

## Corporate Risk Register updated for Quarter 1 – 2023/24

Ref	Risk Title	Causes	Mitigations	Mitigated Risk Score	Actions	Review Date	Corporate Risk Owner
CR1	Health & Safety compliance	<ul style="list-style-type: none"> <li>Policy and practices not effective</li> <li>Policies not followed</li> <li>Inconsistent implementation</li> <li>H&amp;S approach is not effectively targeting the highest risk areas</li> <li>Lack of proactive / preventative measures to reduce likelihood</li> <li>Management actions not completed in accordance with safety event reports</li> </ul>	<ul style="list-style-type: none"> <li>Training programmes in place</li> <li>Policies in place and regularly reviewed</li> <li>Appropriate systems exist to ensure policies remain current</li> <li>Changes to the management and staffing structure to ensure necessary capacity to complete workload</li> <li>Governance for Health, Safety &amp; Wellbeing in place</li> <li>Revised estates policy for management of contractors</li> <li>Secondment of individual into Facilities Management (FM) role to deliver improvements in processes for estates / management of contractors (improved H&amp;S compliance cross Estates maintained)</li> <li>H&amp;S peer review and implementations of findings 5-year audit plan</li> <li>Business Partner structure has been adopted and is operational</li> <li>Developed a H&amp;S legal register and in use</li> <li>All outstanding actions are being reviewed for appropriateness/duplication and are being cleared/closed as and when required, along with clearly documented evidence for closure.</li> <li>Progress monitored at quarterly Health Safety and Wellbeing Committee</li> <li>Workshop completed with ADs and HS&amp;W team. Local managers are working to complete the actions. Evidence being cross referenced through HS&amp;W team</li> <li>Introduction of regular updates on outstanding L2 Ais for Assistant Directors to ensure cross referencing of evidence and report closures</li> </ul>	<p>Impact = 4 Likelihood = 2</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> <li>Health and Safety (H&amp;S) policy framework review including the implementation of a new H&amp;S management system planned for implementation (<b>September 2023</b>)</li> <li>Continue to implement the 5-year action plan drawn together following the Regional H&amp;S audit undertaken in July 2019 (<b>ongoing</b>)</li> <li>Work on Health &amp; Safety standards continues with a dedicated staff member, completion expected June 2023. Following the completion there will be a period of implementation and embedding (<b>March 2024</b>)</li> <li>H&amp;S technological solution will follow when the standards have been embedded. This will enable current systems to be more effective (<b>2024/25</b>)</li> </ul>	<b>September 2023</b>	AD People Services

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CR2	Future financial viability	<ul style="list-style-type: none"> <li>Uncertainty over future funding</li> <li>Failure to identify and deliver savings</li> <li>Difficult to predict future needs / resources required</li> <li>Changes in legislation increasing burden</li> <li>Impact of worldwide supply chain disruption and elevated inflation levels</li> </ul>	<ul style="list-style-type: none"> <li>2023/24 budget agreed</li> <li>Medium Term Finance Plan (MTFP) refreshed to 2027/28</li> <li>Additional savings proposals necessary to balance the 2024/25 budget gap of £0.721m approved for implementation/development</li> <li>Business Rates Pool extended for 2023/24</li> <li>Delivery of savings monitored and reported to SLT and Fire Authority</li> <li>Resource Planning meeting to monitor operational establishment</li> <li>Establishment and use of general and earmarked reserves to manage financial risk</li> <li>Collaboration through East Sussex Finance Officers Association (ESFOA) to protect shared income streams e.g. Council Tax and Business Rates</li> <li>"Star Chamber" budget scrutiny as part of the budget setting process</li> <li>Grant spend monitored monthly against allocation</li> <li>IRMP financial impacts built into MTFP</li> <li>Continue to lobby for sustainable settlement</li> </ul>	<p>Impact = 4 Likelihood = 3</p> <p>Score = 12 Substantial</p>	<ul style="list-style-type: none"> <li><b>MTFP savings tranches 1 &amp; 2 in implementation (Oct 2023)</b></li> <li><b>MTFP savings tranche 3 in development and out to procure external support (March 2024)</b></li> <li><b>MTFP tranche 4 – update on proposals to June CFA along with additional savings proposals being developed e.g. capital programme, use of reserves (June 2023)</b></li> <li><b>Update MTFP for 2024/25 to reflect pay award and other impacts – expected funding gap in range £1.0m - £1.5m (July 2023)</b></li> <li>Continued review of