

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017 NAME: Adam Eckley
SERVICE: Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Risk Assessment	Target Risk Assessment				
SRR150001 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. Risk Status: Tolerate Type of risk 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 10	Risk - Medium High 10	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact/Consequence Likelihood 5	Impact/Consequence Likelihood 5	22/06/2017	22/12/2016	0	Mike Clayton

Risk Review Update

Review Summary: 2020 efficiency plan accepted by Govt, so certainty of govt funding to 2019/20. 1.8% increase in tax base for 2017/18 - 0.3% higher than expected.

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 27/06/2016 09:33:42

Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Governance	Review Summary: Governance under review 2016, internal audit review scheduled Jan 2017. Governance Updated on 26/10/2016 15:59:52	Effective		100	0	26/01/2017	Glenn McGuinness

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017

NAME: Adam Eckley

Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Spend Management	<p>Review Summary: Members approved restructure plans re project 2020 option 2 in June 2016. Medium term financial plan through 2020 to ensure financial sustainability approved by members 21/9/16. Funding of reorganisation costs will be met from cash backed reserves following sales of Hutton for £8.4m in May 2016. Budget setting and control will be based on medium term financial plans.</p> <p>Spend Management Updated on 26/10/2016 15:58:58</p>	Effective		100	0	26/01/2017	Glenn McGuinness
Communications	<p>Review Summary: Updated communications plan to the Programme Board in September.</p> <p>Communications Updated on 15/09/2016 16:05:51</p>	Effective		100	0	15/03/2017	Ben Pilkington

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017 NAME: Adam Eckley
SERVICE: Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Risk Assessment	Target Risk Assessment				
SRR150002 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. Risk Status: Treat Type of risk Organisational Infrastructure	Denial of Premises - General Denial of Premises - Loss of Service Workshops 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 Maintenance Programme Severe interruption to Appliance 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	14/02/2017	14/11/2016	0	Dave Bill

Risk Review Update

Review Summary: With the on-going dispute with the FBU this still remains a significant risk, however resolution talks are being held and Service still has good resilience arrangements in place.

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 08/08/2016 13:22:41

Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
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	3	02/01/2017	Jon Doherty

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017

NAME: Adam Eckley

Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Network Resilience	Review Summary: New control system resilience tested as part of commissioning. Secondary Bearers Updated on 03/01/2017 10:45:15	Effective		100	0	03/04/2017	Jan Swanwick
HR Arrangements	Review Summary: This control measure is complete. HR Arrangements Updated on 22/07/2016 13:39:43	Effective		100			Caroline Cotterell
Resilience	Review Summary: Resilience plans remain effective Resilience Updated on 18/10/2016 08:43:05	Effective		100	0	18/01/2017	Caroline Cotterell
ICT Security	Review Summary: Risk static - no security officer, but third party support in place ICT Security Updated on 14/11/2016 09:08:15	In Progress		80	0	14/02/2017	Jan Swanwick
Service Workshops Replacement Plan		Proposed		0	0	27/01/2017	Jon Doherty

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017 NAME: Adam Eckley
SERVICE: Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Risk Assessment	Target Risk Assessment				
SRR150003 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. Risk Status: Treat Type of risk 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	10	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 Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Governance arrangements	Review Summary: SOLACE led workshops with Members being held. Control becoming more effective. Governance arrangements Updated on 22/12/2016 10:07:17	Implemented	150,000.00 400,000.00	100	0	22/06/2017	Mike Clayton

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017

NAME: Adam Eckley

Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
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	55	11/11/2016	Tracy King
Inter-Service Liaison	Review Summary: Good working relationships remain with fellow Fire and Rescue Service and other blue-light responders. Inter-Service Liaison Updated on 23/10/2016 08:00:17	Under Review		100	0	23/01/2017	Dave Bill
Expert Advisory Panel	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. Expert Advisory Panel Updated on 17/10/2016 09:09:37	Implemented	200,000.00 400,000.00	100	0	17/01/2017	Mike Clayton
Staff Engagement	Review Summary: 2016 staff engagement survey planned Staff Engagement Updated on 18/10/2016 08:52:58	Implemented		100	0	18/01/2017	Mark Stagg
Departmental structures	Review Summary: Date amended to align with the proposed outcome of the management review. Departmental structures Updated on 07/11/2016 17:27:55	Proposed		100	0	31/03/2017	Dave Bill

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017 NAME: Adam Eckley
SERVICE: Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Risk Assessment	Target Risk Assessment				
SRR150004 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. Risk Status: Treat Type of risk 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 Inadequate reviewing process of old Service Orders (Big Red Books) to check for superseded content etc.	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 9	Risk - Medium Low 6	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact/Consequence Likelihood 3	Impact/Consequence Likelihood 2	22/06/2017	22/12/2016	0	Mike Clayton

Risk Review Update

Review Summary: Good progress in addressing concerns raised in Lucas review. Further SOLACE led Member workshops being held.

