

Number / Reference	Aligned to ESFRS Aim	Strategic Risk	Pre Impact Score	Pre Likelihood Score	Pre mitigation scoring	Key Actions	Post Impact Score	Post Likelihood Score	Current Status (by colour) and total score (Previous score shown)	Corporate Risk Owner	Risk Delivery Manager
1 Financial	4	Failure to identify and deliver savings to meet the expected funding gap to 2020/21 and the uncertainty of funding both from year to year and beyond 2015/16 resulting in an unclear service delivery model for the future.	4	4	16	<p>1) MTFP updated as part of the Feb CFA budget report and now shows balanced budget to 2019/20 with further savings of £0.3m in 2020/21. Assumes 1.94% p.a. increase in Council Tax and delivery of all agreed savings including Riding at Minimum.</p> <p>2) Government is due to commence consultation on 100% devolution of Business Rates soon – situation being monitored alongside impact of budget announcements which impact on BR income i.e. extension of small business rate reliefs, RPI to CPI and move for all schools to become academies.</p> <p>3) Delivery of savings monitored on a monthly basis ensuring savings delivery now subject to closer monitoring and latest position built into revised MTFP. Opportunities for further collaboration with public sector partners being examined especially around support services and through Emergency Services Collaboration Project.</p> <p>4) Ongoing work through ESFOA seeking to maximise income from council tax and non-domestic rates.</p> <p>5) Business Rate Pool approved by CLG – monitoring risk posed by NHS Trusts seeking charitable relief and also impact of other changes to BR including 2017 valuation on prospects for Pool beyond 2016/17.</p> <p>6) Improvement and Efficiency reserve established to fund transformation initiatives.</p> <p>7) Work started on the review of the IRMP will link service provision to the public, to the MTFP.</p>	3	3	9 (Moderate)	CFO	AD Resources / Treasurer

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2 Technology	4	<p>1) Sustained Technological failure, and</p> <p>2) Failure to deliver organisational change as a result of a lack of a robust and effective modern ICT infrastructure and a lack of supported infrastructure and systems through fewer and less skilled staff.</p> <p>3) Succession planning as a result of restructure and retirement of ACFO leads to insufficient strategic support and direction for project.</p>	4	4	16	<p>1) IMD transformation has in scope suppliers who can offer a suitable Disaster Recovery data centres and levels of technological and human resource resilience that will mitigate this service risk to an appropriate level for ESFRS. Ongoing and revised assessment, clarity and understanding of the underlining business processes and their relative business criticality will drive the exact nature of the offered solution, service levels and recovery approach. The longer-term process will refine and embed as the organisation matures and builds a complete view of the business output specifications.</p> <p>2) IMD Transformation will introduce external resource capacity and knowledge to run our technological estate. ESFRS will drive growth and transformation by introducing new levels of portfolio, programme and IT Governance. The PMO IMD client will ensure organisational change will be aligned to corporate strategy, based on our agreed understanding of the business and informational needs in the future. Future growth and transformation investment in the business and IT will be facilitated by our PMO and IMD client through managed services from our portfolio of suppliers and partners'</p> <p>3) The IMD Transformation Programme has continued to progress with support from external consultants Spirit Acuity. Intentions to award letters have been issued following detailed tender evaluation. It is anticipated that approval for award of contract will be sought from CFA on 16 June 2016 with the new service commencing by 30 September 2016.</p> <p>4) As part of the 2016/17 Budget Report, Members agreed to set up a £2m IMD Transformation reserve to fund the anticipated one off costs of implementation.</p> <p>5) The transition of ownership of the project to the new DCFO. AD Resources / Treasurer is overseeing the project and working closely with the IMD Manager and the Strategic Programme Support Officer is continuing in his role. CMT has agreed to additional support from Spirit Acuity through Phase 4 (due diligence, transition and implementation) funded from the IMD Transformation reserve.</p> <p>6) The project team will now engage closely with both the preferred supplier and CMT through the Due Diligence process to ensure the contract award target date can be achieved.</p>		3	12 (Substantial)	DCFO	AD Resources / Treasurer

