies and through line management.</b>			Effective	100	
<b>Managers Briefings, the Intranet and the Shout are used effectively.</b>			Effective	100	
<b>The People Strategy Board is in place and active.</b>			Effective	100	
<b>The 'Sharing Concerns' infographic is shared widely.</b>			Effective	100	

<b>Discipline and grievance data is regularly reviewed.</b>	Effective	100
<b>People Impact Assessments are reviewed through the Inclusion and Diversity Action Group.</b>	Effective	100
<b>People Polices are approved at People Strategy Board.</b>	In progress	70

### Risk Over Risk Appetite

<b>Risk Reference</b>	SRR150001	<b>Risk Owner</b>	Neil Cross		
<b>Risk Description</b>					
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.					
<b>Residual Risk</b>	<b>12</b>	<b>Target Risk</b>	<b>6</b>	<b>Score Change</b>	<b>No</b>
<b>Risk Update</b>					
The Authority is encountering some in year financial pressures which is largely due to unbudgeted pay awards. An in-year savings plan has been developed which will mitigate the impact of these pressures.					
Further to these pressures, the cost of On Call Firefighting Resource is currently creating additional pressures each month. If this pressure continues at the current rate, then the overspend in On Call Firefighting resource will result in a £1.2m overspend in year. There are sufficient level of general reserves to absorb this in year overspend, however this pressure is not sustainable.					
<b>Control Measures</b>			<b>Status</b>	<b>% Completed</b>	
<b>Scrutiny of Financial Management.</b>			Effective	100	
<b>Control of Capital and Revenue Spend.</b>			Effective	100	
<b>Strategic Planning for Fire and Rescue Plan and CRMP (Community Risk Management Plan).</b>			Effective	100	
<b>Insurance Arrangements and Associated Processes.</b> <i>Insurance currently going through the renewal period, process still in development.</i>			In Progress	70	
<b>Engagement with National Bodies.</b>			Effective	100	
<b>Scrutiny of the Medium-Term Financial Plan.</b>			Effective	100	
<b>Revised Procurement Practices.</b> <i>Monthly Procurement Dashboard summarises key procurement activity which is presented monthly to SLT and the Performance &amp; Resource Board</i>			Implemented	80	

<b>Risk Reference</b>	<b>SRR150008</b>	<b>Risk Owner</b>	<b>Karl Edwards</b>		
<b>Risk Description</b>					

There is a risk that the Service is unable to effectively mobilise or communicate with our response resources or partner agencies.					
<b>Residual Risk</b>	<b>8</b>	<b>Target Risk</b>	<b>4</b>	<b>Score Change</b>	<b>No</b>
<b>Risk Update</b>					
Following successful implementation of the new control system a review of SRR150008 is scheduled for November 2023 with the Head of Response and Head of ICT.					
<b>Control Measures</b>			<b>Status</b>	<b>% Completed</b>	
<b>Control Business Continuity Plan.</b>			Effective	100	
<b>Upgrade of 4i and ICT Infrastructure to allow updates.</b>			Effective	100	
<b>Procurement and delivery of new mobilising and ICCS System.</b>			Effective	100	
<b>Replacement of Station End Equipment.</b> <i>This project is on hold due to resource issues and other change priorities.</i>			Proposed	10	

<b>Risk Reference</b>	SRR150014	<b>Risk Owner</b>	Moira Bruin		
<b>Risk Description</b>					
There is a risk that through action or non-actions by the Service, there is a fatality (or serious injury to a member staff or the public.					
<b>Residual Risk</b>	<b>9</b>	<b>Target Risk</b>	<b>3</b>	<b>Score Change</b>	<b>No</b>
<b>Risk Update</b>					
The Managing Safely eLearning modules 1 and 2 became available on 13 <sup>th</sup> September, modules 3 and 4 followed on 11 <sup>th</sup> October. This was made available for station-based and control crew and watch managers (around 254 people). Current completion is as follows:					
Module 1 – Introducing Managing Safety – 90 people have completed. Module 2 – Assessing Risks – 74 people have completed. Module 3 – Controlling Risks – 32 people have completed. Module 4 – Understanding Responsibilities – 30 people have completed.					
Four IOSH in person training course are planned for the remainder of financial year 2023/24. A rationale and budget request to continue the training into the financial year (FY) 2024/25 is being completed for presentation to the Service Leadership Team.					
<b>Control Measures</b>			<b>Status</b>	<b>% Completed</b>	
<b>Health and Safety Training and Competence (HSE65).</b> Managing Safely Training is now being delivered in person for those identified on the priority list, and via eLearning for other employees.			In Progress	50	
<b>Incident Command Training.</b>			Effective	100	
<b>Develop Managers in the Principles of JESIP.</b>			Effective	100	

