

Agenda Item No. 094
Appendix B

Corporate Risk Register

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	Corporate Risk Owner	Risk Delivery Manager
1 Financial	4	Failure to identify and deliver savings identified in the MTFP and the uncertainty of future funding resulting in an unclear service delivery model for the future.	4	4	16	1) Budget agreed for 2017/18 along with MTFP setting out plans for a balanced budget to 2021/22. Assumes 1.94% p.a. increase in Council Tax each year and delivery of all agreed savings. 2) Continued monitoring of the review of Business Rates Retention and the possibility of a move to Home Office grant for fire authorities. 3) Delivery of savings monitored on a monthly basis and reported to CMT and Members. 4) Opportunities for further collaboration with public sector partners being examined especially around support services and through Emergency Services Collaboration Project. 5) Bridging the Savings Gap project and review of Operational Pay budgets will ensure delivery of savings from changes to crewing. 6) Ongoing work through ESFOA seeking to maximise income from council tax and non-domestic rates. 7) Business Rate Pool dissolved for 2017/18 on basis of risk assessment. Service funded by this income stream will be reviewed but can be supported through 2017/18 via reserves. Re-pooling will be considered for 2018/19 8) Improvement and Efficiency reserve established to fund transformation initiatives. 9) IRMP reviews will more clearly link service provision to the public, to the MTFP. 10) Efficiency Plan approved by the Home Office to secure multi-year funding offer providing some certainty to aid financial planning.	3	2	6 (Moderate)	CFO	AD Resources / Treasurer

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2 Technology	4	1) Inadequate ICT and technology provision. 2) Failure to deliver the desired improvements and transformation to a modern ICT infrastructure. 3) Inadequate ITG arrangements and contract management.	4	4	16	1) IMD Transformation – To deliver the agreed ESFRS ICT Strategy. 2) To ensure effective contract management of the telent Contract. 3) To ensure Effective performance management framework of both internal client side and outsourced provision. 4) To ensure transparent funding and budget management and also benefit realisation of ICT transformation. This will be achieved through new governance arrangements: - active monitoring of delivery by ITG (Information Technology Governance) - monthly contract management meetings - quarterly IT Strategy Board meetings - periodic reporting to CMT and Scrutiny & Audit Panel (S&A to start Sept 2017) - suite of KPIs against IT delivery (both ITG and outsourced) - development of outline and full business cases to support all new IT Strategy projects including benefits realisation	3	2	6 (Moderate)	CFO	AD Resources / Treasurer
3 Partnership	4	1) Sussex Control Centre does not deliver effective mobilisation service or planned savings 2) Failure to deliver full specification for MOBs leading to contractual issues.	4	4	16	<u>Remsdaq 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	4	3	12 (Substantial)	ACFO	AD OS&R

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						<p>Executive Governance Board.</p> <p>6) Savings target for 2016/17 revised to reflect delays in implementation.</p> <p>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.</p> <p>8) The project has been subjected to scrutiny by internal audit – report findings are now progressed and monitored by the SCC Implementation Board.</p> <p>9) Additional support in the form of a Project Consultant now in place to refresh and refocus project management arrangements</p> <p>10) The maintenance contract for the 3Tc legacy system has now been extended</p> <p>11) The Home Office have commissioned an external review of the project to date to consider matters related to the delay in implementation. The outcomes from this review will provide further support to the Service in relation to delivering the project</p> <p>12) Recommendations from HO report and subsequent assurance visits have now been captured within an action plan overseen by SCC Implementation Board</p> <p>13) FAT passed (10/02/17) and project moved into implementation phase</p> <p>14) May 2017 further reassessment of progress has resulted in revised timeline and resourcing plan which indicates further delay. This has been shared with HO, Remsdaq and WSFRS. Discussions on impact and mitigation on-going.</p> <p><u>Business as usual</u></p> <p>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.</p> <p>2) SCC Operational Governance Board, made up of reps of Services, meets monthly to</p>					

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						<p>ensure that the Joint Control is effective, efficient and resilient and that any issues and areas of concern are reported and acted upon.</p> <p>3) ESFRS specific operational and performance matters considered at the relevant management team meetings.</p> <p>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, zero hour contracts, and there are plans to move forward with dual operator training. These arrangements will be reviewed once 4i is installed, tested and operational.</p> <p>5) Senior Management meetings with local managers and rep body officials have identified a number of actions to resolve outstanding issues and improve local processes.</p> <p>6) Refreshed approach to attendance management now being implemented through combination of support and engagement with staff and application of service policies.</p> <p>7) May 2017 Group Manager appointed on temporary basis to provide additional managerial capacity and support.</p>					
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) Planning & Improvement AD and Communications and Marketing Manager to review staff communication strategy to promote effective organisational communications. Completed and was reviewed in 2016 following the restructure.</p> <p>2) 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 – DCFO to develop with AD HR&OD.</p>	3	3	9 (Moderate)	CFO	DCFO/ACFO