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3 Partnership	4	1) Sussex Control Centre does not deliver effective mobilisation service or planned savings 2) Failure to deliver full specification for MOB's leading to contractual issues.	4	4	16	<u>Remsdag Project</u> 1) The Factory Acceptance Test (FAT) is now preceded by a joint pre-FAT program overseen by the SCC Implementation Project Board. 2) The Site and User Acceptance Tests will ensure specification and functionality tested after installation at Hayward's Heath. 3) Any milestone payments are not triggered until pass of acceptance tests and these are staged. 4) SCC 'go live' will be subject to sign off by both Senior Users, and the 'switchover' operation will be agreed and validated by SCC Implementation Project Board 5) Regular monthly progress and financial reporting to SCC Implementation Board, both Management Teams and the Executive Governance Board. 6) Savings target for 2016/17 revised to reflect delays in implementation. 7) Additional resources made available due to extension of the go live date to ensure interim service is maintained in accordance with Section 16, these costs are shared. 8) The project has been subjected to scrutiny by internal audit – report findings are now progressed and monitored by the SCC Implementation Board. <u>Business as usual</u> 1. Section 16 and SCC Concept of Operations provide the strategic operational framework for the SCC, including arrangements under which call handling, mobilisation and related functions are discharged. 2. SCC Operational Governance Board, made up of reps of Services, meets monthly to ensure that the Joint Control is effective, efficient and resilient and that any issues and areas of concern are reported and acted upon. 3. ESFRS specific operational and performance matters considered at the monthly Response & Resilience management team meetings. 4. SCC staffing is a significant concern. Current establishment levels and working arrangements are challenging for staff and managers. There is higher sickness levels and potential increase in attrition. Current arrangements include fixed term contracts with a review once 4i is installed, tested and operational	4	3	12 (Substantial)	DCFO	Strategic Programme Support Officer

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4 Leadership	4	Failure to effectively lead/manage the Service through a period of significant change as a result of lack of corporate capacity, management competences and poor staff engagement	4	3	12	<p>1) ACO and Head of L&OD to review leadership development to meet evolving and emerging needs. POD strategy being reviewed Q2 2015/16. Completed</p> <p>2) ACO and Communications and Marketing Manager to review staff communication strategy to promote effective organisational communications. Completed and will be reviewed 2016 following restructure.</p> <p>3) Members are to consider proposals for a Talent Management Scheme to address and support mitigations on future risks and succession planning. Now part of the restructure programme</p> <p>4) Restructure to address a number of strategic roles and management structures including non-recruitment to DCFO role ((secondment of a temporary DCFO in place) and retirement of ACFO. New POs to start during June 2016</p> <p>5) The restructure was presented to Members at CFA December 2016 proposing April to June implementation. Upon the conclusion of individual consultations quarter 4 of this mitigation plan will be further updated</p>	3	3 (3)	9 (12) (substantial) Last Qtr	CFO	AD Human Resources