<b>Deliver training to all front-line crews in initial response to MTA.</b>	Effective	100
<b>Maintain an out of hours Fire Safety Officer process.</b>	Effective	100
<b>Compliance with section 11 audit process.</b>	Effective	100
<b>Monthly Procurement Dashboard</b> <i>Summarise all key procurement activity for the month. Presented monthly to SLT and to the PFCC via the P&amp;R Board</i>	In Progress	50
<b>Engage with ERF as a Key Partner.</b>	Effective	100
<b>Protecting our People.</b> <i>Project remains live</i>	In Progress	50

<b>Risk Reference</b>	SRR150031	<b>Risk Owner</b>	Karl Edwards		
<b>Risk Description</b>					
There is a risk that without effective Cyber Security measures in place, we will be vulnerable to an attack causing harm or loss.					
<b>Residual Risk</b>	<b>9</b>	<b>Target Risk</b>	<b>4</b>	<b>Score Change</b>	<b>No</b>
<b>Risk Update</b>					
Strategic risk causes and consequences reviewed and amended, validity of risk extended to end FY 23/24. Control measures remain with Stuart Antcliff to manage.					
<b>Control Measures</b>			<b>Progress</b>	<b>% Completed</b>	
<b>Training for all employees</b> <i>Planning of a phishing campaign is underway but resource constraints present challenges to completion.</i>			In Progress	70	
<b>Security and Data Breach Incident Management</b> <i>Contained within Cyber Plan.</i>			Closed	100	
<b>Server Security</b> <i>We have some servers reaching end of support life. These need addressing, once complete this will move to Effective (100%).</i>			In Progress	50	
<b>Hosted and Cloud Services</b> <i>Some areas of the Service still rely on RDS to access systems, work ongoing.</i>			In progress	50	
<b>Firewalls</b> <i>Full refresh completed this year. New control firewalls and new VMB managed Palo Alto firewalls to protect servers.</i>			Effective	100	
<b>Vulnerability Management</b> <i>On-premises products have been scanned - strategies will be required for the ongoing cloud workloads as we start to create them.</i>			Implemented	80	
<b>Anti – Virus</b>			Effective	100	
<b>Privilege Identity Management</b> <i>A considered solution needs developing and deploying; however, this is now on hold due to resource constraints and other priorities.</i>			In Progress	50	

<b>Disaster Recovery (DR) and Business Continuity Planning</b> <i>DR paper exercise performed, planning underway for a more significant exercise to fully test DR plan</i>	In Progress	50
<b>Back up on premises and to cloud</b>	Effective	100
<b>Secure Websites</b> <i>Considerable progress has been made but there are still some to decommission.</i>	In Progress	50
<b>Cyber Insurance</b>	Effective	100
<b>Cyber Essentials</b> <i>Assessment conducted by Cyber Essentials, recommendations to be addressed.</i>	In Progress	50
<b>Cyber Plan</b> <i>Tested 18 months ago, three-year test plan.</i>	Effective	100

<b>Risk Reference</b>	SRR150032	<b>Risk Owner</b>	Karl Edwards		
<b>Risk Description</b>					
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).					
<b>Residual Risk</b>	<b>12</b>	<b>Target Risk</b>	<b>4</b>	<b>Score Change</b>	<b>No</b>
<b>Risk Update</b>					
15 Site Surveys have been completed and approval given that there are no issues that might prevent us moving ahead.					
Royal Institute of British Architects (RIBA) stage 3 application for planning permission is underway and Outline Business Case (OBC) due to be presented to the Commissioner Dec 2023.					
Government change of use for Wethersfield may provide an extension to the original date of 2025 to vacate the site.					
<b>Control Measures</b>			<b>Progress</b>	<b>% Completed</b>	
<b>Ongoing conversations with the Defence Infrastructure Organisation (DIO).</b>			Implemented	80	
<b>Planning for the potential site closure includes feasibility study.</b>			Implemented	80	
<b>Appropriate project resources are allocated to the training facilities project.</b>			In Progress	50	
<b>Business Continuity Plan</b> <i>Enables temporary delivery of hot fire training for those who are highest priority.</i>				80	



