

## Risk Assessment with Risk and Control Updates V4

### Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Assessment	Target Risk Assessment				
<b>SRR150001</b> If we have a large or unexpected loss in our income or cash there is a risk that we will have to reduce the level of prevention, protection and response services we provide to our communities.  <b>Type of risk</b> Financial / Income	Reduction in Government funding - Loss of £8m of RSG by 2020 Fraud Loss of cash through banking failure Reduction in National Non-Domestic rates	Temporary reductions in non-core spend and investment Prosecution Short term borrowing to fund expenditure Service reductions - 2020 Programme	Risk - Medium High <b>10</b>	Risk - Medium High <b>10</b>	<b>Next Review Date</b>	<b>Last Review Date</b>	<b>Days Overdue</b>	<b>Risk Owner</b>
			Impact/Consequence Likelihood 5	Impact/Consequence Likelihood 5	27/12/2016	27/06/2016	0	Mike Clayton

#### Risk Review Update

Review Summary: Authority plans to agree service changes agreed in June 2016

If we have a large or unexpected loss in our income or cash there is a risk that we will have to reduce the level of prevention, protection and response services we provide to our communities. Updated on 03/12/2015 12:20:09

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
<b>SRR150001/001</b> Governance	Review Summary: Governance arrangements under review by Service solicitor, report to members in September 2016. Internal audit plan 2016-17 approved by Audit Governance and Review committee July 2016.  Governance Updated on 25/07/2016 09:51:50	Effective		100	0	25/10/2016	Glenn McGuinness
<b>SRR150001/002</b> Spend Management	Review Summary: Members agreed Service option 2 at meeting on 8th June, more detailed implementation plan being developed and will be submitted to members in September 2016.  Spend Management Updated on 25/07/2016 09:54:25	Effective		100	0	25/10/2016	Glenn McGuinness

Risk Assessment with Risk and Control Updates V4

<b>SRR150001/003</b> Communications	Review Summary: Updated communications plan to the Programme Board in September.  Communications Updated on 15/09/2016 16:05:51	Effective		100	0	15/03/2017	Ben Pilkington
--	--	-----------	--	-----	---	------------	----------------

## Risk Assessment with Risk and Control Updates V4

### Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Assessment	Target Risk Assessment				
<b>SRR150002</b> If we have a significant failure, loss or reduction of our physical infrastructure or resources (including our people) there is a risk that we will not deliver the same level of prevention, protection and response services to our  <b>Type of risk</b> Organisational Infrastructure	Denial of Premises Loss of supporting infrastructure or services (ICT, Water etc.) Critical staff shortage or strike Major incident Loss of appliances or equipment Cyber attack Loss of support staff through uncertainty over roles Loss of staff because of market pay variations	Process delays and contact difficulties for public and colleagues Short term loss of use of premises or systems Appliances unavailable, routine activities curtailed, training delayed Senior managers and decision makers unavailable Cost of business continuity or asset replacement Lower levels of appliance availability during strike periods	Risk - High	Risk - Medium High	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			15	9				
			Impact/Consequence Likelihood 5	Impact/Consequence Likelihood 3	08/11/2016	08/08/2016	0	Dave Bill

#### Risk Review Update

Review Summary: The next phase of the management review will address areas where the Service is currently carrying vacancies. The Service continues to provide a high level of service through its prevention, protection and response initiatives, but will need to have the new structure in place in order to deliver against its 2020 and IRMP objectives.

If we have a significant failure, loss or reduction of our physical infrastructure or resources (including our people) there is a risk that we will not deliver the same level of prevention, protection and response services to our communities. Updated on 09/05/2016 16:35:35

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
<b>SRR150002/001</b> Physical Security	Review Summary: Discussions are in progress with the awareness advisors from the anti terrorist group within Essex Police. Project Argos and Griffin provide background knowledge and awareness.  Physical Security Updated on 31/05/2016 11:44:42	Effective		100	0	02/01/2017	Jon Doherty

## Risk Assessment with Risk and Control Updates V4

<b>SRR150002/002</b> Network Resilience	Review Summary: Secondary bearers are now in place for KP, East and West command and the Control DR site at Ongar. All points of significant infrastructure are therefore covered  Secondary Bearers Updated on 28/01/2016 14:21:02	Effective		100	0	01/01/2017	Jan Swanwick
<b>SRR150002/003</b> HR Arrangements	Review Summary: This control measure is complete.  HR Arrangements Updated on 22/07/2016 13:39:43	Effective		100			Caroline Cotterell
<b>SRR150002/004</b> Resilience	Review Summary: Resilience plans remain effective  Resilience Updated on 18/10/2016 08:43:05	Effective		100	0	18/01/2017	Caroline Cotterell
<b>SRR150002/005</b> ICT Security	Review Summary: Lack of Security Officer is increasing this risk  ICT Security Updated on 15/08/2016 11:03:31	In Progress		80	0	15/11/2016	Jan Swanwick