5 Community	1	1) Longer term Industrial Action (IA) could impact on the ability to deliver services, impact on the relationships with the workforce and has the potential for reputational damage 2) Short to medium term impact of Action Short of Strike (ASOS)	3	3	9	1) Constant Review of Business Continuity and Industrial Action Contingency Plans. 2) Maintain consultation and negotiation with trade unions. 3) Maintain effective communications. 4) Monitor impact on service delivery. 5) CFA advised of progress through regular updates and impact of changing FBU strategy on contingency plans and resilience. 6) Impact on training delivery, L&OD have provided additional resource to manage training plans and expected backlog during and following IA/ASOS periods. 7) Additional communications resource provided to reassure the community and inform staff. 8) The FBU has made a legal challenge to the FPS 2015 on the grounds of potential discrimination – the NJC is managing the claim on behalf of all FRS on a shared cost basis and has signed up Bevan Brittan LLP to act on our collective behalf. 9) FBU have advised no industrial action to take place under this dispute until at least June 2017. BC plans to be reviewed in early 2016.	2	3	6 (Moderate)	ACFO	AD Operational Support & Resilience
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6 Communication	3	Key stakeholders including the public, members, employees and partners are insufficiently informed about/engaged in the difficult choices the Authority faces.	3	3	9	<ol style="list-style-type: none"> 1) Stakeholder and staff have been encouraged to participate in pre engagements sessions regarding the development of the new IRMP 2) Utilisation of various modes of communication from face to face, twitter hard copy and online responses in line with the communication strategy. 3) The pre plan will be subject to public and staff consultation planned for Sept 2016 as part of the IRMP process 	2	2	4 (Moderate)	DCFO	AD Planning & Improvement
7 Resource	6	Failure to maintain staff morale, motivation and attitudes will adversely impact on service delivery/ performance and the ability to successfully deliver service transformation/ ESFRS change programme.	4	3	12	<ol style="list-style-type: none"> 1) Support middle and senior managers to ensure regular meetings and engagement with staff and to review feedback from managers. 2) Ensure staff representative bodies are engaged with and informed of emerging issues. 3) Continue to develop communication opportunities including where appropriate, social media and new Communications Strategy. 4) Staff briefings and engagement for SHQ relocation proposals. 5) Trade Union and management briefings in place October 2015 to discuss outcome of local consultations on savings proposals – proposals accepted by trade unions and implementation being considered for April 2016. 6) Bridging the savings board is now managing implementation with engagement of staff and rep bodies from 1st April 2016 	3	3	6 (Moderate)	ACFO	CMT

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8 Leadership/ Resource	4,5,7	Failure to successfully relocate ESFRS to shared Headquarters building with Sussex Police in Lewes 1)	3	3	9	<ol style="list-style-type: none"> 1) CFA Members and SHQ staff have been fully sighted on the reasons (opportunity and cost) for this relocation and the likely changes in regard to Agile, Technology and dispersal locations. 2) Funding for the one off costs of the project both revenue and capital has been agreed 3) Following 18 June 2015 an implementation plan was agreed by CMT and this will mitigate many of the risks, such as security, travel plan, technology, communications and timescales. 4) The Strategic Programme Support Officer has been working to ensure linkages / dependencies between SHQ Project and IMD Transformation are identified and managed. 5) An experienced Project Manager has been employed for a fixed term to ensure the Service meets the timescales and implementation challenges in regard Agile and flexible working. 6) The CFA and PCC are committed to this collaboration project. Joint management team meetings between ESFRS and Sussex Police have been put in place. 	3	2	6 (Moderate)	DCFO	AD Resources / Treasurer

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9 Health & Safety	1,2,4,7	<p>1) An incident occurring which could impact on the health & safety of our staff, specifically in a training environment & the risk of HSE intervention</p> <p>2) The Authority's H&S approach is not effectively targeting the highest risk areas</p>	4	3	12	<p>1)The agreement and delivery of an action plan in response to the Accident Investigation report</p> <p>2)Broader changes to our H&S approach following a H&S Peer Review carried out by a third party</p> <p>3) Changes to the management and staffing structure at CMT and STC</p>	3	2	6 (Tolerable)	DCFO	AD Training & Assurance

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10 Operation Tin	1,2,4,7	Potential risk to the health & wellbeing of current and ex-employees and their families relating to the presence of asbestos identified at the Brighton Bombings in Oct 1984. Consequent potential financial, legal or reputational risk to the Authority.	4	3	12	<p>1)ESFRS representation on Sussex Police Gold Group</p> <p>2) ESFRS / WSFRS Op Tin Gold Group, agreed terms of reference and joint working arrangements.</p> <p>3) Identify personnel who may be affected or families that may require assurance and emotional support</p> <p>4) Establish procedures and implement communication channels for insurance claims and legal requirements subject to various legislations, including but not limited to The Health and Safety at Work Act 1978 and The Data Protection Act 1998</p> <p>5) Ensure appropriate health, wellbeing advice, support and guidance available for all personnel who may be affected</p> <p>6) Risk may be further reduced subject to insurance and legal arrangements</p>	3	3	9 (Moderate)	DCFO	ACFO