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

Meeting	Audit Committee	Agenda Item	
Meeting Date	December 2023	**Report Number**	
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 8
Yellow 6
Green 0

In addition:
- There are no red risks to report this quarter.
- Two risks have changed SRR2150009 and SRR150019
- A new risk has been added SRR150035 around data quality.
- Full Risk Register contained with Appendix A

3. CHANGES TO THE RISK REGISTER

Risk Reference	SRR150009	Risk Owner	Karl Edwards		
Risk Description					
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.					
Residual Risk	9	**Target Risk**	4	**Score Change**	↘ -11
Risk Update					

The risk score had previously increased (28th of July) to 20 (Red) due to the Service registering five data breaches, all of which involved SharePoint, and employees being able to access personal information in sites they shouldn't be able to access.

Since then, the Information Governance Team has put the following mitigations in place to address the issues raised with SharePoint:

- Commissioned an external review and audit of all information governance practises including a review of all SharePoint sites.
- Obtained a list of all SharePoint sites with the associated owner of each site.
- Produced a SharePoint policy and guidance for employees.
- Extraordinary Information Governance Board held on 20th November to work through additional recommendations.

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).

Control Measures	Progress	% Completed
Transparency and Accountability *The Information Governance Board (IGB) Strategy was approved by the IGB in July, additional actions outlined in the Audit remain on-going*	In Progress	70
Training and Awareness *The communication plan and staff guide remain to be completed.*	In progress	70
Data Protection Policy *Approved by the Service Leadership Team and IGB, to be consulted with Rep bodies.*	In Progress	70
Contract with Information Governance Services	Effective	100
Information Governance Officer (Agency)	Effective	100
Records Management *The RM project is in progress. A temporary resource has been approved to complete some actions.*	In Progress	70
Risk and Assurance	In Progress	50

Risk Reference	SRR150019	Risk Owner	Colette Black
Risk Description			

New: 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.

Residual Risk	4	Target Risk	3	Score Change	↘ -5

Risk Update

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.

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).

Control Measures	Status	% Completed
Fire and Rescue Plan, IRMP and People Strategy all incorporate culture, inclusion, ethics, values and behaviours. Inclusion is stated as a 'top 10' priority.	Effective	100
Positive action plan in place.	Effective	100
Values and ethics are incorporated into recruitment and promotion processes.	Effective	100
Succession plans include consideration of diversity. *Targeted support is available to those who are underrepresented at more senior levels of the Service.*	In progress	50
Diversity and inclusion training advocates.	Implemented	80
Training relating to ethics, values and behaviour.	In progress	70
Monthly diversity reporting is in place.	Implemented	80
People Impact Assessments are in place and are monitored regularly.	In progress	70
External benchmarking, independent review and auditing.	Implemented	90
Staff forum and/or inclusion groups.	Implemented	90
Pulse surveys are used to check psychological safety.	In progress	50
Consultation takes place through representative bodies and through line management.	Effective	100
Managers Briefings, the Intranet and the Shout are used effectively.	Effective	100
The People Strategy Board is in place and active.	Effective	100

4. SERVICE STRATEGIC RISK SUMMARY

There are four risks sitting above the services risk appetite.

Risk Reference	SRR150001	Risk Owner	Neil Cross
Risk Description			
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.			

Residual Risk	12	Target Risk	6	Score Change	No

Risk Update

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.

Control Measures	Status	% Completed
Scrutiny of Financial Management.	Effective	100
Control of Capital and Revenue Spend.	Effective	100
Strategic Planning for Fire and Rescue Plan and CRMP (Community Risk Management Plan).	Effective	100
Insurance Arrangements and Associated Processes. *Insurance currently going through the renewal period, process still in development.*	In Progress	70
Engagement with National Bodies.	Effective	100
Scrutiny of the Medium-Term Financial Plan.	Effective	100
Revised Procurement Practices. *Monthly Procurement Dashboard summarises key procurement activity which is presented monthly to SLT and the Performance & Resource Board*	Implemented	80

Risk Reference	SRR150008	Risk Owner	Karl Edwards
Risk Description			
There is a risk that the Service is unable to effectively mobilise or communicate with our response resources or partner agencies.			

Residual Risk	8	Target Risk	4	Score Change	No

Risk Update

Following successful implementation of the new control system a workshop is planned to review and re-structure SRR150008 in early 2024.

Control Measures	Status	% Completed
Control Business Continuity Plan.	Effective	100
Upgrade of 4i and ICT Infrastructure to allow updates.	Effective	100
Procurement and delivery of new mobilising and ICCS System.	Effective	100
Replacement of Station End Equipment. *This project is on hold due to resource issues and other change priorities.*	Proposed	10

Risk Reference	SRR150014	Risk Owner	Moira Bruin
Risk Description			
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.			

Residual Risk	9	Target Risk	3	Score Change	No

Risk Update

The Managing Safely eLearning modules 1 and 2 became available on 13th September, modules 3 and 4 followed on 11th 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 reminder 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.

Control Measures	Status	% Completed
Health and Safety Training and Competence (HSE65). 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
Incident Command Training.	Effective	100
Develop Managers in the Principles of JESIP.	Effective	100

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

Risk Reference	SRR150031	Risk Owner	Karl Edwards	
Risk Description				
There is a risk that without effective Cyber Security measures in place, we will be vulnerable to an attack causing harm or loss.				
Residual Risk	9	**Target Risk**	4	**Score Change**	No
Risk Update				
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.				