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						3) Restructure to address a number of strategic roles and management structures. A People and Organisational Development Strategy will be developed which draws out the main drivers for change over the next five years and the impact on our people. Target September 2017 CFA.					
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 with staff 4) 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. 5) FBU have advised no industrial action to take place under this dispute until at least June 2017. 6) Related BC and Industrial Action Contingency Plans reviewed (March 2017).	2	3	6 (Moderate)	ACFO	AD OS&R
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	1) Stakeholder and staff pre engagement sessions regarding the development of the new IRMP were held Consultation closed on the 7 th November and the results will be considered by the Fire Authority in December. Different communication methods were utilised and the reach of the consultation is estimated at being Newspapers online/print Brighton Argus reach per issue 32,000 Herald reach per issue 12,250 Observer series reach per issue 18,000 Total newspaper reach of 62,250 Social media Twitter (unpaid) 11,000 Facebook (unpaid) 3,800 Facebook (paid) 113,200 Total social media reach 128,00	2	2	4 (Tolerable)	ACFO	AD Planning & Improvement

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						Mail out Total households reached 10,100 Estimated Total overall reach of communications activities 200,350. A working group is now in place to further develop the proposals going forward and they will be brought back to CMT in July and the Fire Authority in September where a decision will be made regarding public consultation.					
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	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. 6) Bridging the savings board is now managing implementation with engagement of staff and rep bodies from 1st April 2016. 7) Develop a strategy to ensure a clear, effective sustainable framework for future staff engagement. 8) Programme of PO and CMT visits to all staff groups and stations.	3	3	6 (Moderate)	ACFO	CMT
8 Leadership/ Resource	4,5,7	Failure to successfully relocate ESFRS to shared Headquarters building with Sussex Police in Lewes	3	3	9	1) CFA Members and SHQ staff have been fully sighted on the reasons (opportunity and cost) for this relocation and the likely changes regarding technology and dispersal locations. 2) Funding for the one off costs of the project	3	2	6 (Moderate)	CFO	AD Resources / Treasurer

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						<p>both revenue and capital has been agreed. Additional funding for IT requirements also agreed.</p> <p>3) Programme Board in place and supported by Programme Office Manager and additional temporary resources</p> <p>4) The CFA and PCC are committed to this collaboration project. Joint management team meetings between ESFRS and Sussex Police have been put in place. Sussex Police is represented on the Programme Board.</p> <p>5) Engagement and Communications activity increased as key decisions by Board / CMT are taken which will impact on staff.</p> <p>6) Key costs clarified and project on budget.</p> <p>7) Travel Plan agreed and measures put in place ready for move.</p> <p>8) Action taken to mitigate risk of delays in vetting process for staff moving to shared HQ in Lewes.</p> <p>9) Resilience risk arising from resignation of staff as result of move identified and escalated to CMT.</p>					
9 Health and 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>An action plan has been put in place in response to the Accident Investigation report which will reduce the risk of recurrence of heat stress incidents in a training environment.</p> <p>Changes to the management and staffing structure at CMT and STC agreed and started.</p> <p>The Authority has agreed to £300k capital scheme to make improvements to its 4 BA Chambers (including those at STC).</p> <p>Broader changes are being made to our H&S approach following a H&S Peer Review carried out by a third party.</p> <p>Restructure of H&S Team approved by CMT.</p> <p>Changes to governance structures for Health, Safety & Wellbeing approved by</p>	3	2	6 (Moderate)	ACFO	AD Training & Assurance

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						CMT and being put in place.					
11 ESMCP / ESN	3	<p>a) Failure to complete transition readiness requirements in line with Home Office expectations by September 2018 resulting in failure to transition before August 2019</p> <p>b) Airwave begins to fail as it approaches end of life and there is no suitable replacement resulting in ESFRS failing to mobilise emergency resources as required under the Fire & Rescues Services Act.</p> <p>Although the failure of ESN or delay of ESN would sit with the Home Office, failure to mobilise appliances would still be the responsibility of the Fire Authority in this situation</p>	4	3	12	<p>a)</p> <ol style="list-style-type: none"> 1) SE Regional Transition Governance Plan identifies project management, planning, funding and governance arrangements including reporting process providing assurance to HO. 2) Local project management and governance arrangements overseen by Project Board chaired by CMT member. 3) Joint ESFRS / WSFRS Project Manager recruitment process now underway. <p>b)</p> <ol style="list-style-type: none"> 1) National, regional and local governance and communications arrangements will ensure that ESFRS has early warning if it appears this risk is likely to materialise. 2) ESFRS will work with regional blue light partners to understand likelihood and potential alternative solutions. 	3	3	9 (Moderate)	DCFO	AD OS&R
12 Pensions Administration	1,2,4,7	Failure to comply with statutory requirements and performance standards for administration of Firefighter Pension Scheme. Possible sanction by the Pension Regulator (tPR).	3	3	9	<ol style="list-style-type: none"> 1. Breach of Pension Act as result of failure to meet deadline for production of Annual Benefits Statement reported to TPR who confirmed no intention to take action at this stage. 2. Officers have met with representatives from Orbis our pension administration provider to raise concerns regarding compliance / performance 3. Orbis has presented improvement actions to local FPS Pension Board and now attend on a quarterly basis to report progress and report on performance. 	3	2	6 (Moderate)	DCFO	AD HR&OD / AD Resources / Treasurer

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						<p>4. Officers to track progress through bi-monthly contract review meetings with Orbis.</p> <p>5. New agreement to reflect all financial services provided by Orbis to be put in place by 31 March 2017. . Delays mean that a target date of 31 July 2017 more likely.</p>					