opportunities for grant funding / additional income streams e.g. CIL (ongoing)</li> <li>ESFOA to progress review of financial reporting and revenue protection by billing authorities (Sept 2023)</li> <li><b>2023/24 Provisional outturn to be reported to P&amp;R Panel – expected to be below £0.5m in MTFP (July 2023)</b></li> <li><b>2023/24 P2 monitoring to include updated forecast taking into account pay awards and other pressures and savings (July 2023)</b></li> <li><b>Put in place more robust vacancy management process through Workforce Planning Group (June 2023)</b></li> <li>Monitor implications of supply chain disruption, on revenue and capital budgets and feed into forecasting/budget setting and <b>NFCC</b> (ongoing)</li> <li>Explore options for fire sector finance benchmarking and cost driver review with <b>NFCC FCC / FFN (update to NFCC FCC June 2023)</b></li> <li>Continue to monitor financial and legal implications of <b>Pension Remedy (ongoing)</b></li> </ul>	September 2023	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"> <li>Policy or legislative changes that are likely to arise from reviews and investigations</li> <li>Unknown burdens on service delivery</li> <li>Likely increased funding required</li> <li>Knowledge and competence needed</li> <li>Lack of capacity and capability</li> <li>Inability to adapt service delivery models</li> </ul>	<ul style="list-style-type: none"> <li>Introduction of firefighter Fire Safety Checks</li> <li>Competence framework for Fire Safety officers</li> <li>Protection Review to refresh structure to ensure appropriate capacity and contingency</li> <li>Continue to monitor developments from the Hackitt and Moore Bick reviews and potential legislative / regulatory changes</li> <li>Assessment of the Grenfell Tower Phase 1 report and local ESFRS action plan in place</li> <li>Monitoring of emerging Fire safety and Housing Bill</li> <li>Fire Safety Government Consultation to strengthen the fire safety order and implement the Grenfell Tower Phase 1 report</li> <li>LFB secondment for 9 months to gain an additional external assessment of preparation for compliance against both building and fire safety bills (now complete).</li> <li>Delivery Board in place to oversee assimilation of new legislation and the outcome of the GTI Phase 2 report</li> <li>Prevention and Protection Strategy 2021-2026 approved by CFA</li> <li>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.</li> <li>Grant spending plan in place for Protection grants</li> <li>Building Risk Review completed within deadline (however follow up work is still taking place)</li> <li>Report to SLT Nov 22 detailing implications and preparations. Well positioned for introduction re changes to FSO introduction of fire safety act and associated regulations.</li> </ul>	Impact = 2 Likelihood = 3  Score = 6 Moderate	<ul style="list-style-type: none"> <li>Allocate ESFRS officers to national working groups to steer and understand the implications of the proposed national changes (complete, but ongoing)</li> <li>Sector is lobbying Govt. for additional and continued funding for investment in protection services (ongoing)</li> <li>Monitor resource impacts of ongoing workload from Building Risk Review (ongoing)</li> <li>Respond to fire safety consultation using the new consultation process (ongoing)</li> <li>Seeking regional alignment through regional board on key matters initially such as legal/prosecutions, engineering, consultations and RBIP (Risk based inspection programme). (target for completion September 2024)</li> <li>BSR Funding confirmed and recruitment now completed within ESFRS. Regional recruitment continues over the next few months (completed by September 2023)</li> <li>CRM update close to completion including the update of the premises database using the blue light gazetteer and the automatic linking of information provided in compliance with the Fire Safety England Regulation requirements with our SSRI module and MDTs (All complete other than gazetteer which will be completed by end of <b>July</b> 2023)</li> <li>All protection staff being trained as per the competence framework (ongoing due to ongoing staff recruitment)</li> <li>Department restructured to meet tactical needs, however a strategic review is needed to support tactical delivery (to complete by end <b>July</b> 2023)</li> </ul>	<b>September 2023</b>	AD Safer Communities

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					<ul style="list-style-type: none"> <li>Legal process being streamlined to reduce pressure on the department caused by increased legal activity (to complete by end September 2023)</li> </ul>		
