

Appendix 2 – Corporate Risk Register updated for Quarter 3 - 2021/22

Ref	Risk Title	Causes	Mitigations	Mitigated Risk Score	Actions	Review Date	Corporate Risk Owner
CR1	Health & Safety non- compliance	<ul style="list-style-type: none"> Policy and practices not effective Policies not followed Inconsistent implementation H&S approach is not effectively targeting the highest risk areas Lack of proactive / preventative measures to reduce likelihood Specific issues regarding Face fit testing and Management of Contractors 	<ul style="list-style-type: none"> Training programmes in place Policies in place Appropriate systems exist Changes to the management and staffing structure Governance for Health, Safety & Wellbeing in place Revised estates policy for management of contractors Secondment of individual into Facilities Management (FM) role to deliver improvements in processes for estates / management of contractors H&S peer review and implementations of findings 5-year audit plan Acceleration of "facefit" programme for respirators using external contractor 1st year overview of delivery of Regional H&S Audit Action Plan presented to Oct 2020 HSWC Business Partner structure has been recruited and is operational 	Impact = 4 Likelihood = 2 Score = 8 Moderate	<ul style="list-style-type: none"> Health and Safety (H&S) policy framework review including the implementation of a new H&S management system planned for implementation and has been planned but delayed due to staff absence Developed a H&S legal register and in use Implement the 2nd year of the 3-year action plan drawn together following the Regional H&S audit undertaken in July 2019 Development and implementation of a suite of Health & Safety standards will support compliance with H & S Management system 	March 2022	AD People Services

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CR2	Future financial viability	<ul style="list-style-type: none"> Reducing funding stream (uncertainty) Failure to identify and deliver savings Difficult to predict future needs / resources required Changes in legislation increasing burden Impact of Covid 19 	<ul style="list-style-type: none"> 2021/22 budget agreed Medium Term Finance Plan (MTFP) refreshed Sept CFA Efficiency Strategy agreed and areas of focus being progressed Business Rates Pool extended for 2021/22 Delivery of savings monitored and reported to SLT and Fire Authority Resource Planning meeting to monitor operational establishment Establishment and use of general and earmarked reserves to manage financial risk Collaboration through East Sussex Finance Officers Association (ESFOA) to protect shared income streams e.g. Council Tax and Business Rates “Star Chamber” budget scrutiny as part of the budget setting process Phase 1 of review of Estates Capital Programme completed Grant spend monitored monthly against allocation Initial high-level assessment of potential financial cost of McCloud / Sargeant pension remedy IRMP financial impacts built into MTFP Lobbying in advance of Comprehensive Spending Review via National Fire Chiefs Council (NFCC) and local MPs 	<p>Impact = 2 Likelihood = 3</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> Exploration of potential new areas for efficiencies as set out in the budget papers Continued review of opportunities for grant funding e.g. CIL Review sustainability of capital programme Assess funding gap post Star Chambers and work with SLT to develop options to balance the budget – budget proposals to Dec SLT, January P&R Panel and Feb CFA Monitor implications of EU exit on costs including potential tariffs on certain goods and services Explore options for fire sector finance benchmarking and cost driver review with NFCC FCC / FFN Reviewing financial and legal implications of recent HMT / HMRC statement on Immediate Detriment Framework and withdrawal of HO guidance – report to CFA December 2021 	March 2022	AD Resources / Treasurer

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CR3	Ability to meet developing legislative requirements evolving from central fire safety regulatory reviews	<ul style="list-style-type: none"> Policy or legislative changes that are likely to arise from reviews and investigations Unknown burdens on service delivery Likely increased funding required Knowledge and competence needed Lack of capacity and capability inability to adapt service delivery models 	<ul style="list-style-type: none"> Introduction of firefighter business safety Competence framework for business safety officers Business Safety Review to refresh structure to ensure appropriate capacity and contingency" Continue to monitor developments from the Hackitt and Moore Bick reviews and potential legislative / regulatory changes Assessment of the Grenfell Tower Phase 1 report and local ESFRS action plan in place Monitoring of emerging Fire safety and Housing Bill Fire Safety Government Consultation to strengthen the fire safety order and implement the Grenfell Tower Phase 1 report LFB secondment for 9 months to gain an additional external assessment of preparation for compliance against both building and fire safety bills (now complete). Delivery Board in place to oversee assimilation of new protection bills and related acts Prevention and Protection Strategy 2021-2026 approved by CFA CRM SSRI live and being used. This enables required flexibility and mobile working to improve efficiency in work processes, ensure delivery of reviewed RBIP, BRR and respond to internal audit findings to ensure full compliance with legislation. Grant spending plan in place for Protection grants 	Impact = 2 Likelihood = 3 Score = 6 Moderate	<ul style="list-style-type: none"> Allocate ESFRS officers to national working groups to steer and understand the implications of the proposed national changes. Sector is lobbying Govt. for additional funding for investment in protection services Deliver the Building Risk Review Respond to fire safety consultation Seeking regional alignment through regional board on key matters initially such as legal/prosecutions, engineering, consultations and RBIP (Risk based inspection programme). 	March 2022	ACFO