## Risk Assessment with Risk and Control Updates V4

### Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Assessment	Target Risk Assessment				
<b>SRR150003</b> If there is a loss of public or stakeholder confidence in the Service there is a risk that we will not be able to engage effectively with our communities, which will impact on our ability to deliver our services.  <b>Type of risk</b> Safer Communities & Public Awareness	Negative publicity over 2020 changes Very badly managed operational incident Poor corporate leadership across the Service Continued exposure of themes identified in Lucas review Thomas review into National Terms and Conditions A poor official report from an external source on policies and procedures indicating single points of failure, such as safeguarding	Reputational damage Intervention by Secretary of State Reduced and reducing efficiency and staff morale, and ability to deliver services with decline in performance Poor or deteriorating relations with other emergency services Additional costs to support required changes in culture	Risk - High  <div>15</div>	Risk - Medium High  <div>8</div>	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact/Consequence Likelihood 3	Impact/Consequence Likelihood 2	26/12/2016	26/09/2016	0	Adam Eckley

#### Risk Review Update

Review Summary: I have completed a review of this risk and amended some of the triggers and consequences.

If there is a loss of public or stakeholder confidence in the Service there is a risk that we will not be able to engage effectively with our communities, which will impact on our ability to deliver our services. Updated on 21/01/2016 09:56:10

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
<b>SRR150003/001</b> Governance arrangements	Review Summary: Control in place and effective  Governance arrangements Updated on 27/06/2016 09:29:04	Implemented	£150,000 £400,000	100	0	27/12/2016	Mike Clayton
<b>SRR150003/002</b> Performance Reporting to identify negative trends/poor performance	Review Summary: Proposals for service measure presented to Policy & Strategy Committee October 2016  Performance Reporting to identify negative trends/poor performance Updated on 18/10/2016 08:48:52	Implemented		60	0	11/11/2016	Tracy King

## Risk Assessment with Risk and Control Updates V4

<b>SRR150003/003</b> Inter-Service Liaison	<p>Review Summary: regular meeting are in place with EEAS. PA Consulting are currently putting together a business case for future governance arrangements with the PPC/FA which includes a number of work streams.</p> <p>Inter-Service Liaison Updated on 20/07/2016 09:17:06</p>	Under Review		100	0	20/10/2016	Dave Bill
<b>SRR150003/004</b> Expert Advisory Panel	<p>Review Summary: Interim progress report by Sir Ken Knight received by the Authority in September 2016. Good progress being made. Role of panel to continue but with less frequent meetings.</p> <p>Expert Advisory Panel Updated on 17/10/2016 09:09:37</p>	Implemented	£200,000 £400,000	100	0	17/01/2017	Mike Clayton
<b>SRR150003/005</b> Staff Engagement	<p>Review Summary: 2016 staff engagement survey planned</p> <p>Staff Engagement Updated on 18/10/2016 08:52:58</p>	Implemented		100	0	18/01/2017	Mark Stagg
<b>SRR150003/006</b> Departmental structures	<p>Review Summary: with the removal of the 3 WT appliance we are looking to rebalance resources in order to enhance our prevention and protection work.</p> <p>Departmental structures Updated on 12/10/2016 08:05:45</p>	Proposed		100	0	05/11/2016	Dave Bill

## Risk Assessment with Risk and Control Updates V4

### Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Assessment	Target Risk Assessment				
<b>SRR150004</b> If our governance processes are ineffective there is a risk that we may not be able to engage effectively with partners or we may misalign resources to need and may comprise safety in the delivery of our services to our communities.  <b>Type of risk</b> Legal / Regulatory / Compliance	Lack of Member engagement Poor financial management Lack of budgetary control Poor corporate leadership across the Service and down through the management structure Judicial Review challenge to an Authority decision Governance change to Police and Crime Commissioner	Poor Internal and External Audit reports Loss of Elected Member confidence Loss of public, partner and stakeholder confidence Potential breach of legislation or statutory duty	Risk - Medium High <b>9</b>	Risk - Medium Low <b>6</b>	<b>Next Review Date</b>	<b>Last Review Date</b>	<b>Days Overdue</b>	<b>Risk Owner</b>
			Impact/Consequence Likelihood 3	Impact/Consequence Likelihood 2	13/12/2016	13/06/2016	0	Mike Clayton

#### Risk Review Update

Review Summary: Major decisions on 2020 programme made by Members after extensive public consultation. Work with SOLACE consultants to map out the role of Members and bring forward proposals for Member development.