CR7	Inability to respond effectively to a cyber incident	<ul style="list-style-type: none"> <li>Underestimation of risk likelihood and proximity</li> <li>Inadequate policies and procedures</li> <li>Human error resulting in cyber breach</li> <li>Lack of staff awareness of threat and attack vectors (e.g. phishing)</li> <li>Poor protection of systems leading to increased vulnerability</li> <li>Ineffective Business Continuity Plan in place</li> <li>Increased national and international cyber-security challenges, increasing the volume of attacks. International geo-political position changing the cyber-attack-vectors.</li> </ul>	<ul style="list-style-type: none"> <li>Information Security e-learning in place with mandatory annual re-test</li> <li>Annual review of ISO27001 gap analysis</li> <li>Information Security Management System in place</li> <li>New suite of Information Security policies in place</li> <li>Annual IT Health Checks implemented along with associated Telent remediation action plans</li> <li>Information Security Project now complete and closed down</li> <li>Information Security Management Forum now in place. These are held on a quarterly basis and the DCFO is the Senior Responsible Officer</li> <li>Regular attendance at NFCC IT Managers' Cyber Security sub-group</li> </ul>	Impact = 4 Likelihood = 2  Score = 8 Moderate	<ul style="list-style-type: none"> <li>The annual ITHC took place in (August 2022), the remediation actions were signed off by the SIRO and are now <b>nearing completion</b> by Telent, with oversight from ITG.</li> <li>Progress towards ESFRS achieving Cyber Essentials Plus accreditation, in line with NFCC IT Managers' agreed FRS cyber accreditation standard. Cyber Essentials Plus Pre-assessment completed in (July 2022), the remediation plan being progressed in conjunction with Telent with oversight from ITG.</li> <li>ESFRS ITG now participating in the new NFCC Cyber Security Sub-group</li> <li>E-learning packages regularly updated and mandatory completion for staff</li> <li>Volunteered to work with Fire &amp; Rescue Indemnity Company (FRIC) on cyber risk assessment</li> <li>Quarterly reports to APGG</li> <li><b>The Annual ITHC will take place in (September 2023)</b></li> <li><b>Following approval of the Telent proposal, a Cyber Desktop Exercise using the scenario of a ransomware incident, will take place in (October 2023)</b></li> <li><b>Plans are progressing with Telent for a proposal to implement Multi-factor Authentication during (2023/24) to strengthen system access security, as per recommendation from the National Cyber Security Centre (NCSC)</b></li> </ul>	<b>September 2023</b>	DCFO

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CR8	Failure to deliver key corporate projects	<ul style="list-style-type: none"> <li>Lack of adherence to governance processes</li> <li>Lack of experienced staff managing projects</li> <li>Inability to recruit to vacant posts in the Programme Management Office (PMO)</li> <li>Over optimistic delivery plans</li> </ul>	<ul style="list-style-type: none"> <li>Formation of the Programme Management Office (PMO) team, processes, standards and intranet pages</li> <li>Creation of project portfolio and project pipeline</li> <li>Monthly reporting of project status to SCB and quarterly reporting of the same to SLT</li> <li>Set up of monthly reporting of projects into the PMO and quarterly / yearly PMO reporting to SLT.</li> <li>Since the PMO and associated governance and processes were established there has been an improvement in successful project delivery. This is a sign of evolving maturity.</li> <li>The project management policy, lifecycle and associated stage gate approval templates have been updated recently (as at November 2022) -these address actions from the internal audit including those associated with project financial control.</li> <li>In order to cover vacancies in the PMO team SLT agreed a temporary PMO structure in November for 2023/24</li> <li>A full review of the project portfolio has taken place.</li> </ul>	<p>Impact = 3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> <li>Implement remaining agreed actions from Internal Audit Report (reasonable assurance opinion)</li> <li>Prioritisation of projects continues to ensure deliverability of portfolio following approval of the savings options at February CFA. (ongoing)</li> <li><b>Further work to confirm the financial envelope for 2023/24 to enable decisions on work to be progressed and funding sources (June 2023)</b></li> <li>Proposals for a substantive PMO and appropriate model will be considered at SLT (September 2023).</li> <li></li> </ul>	September 2023	AD Planning & Improvement