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 13/06/2016 08:24:04

Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Governance	Review Summary: No further update at Oct 2016 Governance Updated on 26/10/2016 16:00:53	Effective		100	0	26/01/2017	Glenn McGuinness

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017

NAME: Adam Eckley

Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Operational governance	<p>Review Summary: the Service's new IRMP was approved by the FA in June, and the new Service Strategy in September. A Response strategy paper is being developed to support delivery of these. DO Operational Policy reports direct to ACFO PPR, his objectives include an audit of JESIP, and reviewing the Service's mobilising policy.</p> <p>Operational governance Updated on 31/10/2016 09:09:37</p>	Under Review		75	0	31/01/2017	Dave Bill
Communications	<p>Review Summary: Control effective</p> <p>Communications Updated on 18/10/2016 08:51:59</p>	Effective		100	0	18/01/2017	Emily Osborne

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017 NAME: Adam Eckley
SERVICE: Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Risk Assessment	Target Risk Assessment				
SRR150005 If we do not have motivated and engaged people with the right skills and competencies, with appropriate succession planning and career development, there is a risk that we will be unable to innovate and deliver safe and effective services to our communities. Risk Status: Treat Type of risk 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 or absent succession/career planning and individual development built in to business planning Poor or absent succession planning policies and procedures Representative bodies in dispute with the Authority Pay rates not reflective of market Poor or absent market horizon scanning coupled with vacancy forecasting and/or skills gaps.	Loss of corporate knowledge Higher costs of interim and temporary staff Increased onboarding times for new staff Specialist roles vacant for long(er) periods Higher levels of sickness and absence Lack of skilled and experienced key employees to deliver the Service strategy Lack of flexibility in service delivery Detrimental effect on service delivery	Risk - Medium High 12	Risk - Medium High 9	Next Review Date	Last Review Date	Days Overdue	Risk Owner
			Impact/Consequence Likelihood 4	Impact/Consequence Likelihood 3	19/12/2016	19/09/2016	17	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 Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
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 Matrix Assessment - With Reviews - Withdrawn Controls Excluded

DATE: 05/01/2017

NAME: Adam Eckley



Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Budget	<p>Review Summary: Monthly finance reports to SLT and members as appropriate. Revised budget 2016-17 approved by members 21/9/16 to take account of reorganisations costs 2016-17. Monthly monitoring with budget holders continues 2016-17</p> <p>Budget Updated on 26/10/2016 15:46:42</p>	Effective		100	0	26/01/2017	Glenn McGuinness

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017 NAME: Adam Eckley
SERVICE: Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Risk Assessment	Target Risk Assessment				
SRR150006 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. Risk Status: Treat Type of risk 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 Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Development of a strategic approach to knowledge management		In Progress		25	0	17/01/2017	Mark Stagg

Risk Matrix Assessment - With Reviews - Withdrawn Controls Excluded



DATE: 05/01/2017 NAME: Adam Eckley
SERVICE: Essex FRS3

Risk Event/Description	Triggers/Sources	Impacts/Consequences	Current Risk Assessment	Target Risk Assessment	Next Review Date	Last Review Date	Days Overdue	Risk Owner
SRR150008 There is a risk that the Service may be unable to effectively communicate with our mobile assets and partner agencies caused by the planned change in mobile communications provider. Risk Status: Treat Type of risk Emergency Response, Capacity, Capability & Performance	Planned change in mobile communications provider. Failure to successfully implement National Airwave Replacement Programme	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	Risk - High <div>20</div>	Risk - Medium Low <div>6</div>	28/02/2017		0	Dave Bill
			Impact/Consequence Likelihood 4	Impact/Consequence Likelihood 3				

Risk Review Update

Control Measure	Control Measure Details	Status	Cost to Date Est. Cost	% Complete	Treatment Days Overdue	Treatment Review Date	Treatment Control Owner
Implementation of the Emergency Services Mobile Communications Programme	Review Summary: ECFRS internal programme manager has been confirmed and is in post. The programme manager is reviewing current programme governance and structure. ECFRS are lobbying for the appointment of the regional PM and PS with effect from 1/4/17 rather than starting recruitment from this point. The budget implication of the frequentis ICCS upgrade remains a concern. The ESMCP remains relevant as the control measure for this risk. Airwave replacement project Updated on 03/01/2017 14:44:32	In Progress		1	0	17/01/2017	Matt Furber