<b>Risk Reference</b>	SRR150033	<b>Risk Owner</b>	Moira Bruin		
<b>Risk Description</b>					
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.					
This includes, wildfires, flash flooding and drought conditions.					
<b>Residual Risk</b>	<b>9</b>	<b>Target Risk</b>	<b>2</b>	<b>Score Change</b>	<b>No</b>
<b>Risk Update</b>					
The following actions from the August report have now been completed:					
<ul style="list-style-type: none"> <li>• Additional signage for the roof of all appliances</li> <li>• Improve CIT resilience by involving additional green/grey book employees.</li> <li>• Additional processes for using imagery from drones/helicopter in the Control room and on the incident ground.</li> <li>• Develop in conjunction with finance a system to record the financial implications of heatwaves over the summer period.</li> <li>• CIT Power App to simplify the current recording process.</li> <li>• Severe Weather Plan tested 9<sup>th</sup> October via a tabletop exercise. Alterations planned based on feedback, to be submitted to SLT in November.</li> </ul>					
Planned Actions					
<ul style="list-style-type: none"> <li>• Work alongside National leaders in Wildfire, Northumbria Fire and Rescue Service, to develop a Wildfire Plan for Essex.</li> <li>• Draft Wildfire Plan in development to be peer reviewed by Northumbria.</li> <li>• Plan for Multi-Agency Exercise in March 2024 to test against Heatwave and Wildfires Plans.</li> <li>• Working towards Site-Specific Wildfire Plans for Essex locations e.g Epping Forest.</li> </ul>					
Risk Score to be reviewed November 2023.					
<b>Control Measures</b>			<b>Status</b>	<b>% Completed</b>	
<b>Heatwave Plan</b>			Effective	100	
<b>Heatwave Assurance Group</b>			Effective	100	
<b>Equipment's and Assets for heatwaves</b>			Effective	100	
<b>Training</b>			Implemented	80	
<b>Stakeholder Engagement</b>			Effective	100	
<b>Policies and Procedures</b>			Implemented	80	

<b>Risk Reference</b>	SRR150034	<b>Risk Owner</b>	Moira Bruin		
<b>Risk Description</b>					
There is a risk that the Service does not implement within 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.					
<b>Residual Risk</b>	<b>9</b>	<b>Target Risk</b>	<b>4</b>	<b>Score Change</b>	<b>No</b>
<b>Risk Update</b>					
The Final draft of the Grenfell Transition to Business as Usual (BAU) report, is due to be submitted to the Project Management Board for agreement on the 19 <sup>th</sup> November, following which, the BAU plans will be added to the risk as control measures.					
<b>Control Measures</b>				<b>Status</b>	<b>% Completed</b>
<b>Grenfell Inquiry Phase 1</b>				<b>Implemented</b>	<b>80</b>
<b>Manchester Arena Inquiry Phase 2</b>				<b>In Progress</b>	<b>50</b>
<b>HMICFRS Spotlight Report</b>				<b>In Progress</b>	<b>50</b>

## OPTIONS AND ANALYSIS

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	5	1	0
Unlikely	0	3	2	1	0
Rare	0	0	0	0	0
Unassigned 0	Risk - Insignificant	Risk - Minor	Risk - Significant	Risk - Major	Risk - Critical

## LINKS TO FIRE AND RESCUE PLAN

All risks are linked to the priorities contained within the Fire and Rescue Plan.

## FINANCIAL IMPLICATIONS

Non-compliance with the regulations related to specific risks may result in additional costs to the service through unplanned mitigations, fines, and possible liability claims from individuals.

## LEGAL IMPLICATIONS

Non-compliance with legal obligations could bring about additional scrutiny on the Service, regulatory action, and possible liability claims from individuals.

## STAFFING IMPLICATIONS

Staff should be aware of their responsibilities to support the Service in meeting its regulatory obligations and supported to do so through regular communication and training.

## **EQUALITY AND DIVERSITY IMPLICATIONS**

The actions being taken will not have a disproportionate impact on individuals with protected characteristics (as defined within the Equality Act 2010), when compared to all other individuals and will not disadvantage people with protected characteristics.

Race	N	Religion or belief	N
Sex	N	Gender reassignment	N
Age	N	Pregnancy & maternity	N
Disability	N	Marriage and Civil Partnership	N
Sexual orientation	N		

The Core Code of Ethics Fire Standard has been fully considered and incorporated into the proposals outlined in this paper.

## **HEALTH AND SAFETY IMPLICATIONS**

The Service has a legal obligation to keep employees, the public and partners safe, by ensuring that responsible persons have knowledge of workplace hazards and are equipped to identify and prevent Health and Safety incidents occurring.

Not ensuring that employees are trained at the appropriate level needed to safely carry out their role, could put our people and the public at increased risk of harm.

In the event of a preventable incident occurring the Service could be found to be in breach of its obligations as an employer.

## **CONSULTATION AND ENGAGEMENT**

Internal consultation with relevant leads and subject matter experts.

## **FUTURE PLANS**

Revised Risk Management Guidance to be produced by 15th November 2023 and present to Health and Safety Welfare and Strategy Group.

## **LIST OF BACKGROUND PAPERS AND APPENDICES**

Appendix A – Full Risk Report

Appendix B – Review of SRR150019