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CR4	Effective workforce planning e.g. professional services	<ul style="list-style-type: none"> Increasingly difficult to recruit into professional services HR policy flexibility (grades/salaries) Recruitment pool processes Already lean workforce Cognisant of the HMICFRS findings Immediate Detriment and Firefighter pension transitional arrangements decisions <i>Response to the McCloud and Sargeant cases lowering potential retirement ages</i> <i>Financial implications of reinstatement to old schemes</i> <i>Loss of senior level experienced officers and staff earlier than expected</i> <i>Failure to interpret rules or legislation correctly</i> <i>Immediate Detriment cases</i> 	<ul style="list-style-type: none"> Market supplement process for professional service jobs agreed by SLT. Continue to consider the wider recruitment market to assess salary points for specialist posts). Recruitment and selection framework Process Improvement Project to deliver efficiencies in roles and policy supporting lean workforce Redesign current talent pool process at each operational level within the Organisation Access professional legal advice where necessary FPS administration successfully transitioned to WYPF wef 1 April 2020 Retirement profile has been built to identify future establishment pressures and initial high-level assessment of potential workforce impacts of McCloud / Sargeant pension remedy. Pension Adviser role extended to end 2023/24 Implementation of ID Framework approved by P&R Panel 11 November 2021 	<p>Impact = 2 Likelihood = 4</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> Strategic Workforce Plan was signed off at Dec SLT Embed and reinforce workforce plan. Market Supplement policy has been drafted but needs amending prior to sign off. Completion expected prior to end of 2021 To re-engineer the recruitment and selection processes for professional services To review salary structure with Hay (2022/23) Monitoring developments through LGA / NFCC / Home Office Issuing communications to staff to keep them informed Reviewing financial and legal implications of recent HMT / HMRC statement on Immediate Detriment Framework and withdrawal of HO guidance – report to CFA December 2021 	March 2022	AD People Services

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CR5	Failure to mobilise effectively	<ul style="list-style-type: none"> ESFC incident / significant system failure Software providers unable to maintain support for system over longer term. Loss of staff resulting in insufficient staff to maintain business as usual operational service 	<ul style="list-style-type: none"> Joint Fire Control now live on fit for purpose and industry standard mobilising systems Section 16 and Tri-Service Collaboration agreements in place, providing governance and performance management framework State of the art fall back control now operating Agreed and enhanced staffing levels now in place in JFC 	Impact = 4 Likelihood = 1 Score = 4 Tolerable (Reduced from 8 Moderate)	<ul style="list-style-type: none"> Embed Joint Fire Control governance and performance management arrangements Scope and agree JFC future IT and operational roadmap 	March 2022	DCFO

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CR6	Failure to manage the effects and impacts of a major loss of staff event, including through industrial action	<ul style="list-style-type: none"> Lack of engagement with unions / staff Poor / ineffective consultation practices Ineffective communications Lack of business continuity Pandemic Flu Major travel disruption Failure of National pay negotiation leading to action short of a strike 	<ul style="list-style-type: none"> Review outcomes of Retained Firefighters Union report Introduction of the On-call action learning set Establish a resilience group to refresh the resilience contingency plans and loss of staff protocols. Establish regional loss of staff working group to share best practice and assist in contingency planning". Introduce a revised Business Continuity Plan for major loss of staff Deliver an Emergency Management Team (EMT) exercise to test the plans and response by the key staff within the continuity plans. Close working with NFCC to determine local and regional resilience New National Security Risk Assessment for industrial action prompting Sussex Resilience Forum support IRMP proposals for Operational Response Plan (ORP) and flexible on-call contracts to improve resilience approved September 2020 IRMP Implementation team and governance in place Internal and partner (SRF) governance arrangements in place to manage Covid-19 impacts 	Impact = 3 Likelihood = 3 Score = 9 Moderate	<ul style="list-style-type: none"> The established continuity handbook(informed by the NFCC prioritised activities) for staff to assist in managing the early stages of a major loss of staff has been reviewed following the HMIC&FRS audit and EU Transition. Working with Sussex Resilience Forum (SRF) to assess threat and risk as part of community risk IRMP implementation team taking forward ORP and new on-call contracts. Resilience group to undertake annual review of response to strike action through resilience group 	March 2022	ACFO