Control Measures	Progress	% Completed
Training for all employees *Planning of a phishing campaign is underway but resource constraints present challenges to completion.*	In Progress	70
Security and Data Breach Incident Management *Contained within Cyber Plan.*	Closed	100
Server Security *We have some servers reaching end of support life. These need addressing, once complete this will move to Effective (100%).*	In Progress	50
Hosted and Cloud Services *Some areas of the Service still rely on RDS to access systems, work ongoing.*	In progress	50
Firewalls *Full refresh completed this year. New control firewalls and new VMB managed Palo Alto firewalls to protect servers.*	Effective	100
Vulnerability Management *On-premises products have been scanned - strategies will be required for the ongoing cloud workloads as we start to create them.*	Implemented	80
Anti – Virus	Effective	100
Privilege Identity Management	In Progress	50

A considered solution needs developing and deploying; however, this is now on hold due to resource constraints and other priorities.		
Disaster Recovery (DR) and Business Continuity Planning *DR paper exercise performed, planning underway for a more significant exercise to fully test DR plan*	In Progress	50
Back up on premises and to cloud	Effective	100
Secure Websites *Considerable progress has been made but there are still some to decommission.*	In Progress	50
Cyber Insurance	Effective	100
Cyber Essentials *Assessment conducted by Cyber Essentials, recommendations to be addressed.*	In Progress	50
Cyber Plan *Tested 18 months ago, three-year test plan.*	Effective	100

Risk Reference	SRR150032	Risk Owner	Karl Edwards

Risk Description

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).

Residual Risk	12	Target Risk	4	Score Change	No

Risk Update

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.

Control Measures	Progress	% Completed
Ongoing conversations with the Defence Infrastructure Organisation (DIO).	Implemented	80
Planning for the potential site closure includes feasibility study.	Implemented	80
Appropriate project resources are allocated to the training facilities project.	In Progress	50
Business Continuity Plan *Enables temporary delivery of hot fire training for those who are highest priority.*	Implemented	80

Risk Reference	SRR150033	Risk Owner	Moira Bruin

Risk Description

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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.

Residual Risk	9	Target Risk	2	Score Change	No

Risk Update

The following actions from the August repot have now been completed:
- Additional signage for the roof of all appliances
- Improve CIT resilience by involving additional green/grey book employees.
- Additional processes for using imagery from drones/helicopter in the Control room and on the incident ground.
- Develop in conjunction with finance a system to record the financial implications of heatwaves over the summer period.
- CIT Power App to simplify the current recording process.
- Severe Weather Plan tested 9th October via a tabletop exercise. Alterations planned based on feedback, to be submitted to SLT in November.

Planned Actions
- Work alongside National leaders in Wildfire, Northumbria Fire and Rescue Service, to develop a Wildfire Plan for Essex.
- Draft Wildfire Plan in development to be peer reviewed by Northumbria.
- Plan for Multi-Agency Exercise in March 2024 to test against Heatwave and Wildfires Plans.
- Working towards Site-Specific Wildfire Plans for Essex locations e.g Epping Forest.

Control Measures	Status	% Completed
Heatwave Plan	Effective	100
Heatwave Assurance Group	Effective	100
Equipment's and Assets for heatwaves	Effective	100
Training	Implemented	80
Stakeholder Engagement	Effective	100
Policies and Procedures	Implemented	80

Risk Reference	SRR150034	Risk Owner	Moira Bruin

Risk Description

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.

Residual Risk	9	Target Risk	4	Score Change	No

Risk Update

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 19th November, following which, the BAU plans will be added to the risk as control measures.

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Control Measures	Status	% Completed
Grenfell Inquiry Phase 1	**Implemented**	**80**
Manchester Arena Inquiry Phase 2	**In Progress**	**50**
HMICFRS Spotlight Report	**In Progress**	**50**

5. CURRENT RISK STATUS

Risk Map

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

	Risk - Insignificant	Risk - Minor	Risk - Significant	Risk - Major	Risk - Critical
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**					

6. NEW STRATEGIC RISKS

There is one new risk to report this quarter:

Risk Reference	SRR150035	Risk Owner	Karl Edwards		
Risk Description					
Poor data quality will lead to poor decision making and impact on either cost, or safety of communities.					
Residual Risk	12	**Target Risk**	4	**Score Change**	No
Risk Update					
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. 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.					

Control Measures	Status	% Completed
Formation of Data Board *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.*	In Progress	50
Cyclical data quality checks on all datasets *Carry out checks on all datasets using set dimensions such as Consistency, Uniqueness and Timeliness, then work with IAOs to improve data where necessary.*	In Progress	70
Implement Data Quality Issues Process *Implement a process whereby breaches in data quality can be reported and dealt with as quickly as possible.*	Implemented	80
Service wide training and engagement A series of activities to improve understanding of the importance of data quality.	In Progress	70

7. RISK PROCESS AND GOVERNANCE

The Risk Scoring Methodology has been reviewed and updated and Risk Guidance created to compliment the Risk Strategy.

Corporate Services are working with the Risk Lead to identify existing, new or emerging risks and log these on their respective departmental risk registers.

8. OTHER RISK RELATED UPDATES

The Strategic risks contained in the table below are within risk appetite and deemed to be 'controlled'.

Ref	Risk Event	Residual	Target	Risk Owner
SRR150011	There is a risk that the service in unable to deliver the programme of change need to ensure ECFRS is able to respond to changes in the risk environment and remain future fit, leading to inability to meet the commitments set out in the Fire and Rescue Plan, CRMP and meet its legislative obligations.	6	4	Rick Hylton
SRR150026	Failure of the Service's Information, Communication and Technology (ICT) platforms and/or infrastructure, leading to intermittent or complete loss of service.	6	4	Karl Edwards
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.	6	2	Andy Smith

SRR150005	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.)	4	4	Colette Black
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.	4	4	Colette Black