If our governance processes are ineffective there is a risk that we may not be able to engage effectively with partners or we may misalign resources to need and may comprise safety in the delivery of our services to our communities. Updated on 16/11/2015 10:22:56

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner

## Risk Assessment with Risk and Control Updates V4

<b>SRR150004/001</b> Governance	Review Summary: Review Summary: 1. Fire Authority constitution under review 2016. 2. Financial Regs up to date next review March 2017. 3. Members training underway Spring 2016 with SOLACE. 4. Governance review proposals requested by members - May 2017. 5. Senior Management review nearing completion consultation ends mid May 2016, some changes already implemented. Phase 2 by early 2017 6. Appraisal for senior staff completed April 2016.  Governance  Governance Updated on 28/07/2016 16:11:46	Effective		100	0	28/10/2016	Glenn McGuiness
<b>SRR150004/002</b> Operational governance	Review Summary: The Service's IRMP went through the FA meeting in June, and the Service's strategy goes to the September FA meeting as does the timescales for the management review which will ensure that resources are aligned to areas of most need.  Operational governance	Under Review		75	0	01/11/2016	Dave Bill
<b>SRR150004/003</b> Communications	Review Summary: Control effective  Communications Updated on 18/10/2016 08:51:59	Effective		100	0	18/01/2017	Emily Osborne

## Risk Assessment with Risk and Control Updates V4

### Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Assessment	Target Risk Assessment				
<b>SRR150005</b> If we do not have motivated and engaged people with the right skills and competencies there is a risk that we will be unable to innovate and deliver safe and effective services to our communities.  <b>Type of risk</b> Organisational Learning & Knowledge Management	Unable to recruit key specialist staff into the Authority as an employer of choice Uncertainty around future employment conditions and shape/size of the Authority Poor career planning and individual development Representative bodies in dispute with the Authority Pay rates not reflective of market	Higher costs of interim and temporary staff Higher levels of sickness and absence Lack of skilled and experienced key employees to deliver the Service strategy Lack of flexibility in service delivery	Opportunity - Considerable <b>12</b>	Risk - Medium High <b>9</b>	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact/Consequence Likelihood 4	Impact/Consequence Likelihood 3	19/12/2016	19/09/2016	0	Mark Stagg

#### Risk Review Update

Review Summary: Staff engagement survey for 2016 currently under design plus communications strategy surrounding actions taken since last survey

If we do not have motivated and engaged people with the right skills and competencies there is a risk that we will be unable to innovate and deliver safe and effective services to our communities. Updated on 18/04/2016 10:54:25

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
<b>SRR150005/001</b> Staff Engagement	Review Summary: 2016 staff engagement survey planned  Staff Engagement Updated on 18/10/2016 08:51:03	Under Review		80	0	18/01/2017	Caroline Cotterell

## Risk Assessment with Risk and Control Updates V4

<b>SRR150005/002</b> Budget	Review Summary: Monthly Finance reports and meetings with budget holders ensure budgets are closely monitored on a monthly basis, substantial internal audit assurance on budget management. Virements will be assessed as part of 2016-17 budget revision following decision of members to go for option 2 at EFA meeting on 8th June  Budget Updated on 25/07/2016 09:49:49	Effective		100	0	25/10/2016	Glenn McGuiness
--------------------------------	--	-----------	--	-----	---	------------	-----------------

## Risk Assessment with Risk and Control Updates V4

### Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Assessment	Target Risk Assessment				
<b>SRR150006</b> If we are able to react in an agile way to changes in our environment there is an opportunity to identify new and effective ways to deliver our services.  <b>Type of risk</b> Organisational Learning & Knowledge Management	Focus on wider role in supporting partners in meeting their objectives Changes to funding arrangements Technological advances	Improve our organisational culture Improved communications with partners, stakeholders and the public Improved and intelligent use of data	Opportunity - Marginal 6	Opportunity - Substantial 20	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact/Consequence Likelihood 2	Impact/Consequence Likelihood 4	12/01/2017	12/10/2016	0	Dave Bill

#### Risk Review Update

Review Summary: The review of the management structure will be important in ensuring that the Service can identify opportunities and adequate resources to maximise opportunity.

If we are able to react in an agile way to changes in our environment there is an opportunity to identify new and effective ways to deliver our services. Updated on 11/07/2016 14:51:31

Control Measure	Control Review Update	Status	Cost to Date Est. Cost	% Complete	Days Overdue	Review Date	Control Owner
<b>SRR150006/001</b> Development of a strategic approach to knowledge management		In Progress		25	0	17/01/2017	Mark Stagg