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CR7	Inability to respond effectively to a cyber incident	<ul style="list-style-type: none"> Lack of effective Business Continuity Plan (BCP) in place Underestimation of risk likelihood Poor policies and procedures Human error Lack of staff awareness (e.g. phishing) Poor protection of systems leading to increased severity 	<ul style="list-style-type: none"> Telent to progress IT Risk Treatment Plans Annual IT Health Checks now scheduled, latest undertaken in August 2021 Information Security Management Forum meeting on a regular basis Information Security e-learning in place with mandatory annual re-test Annual review of ISO27001 gap analysis Information Security Management System in place New suite of Information Security policies in place Annual IT Health Checks implemented along with associated Telent mitigation plans Information Security Project now complete and closed down 	Impact = 4 Likelihood = 2 Score = 8 Moderate	<ul style="list-style-type: none"> Telent (working with Aristi) progressing risk treatment plans following scheduled IT Health Checks. ESFC IT Health Check risks to be remediated as part of Project 21 4i decommissioning phase, which will be completed in Mar 2022 Progress towards ESFRS achieving Cyber Essentials Plus accreditation in 2022, in line with NFCC IT Managers' agreed FRS cyber accreditation standard Potential for Cyber risk insurance cover being investigated 	March 2022	DCFO

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CR8	Failure to deliver key corporate projects	<ul style="list-style-type: none"> Lack of adherence to governance processes Lack of experienced staff managing projects Inability to recruit to vacant posts in the Programme Management Office (PMO) Over optimistic delivery plans 	<ul style="list-style-type: none"> Assignment of programme management office Set up of the PMO – team, processes, standards, PMO Manual Set up of Projects Tool Kit Intranet pages including templates, guidance and information to project managers and all staff involved in projects. Portfolio capture in place and rationalisation of clusters and sub clusters of projects. Set up of monthly reporting of projects into the PMO and quarterly / yearly PMO reporting to SLT. Strategic Change Board in place Key projects managed directly by the PMO (FireWatch, CRM, Business Intelligence, Respiratory Protective Equipment, ESMCP). Project management now in place for delivery of fleet and engineering projects Dependencies analysis and risks of extant project now complete New PMO structure, terms of reference and funding agreed by SLT to meet the business need. Additional Estates project management capacity in place (Major Capital Projects Manager) PMO quarterly drop in sessions in place ESFRS closed projects portfolio 2020/21 - April 2020 to March 2021 reported to SLT. Since the PMO established and rolled out its processes and its projects framework, that there has been an increase in projects closure. This is a sign of evolving maturity and allows for benefits realisation of projects. Including more transparency and rigor around project management that allows for better monitoring and reporting. 	Impact = 3 Likelihood = 2 Score = 6 Moderate	<ul style="list-style-type: none"> Implement remaining agreed actions from Internal Audit Report (reasonable assurance opinion) 	March 2022	AD Planning & Improvement
CR9	Collaboration	<ul style="list-style-type: none"> Collaboration fails to deliver desired outcomes Resources required to support collaborative activities not justified by improvements in efficiency and / or effectiveness 	<ul style="list-style-type: none"> Collaboration Framework agreed and in place Priorities agreed for 2018-21 Regular tracking of collaboration activities through business performance system Governance in place e.g. 4F and Integrated Transport Function (ITF) Legal advice on formal collaboration agreements Update report on the agreed collaborations (as outlined in the Collaboration Framework) to SLT in May 2020 Areas of focus for 2021/22 agreed with 4F collaboration leads Regular review of collaborative activities through SLT and Scrutiny and Audit Panel 	Impact = 3 Likelihood = 2 Score = 6 Moderate	<ul style="list-style-type: none"> Full update report to SLT and the CFA to concentrate on efficiencies Occupational Health Collaboration Contract reviewed for renewal. Considering 5yr commitment 	March 2022	AD People Services