CR9	Collaboration	<ul style="list-style-type: none"> <li>Collaboration fails to deliver desired outcomes</li> <li>Resources required to support collaborative activities not justified by improvements in efficiency and / or effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>Regular tracking of collaboration activities through business performance system</li> <li>Governance in place e.g. 4F</li> <li>Legal advice on formal collaboration agreements</li> <li>Update report on the agreed collaborations</li> <li>Areas of focus agreed with 4F collaboration leads</li> <li>Regular review of collaborative activities through SLT and Scrutiny and Audit Panel</li> <li>Occupational Health Collaboration has been extended by 5yrs and took effect from August 2022</li> <li>Further updates on OH collaboration benefits and focus for the future was presented to P&amp;R Panel</li> <li><b>An improvement plan for the OH collaboration was presented to SLT Q3 2022/23 and HSWC April 2023</b></li> <li></li> </ul>	<p>Impact = 3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	Annual OH collaboration report will be presented to SLT (July 2023)	September 2023	AD People Services

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CR10	Risk of loss of live fire training at Service Training Centre.	<ul style="list-style-type: none"> <li>Service Delivery: Unable to deliver training and requalify personnel.</li> <li>Industrialisation of areas surrounding ESFRS premises perpetually halting operational practice on sites.</li> </ul>	<ul style="list-style-type: none"> <li>Safety Measures implemented in affected areas of Service Training Centre (STC) when burning i.e. PPE, Cordons.</li> <li>Independent Air Quality Testing Report</li> <li>Project long term review of live fire training facilities</li> <li>Initial phase of security improvements at STC completed</li> <li>Feasibility study for enhancements to training facilities including a burn strategy approved at Change Board in Oct 2020</li> <li>FBC for Live Fire Training approved and additional funding agreed in Capital Asset Strategy in Feb 2022</li> </ul>	<p>Impact = 3 Likelihood = 3</p> <p>Score = 9 Moderate</p>	<ul style="list-style-type: none"> <li>New Security Strategy will be considered by Estates Strategy Delivery Board in <b>Summer 2023</b></li> <li>Scheme to deliver new Live Fire Training Units at Service Training Centre included in Capital Programme but now part of wider review of Capital Programme. (September 2023)</li> </ul>	<b>September 2023</b>	AD People Services
CR13	Financial & operational impacts of global supply chain disruption	<ul style="list-style-type: none"> <li>Macro-economic impact on funding and costs (inflation)</li> <li>Supply chain problems</li> <li>UK withdrawal from EU</li> <li>Ongoing global impact of Covid-19 pandemic</li> <li>Impact of conflict in Ukraine</li> </ul>	<ul style="list-style-type: none"> <li>Existing Business Continuity plans have been reviewed</li> <li>Linking with work being carried out nationally through NFCC</li> <li>On-going monitoring of supply chain / procurement issues and related financial / operational impacts in place (internal audit substantial assurance opinion)</li> <li>Additional provision in 2022/23 budget for inflation in utilities, catering and timber supply</li> <li>Corporate contingency and General Balances available to mitigate in year financial impacts</li> <li>Gold Group in place for Ukraine conflict – now stood down</li> <li>Inflation impact for 2022/23 and forecast for 2023/24 built into MTFP</li> </ul>	<p>Impact = 3 Likelihood = 3</p> <p>Score = 9 Moderate</p>	<ul style="list-style-type: none"> <li>Continued monitoring of revenue budget and assessment of potential inflation risks (<b>July 2023</b>)</li> <li>Energy saving measures being put in place with aim to reduce consumption by 5% by 31/03/23 – <b>final outcome under review before targets for 2023/24 considered (July 2023)</b></li> <li>Monitoring of capital programme delivery and both cost inflation and potential slippage and resulting impact on service delivery and other key projects e.g. IRMP (<b>July 2023</b>)</li> <li><b>National fire inflation survey to be completed to inform submission to Home Office (June 2023)</b></li> </ul>	<b>September 2023</b>	DCFO

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CR17	Firefighter Pension Scheme – financial, legal, reputational and operational impacts resulting from McCloud / Sargeant case	<ul style="list-style-type: none"> <li>• Outcome of McCloud / Sargeant legal case</li> <li>• Delay to implementation of Remedy until October 2023</li> <li>• Withdrawal of Home Office informal guidance on Immediate Detriment</li> <li>• Difficulties in predicting retirement profile and recruitment requirements</li> <li>• Loss of specialist skills / large number of experienced operational staff in short period</li> <li>• Threat of legal action by FBU on behalf of affected members.