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CR10	Security and safety of staff and visitors on ESFRS sites	<ul style="list-style-type: none"> • <i>Damage to buildings and assets</i> • Injury to Personnel • Service Delivery: Unable to deliver training and requalify personnel if interruption continues • Industrialisation of areas surrounding ESFRS premises perpetually halting operational practice on sites. 	<ul style="list-style-type: none"> • Safety Measures implemented in affected areas of Service Training Centre (STC) when burning i.e. PPE, Cordons. • The use of Community Order prohibiting protagonist from attending Authority premises • Increased safety officers • Temporarily ceased some lay flat testing to Air Quality Testing • Independent Air Quality Testing Report • Meeting with Traveller Rep, ESCC Rep and Sussex Police to discuss concerns. • Review of whole site security in conjunction with Estates. • Traveller Community Engagement, education and information around work and function of STC. • Project long term review of live fire training facilities • Initial phase of security improvements at STC completed • New security gates installed at STC • Feasibility study for enhancements to training facilities including a burn strategy approved at Change Board in Oct 2020 • FBC for Live Fire Training being developed with full costings has been agreed by SLT in December 2021 and will be considered for full approval in February 2022 	<p>Impact =3 Likelihood = 3</p> <p>Score = 9 Moderate</p>	<ul style="list-style-type: none"> • New Security Strategy will be considered by Estates Strategy Delivery Board in December 2021 • Project delivery of Live Fire Training Unit at service train9ng centre with project timeline of delivery of 2024/25 	March 2022	AD People Services
CR11	Spread of infectious pandemic diseases	<ul style="list-style-type: none"> • Risk to workforce and service delivery over the spread of Covid – 19 (corona virus) 	<ul style="list-style-type: none"> • UKHSA are monitoring and assessing the risk to public health in the UK and providing guidance to emergency services • Guidance business service and operations on protocols for dealing with high consequence infectious diseases. • Organisational update of business continuity plans reviewed to ensure fit for purpose • Premises risk assessments for covid safe premises in place • Weekly monitoring of Sussex health system and Covid data via Sussex Monitoring Group via SRF • ESFRS BC plans reviewed and tested against Reasonable Worst-Case Scenario • SRF Pandemic Flu Plans updated and published • Weekly Common Operating Picture established by SRF • Balance of Covid-19 grant held to cover 2021/22 costs • Return to workplace protocols and expectations communicated by SLT • EMT / CWG now stood down in line with government roadmap and SRF step-down 	<p>Impact =3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> • Review of longer term impacts of mental health and well-being • Review of workplace risk assessments to be undertaken once situation stabilises 	March 2022	DCFO

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CR12	Ageing workforce	<ul style="list-style-type: none"> Increasing ageing workforce Increasing number of age-related injuries Increase in injury recovery times having a cost to recovery Increase into alternative specialist equipment causing further costs Increased number of ill health retirements 	<ul style="list-style-type: none"> Trained personnel in manual handling training Membership to Fire and Recuse Risk Group (FARRG) help discuss ongoing issues with other services may have already dealt with including issues with National Resilience Equipment Wellbeing strategy that is looking at supporting an ageing workforce Service Fitness Advisor embedded into the Complex Case Mgt review meetings Reviewing manual handling training via station assurance programme Complex Case Mgt Review meetings review cases specifically to assist in addressing this issue Training video for operational crews in relation to patient handling/carrying Bid for additional funding for expected pressures from Ill Health Retirements in budget proposals agreed by SLT Dec 2021 Manual handling instructor capacity has been increased with newly developed manual handling training currently being delivered 	Impact = 3 Likelihood = 2 Score = 6 Moderate	<ul style="list-style-type: none"> L2 accident investigation to all manual handling injuries to ascertain underlying causes Provision of additional manual handling equipment 	March 2022	AD People Services
CR13	Financial & operational impacts of UK's withdrawal from the EU	<ul style="list-style-type: none"> Economic shock and impact on funding Supply chain problems Additional tariffs and other price increases Data warehousing located in EU countries 	<ul style="list-style-type: none"> Existing Business Continuity plans have been reviewed Linking with work being carried out nationally through NFCC Risk / impact assessment of supply chain complete On-going monitoring of supply chain / procurement issues and related financial / operational impacts in place 	Impact = 2 Likelihood = 3 Score = 6 Moderate	<ul style="list-style-type: none"> Internal Audit Review of Post Brexit Supply Chain Management due to start Q3 	March 2022	DCFO

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CR14	Health & Safety non- compliance	<ul style="list-style-type: none"> Management actions not completed in accordance with safety event reports 	<ul style="list-style-type: none"> Log of all outstanding actions from H&S Investigations provided to ADs so they can provide updated position on implementation Assistant Directors receive a quarterly report from the H&S team with outstanding actions All outcomes to be discussed at DMTs 35% of outstanding actions identified now completed Regular weekly reports provided by HMI officer to Assistant Directors of actions taken to clear historical actions backlog (in mitigations) and actions CAMMS has been updated with details of the responsible officers for actions and identify priority. Regular reports obtained from CAMMS to monitor progress All outstanding actions are being reviewed for continued appropriateness/duplication and are being cleared/closed as and when required, along with clearly documented evidence for closure. Additional Resource allocated to assist in documenting actions and closures - GM lead allocated 	<p>Impact = 4 Likelihood = 3</p> <p>Score =12 Substantial</p>	<ul style="list-style-type: none"> Outstanding actions to be highlighted and discussed at the HSWC H&S BPs to work with the appropriate departmental managers to agree suitable timescales and priority Remaining actions added to CAMMS so monitoring be undertaken on progress on a monthly basis. HMI Seconded officer to have oversight of progress HMI officer producing weekly reports of actions taken to clear historical backlog Regular reports from CAMMS to monitor progress Continue to review outstanding actions for duplication/appropriateness and to close where appropriate. As at end of December 2021, 176 outstanding historical actions, a revised target of 125 to be closed down by the end of February 2022. Regular meetings to be held with responsible officers and H & S. 	March 2022	AD People Services
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CR15	Workforce Planning – Operational competence	<ul style="list-style-type: none"> Workforce modelling suggests that ½ of the operational workforce can retire over the next 5 years. Therefore, there will be a loss of operational knowledge 	<ul style="list-style-type: none"> Workforce planning group providing collective understanding of current picture and forecasting through resource management plan. Firefighter recruitment review and actions. Maintain a transfer pool approach 	<p>Impact = 4 Likelihood = 2</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> Ensure focus on development of those with potential through equitable and fair pathways Supervisory and model manager Leadership development supportive programme Mentoring/Coaching as an assistive tool Gap analysis of competencies that are at high risk of not being retained. Alternative options for securing specialist skills (sharing with other services) 	March 2022	AD Safer Communities

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CR16	Grenfell Tower Public Inquiry – Non-compliance with Phase 1 recommendations	<ul style="list-style-type: none"> Non-compliance with recommendations arising from the Grenfell Tower Inquiry Phase 1 (2019). Failure to deliver improvements in call handling & operational response for high rise buildings with ACM cladding Insufficient resources allocated to GT1 activity 	<ul style="list-style-type: none"> A detailed gap analysis has been carried out between current positions against the 46 formal recommendations that has resulted in a detailed and defined improvement plan. ESFRS has established suitable and sufficient governance and project management processes to oversee progress against the plan including a prioritisation and tracking system. All details of delivered actions and planned activities yet to be delivered are monitored from a specific intranet page that also includes a live copy of the improvement plan. Agreement to utilise existing IRMP funding in 2021/22 to fund a project manager for both IRMP and GT1 	<p><i>Impact = 4</i> <i>Likelihood = 3</i></p> <p><i>Score =12</i> <i>Substantial</i></p>	<ul style="list-style-type: none"> Gap analysis required to identify any further weaknesses requiring action Identify sufficient resource to deliver very high and high rated priorities by 31.07.2022 Address remaining 33 medium and low rated priorities through BAU activities by building into normal business plans Identify and secure sufficient management support and resources (people, time, money) to enable the delivery of the actions identified and subsequent assurances that improvements are embedded across ESFRS Training and Project Management resource close to being secured BRR on track to complete by 31.12.2021 Fire safety training to all frontline crews bring rolled out Bid for additional funding to end 23/24 for IRMP / GT1 Project Management capacity included in 	March 2022	ACFO
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					budget proposals to Dec SLT		