</li> </ul>	<ul style="list-style-type: none"> <li>• Close engagement between pension, finance and legal teams and Local Government Association, Scheme Advisory Board, National Fire Chiefs Council Pension Lead, West Yorkshire Pension Fund (FPS scheme administrators), Fire Finance Network, Home Office and tax advisers to ensure Authority is aware of latest developments and any changes in the Immediate Detriment Framework (IDF) and its supporting technical guidance</li> <li>• Regular reports to Fire Authority / Panels / Pension Board <b>as appropriate</b></li> <li>• Decision by P&amp;R Panel to pause processing both Category 1 and Category 2 cases under the IDF remains in place</li> <li>• Revenue funding agreed to support additional resources within the Payroll &amp; Pensions team <b>to prepare for and implement Remedy – resources now secured to end of 2023/24</b></li> <li>• Pensions Administration Reserve established to hold funds to offset costs arising</li> <li>• Communications issued to all those affected</li> <li>• Retirement profiles and recruitment decisions reviewed through Workforce Planning Group</li> <li>• SLT approved additional resource to support payroll and pensions to support ongoing work with pensions remedy preparation and other pensions priority work</li> </ul>	<p>Impact = 4 Likelihood = 3</p> <p>Score = 12 Substantial</p>	<ul style="list-style-type: none"> <li>• Monitor new legal claims issued by FBU / scheme members <b>(ongoing)</b></li> <li>• Monitor financial impact <b>via revised Employer Rates for 2025/26 and continue to lobby Home office to fund in full (ongoing)</b></li> <li>• Complete preparatory work <b>and provide required data</b> in advance of Remedy on 1 October 2023</li> <li>• Continue to monitor requirements to implement Remedy through Home Office, West Yorkshire Pension Fund and LGA / SAB <b>(ongoing)</b></li> </ul>	September 2023	AD People Services

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CR18	Effective Workforce Planning	<ul style="list-style-type: none"> <li>Increasingly difficult to recruit into professional services</li> <li>HR policy flexibility (grades/salaries)</li> <li>Recruitment pool processes</li> <li>HMICFRS report highlighting challenges within People Services</li> <li>Increasing ageing workforce</li> <li>Increasing number of age-related injuries</li> <li>Increased number of ill health retirements</li> <li>Difficulties in maintaining operational competence</li> </ul>	<ul style="list-style-type: none"> <li>Market Supplement Policy in place</li> <li>Use of wider recruitment market to assess salary points for specialist posts</li> <li>Recruitment and selection framework in place</li> <li>Redesigned talent pool process at each operational level within the Organisation</li> <li>Access professional legal advice where necessary</li> <li>Monthly workforce planning meeting incorporates a vacancy management process to ensure critical roles are filled appropriately.</li> <li>Complex Case Management Review meetings specifically to assist in addressing this issue including service fitness advisor</li> <li>Improved approach to manual handling including training and equipment which has resulted in a reduction in the number of reported incidents and the KPI was green for the first time.</li> <li>Wellbeing strategy that is supporting an ageing workforce</li> <li>Workforce planning group providing collective understanding of current picture and forecasting through resource management plan.</li> <li>Internal transfer pool running</li> <li>WT firefighter pool in place – top up of external transfer pool now completed and CM/WM pools open including external applicants</li> </ul>	<p>Impact = 2 Likelihood = 4</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> <li>Support the department workforce plans with a series of workshops (September 2023) run by Organisational Development</li> <li>Embed the strategic workforce plan (ongoing).</li> <li>Re-engineer the recruitment and selection processes for professional services (March 2024)</li> <li>Service structural review commencing as part of MTFP Tranche 3 (March 2024)</li> <li>Ill health retirement audit has been completed and action plan in place (September 2023)</li> <li>Ensure focus on development of those with potential through equitable and fair pathways (ongoing)</li> <li>Adoption of the NFCC tools including Supervisory Managers Leadership Programme, Middle Managers Leadership Programme. (ongoing)</li> <li>Using the NFCC Coaching and Mentoring portal as an assistive tool (ongoing)</li> <li>Gap analysis of competencies that are at high risk of not being retained through workforce planning across all departments. (March 2023)</li> <li>Assess alternative options for securing specialist skills (sharing with other services) (ongoing)</li> <li>Early adopters for the NFCC Direct Entry Scheme (September 2023)</li> </ul>	September 2023	AD People Services