

Risk Title	Causes	Mitigations	Mitigated Risk Score	Actions	Review Date	Corporate Risk Owner
<p>2 Health & Safety non-compliance</p>	<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 	<p>Impact = 4 Likelihood = 2</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> • Health and Safety (H&S) policy frame work review including the implementation of a new H&S management system • H&S peer review and implementations of findings • Secondment of individual into Facilities Management (FM) role to deliver improvements in processes for estates / management of contractors for 12 months • Acceleration of "facefit" programme for respirators using external contractor • Finalising legal regulations for RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013) reports 	<p>September 2019</p>	<p>AD Health and Safety</p>

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3 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 	<ul style="list-style-type: none"> 2019/20 budget agreed Medium Term Finance Plan (MTFP) updates and reporting Efficiency Strategy agreed 75% Business Rates Retention (BRR) Pilot bid successful Continued monitoring of BRR proposals. Delivery of savings monitored and reported to SLT and members 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 Use of financial reserves to manage risks e.g. drawdown of £0.625m to manage financial implications of Sussex Control Centre Project 	Impact = 2 Likelihood = 3 Score = 6 Moderate	<ul style="list-style-type: none"> Further development of the actions set out in the Efficiency Strategy including Managers Seminar July 2019 Initial discussions at SLT to identify potential savings options for 2020/21 Review of Integrated Risk Management Plan (IRMP) including operational response review to start 2019/20 Lobbying in advance of Comprehensive Spending Review via National Fire Chiefs Council (NFCC) and local MPs 	September 2019	AD Resources / Treasurer
4 Failure to delivery of IT Strategy	<ul style="list-style-type: none"> Costs higher than originally thought and payback period longer Ageing equipment with compatibility issues / legacy systems Lack of change management capacity Ineffective contract management Lack of funding Competing priorities Lack of willingness to transform service delivery Lack of business ownership Business unable to resource concurrent major changes projects 	<ul style="list-style-type: none"> Agreed IT Strategy Active monitoring and reporting of programme delivery and status to SLT and members Alignment of IT Strategy with Corporate Plan to highlight resource / capacity gaps Effective project governance with escalation presses Talent strategy for resourcing of IT projects Actual planned project spend revived on regular basis IT Strategic Board in place Agreement to direct fund two additional talent engineers funded from IT Strategy fund. 	Impact = 3 Likelihood = 2 Score = 6 Moderate	<ul style="list-style-type: none"> Resetting of IT Strategy underway Review of IT Governance (ITG) Business Engagement function to ensure fit for purpose Development of digital / innovation stream within IT Strategy Continued active management of talent including improvements in their project pipeline / delivery process 	30 September 2019	AD Resources / Treasurer
5 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 capability 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 	Impact = 2 Likelihood = 3 Score = 6 Moderate	<ul style="list-style-type: none"> Refresh and publish a new Protection Strategy to take account of the emerging issues. Allocate ESFRS officers to national working groups to steer and understand the implications of the proposed national changes. 	September 2019	ACFO

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6 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 	<ul style="list-style-type: none"> Introduction of Strategic Workforce planning process (new action reads – embed and reinforce Workforce Plan) To explore and introduce a market supplement process for professional service jobs (new action reads – review contracts and policy to embed this process. 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 	<p>Impact = 2 Likelihood = 4</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> Locating resources with ITG to ensure employee data is General Data Protection Regulation (GDPR) compliant from a HR perspective. Redesign current talent pool process at each operational level within the Organisation Develop a strategic workforce planning process. To explore and introduce a market supplement process for professional service jobs To re-engineer the recruitment and selection processes for professional services 	September 2019	AD HR&OD
8 Failure to mobilise effectively (Sussex Control Centre)	<ul style="list-style-type: none"> Legacy software incompatibility with newer versions Full specification not effectively implemented SCC incident / system failure Lose of staff resulting in insufficient staff to maintain business as usual operational service 	<ul style="list-style-type: none"> System went live for ESFRS resources on 20th March 2018 following satisfactory testing phases. Fall-back and business continuity arrangements designed, tested and operating (this includes fully functional secondary control at Maresfield. Refreshed approach to approach to attendance management. Additional resources made available due to project extension. Business As Usual and Project Budgets increased due to extension and to ensure resilience across both areas. New project manager appointed Crewing degradation policy in place. Resilience plan in place and being managed via weekly conference calls 	<p>Impact = 4 Likelihood = 3</p> <p>Score = 12 Substantial</p>	<ul style="list-style-type: none"> Further audits and remediation plans for Mobile Data Terminals, Wi-Fi and Station End Equipment Scenario planning for future options / outcomes underway including further options around staffing being considered Exit Strategy for WSFRS being developed Project 21 underway to identify options at end of current contract for mobilising service – due to report to CFA September 2019 	September 2019	DCFO

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<p>9</p> <p>Failure to manage the effects and impacts of a major loss of staff event</p>	<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". 	<p>Impact = 3 Likelihood = 3</p> <p>Score = 9 Moderate</p>	<ul style="list-style-type: none"> Introduce a revised Business Continuity Plan for major loss of staff Develop a continuity handbook for staff to assist in managing the early stages of a major loss of staff. Engage with key staff to understand the landscape of staff availability during these events Deliver an Emergency Management Team (EMT) exercise to test the plans and response by the key staff within the continuity plans. Working with Sussex Resilience Forum (SRF) to assess threat and risk as part of community risk 	<p>September 2019</p>	<p>ACFO</p>
<p>10</p> <p>Inability to respond effectively to a cyber incident</p>	<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 the IT Risk Treatment Plan IT Health now complete. The Information Security Management Forum to meet on a regular basis Information Security e-learning in place Integrated Aristi report now received and action report based on findings 	<p>Impact = 4 Likelihood = 2</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> Information Security Strategy to be developed External provider Aristi appointed to support development of new IS Framework Working with Aristi to convert report into a risk treatment plan: to include actions from IT health checks Review of NRR and further national guidance being considered by SRF. ESFRS involved closely in this work and any relevant actions to be fed back to the service. 	<p>September 2019</p>	<p>DCFO</p>

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<p>11 Failure to deliver key corporate projects</p>	<ul style="list-style-type: none"> Lack of adherence to governance Lack of experienced staff managing projects Inability to recruit to vacant posts in the Programme Management Office (PMO) 	<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. Terms of Reference for set up of Portfolio Change Board Key projects managed directly by the PMO (FireWatch, CRM, Business Intelligence, Respiratory Protective Equipment, ESMCP). 	<p>Impact = 3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> PMO Manual to go into consultation July 19. Review of the PMO in the context of business need – including Job Descriptions to present options for ways forward Continue to embed processes across the board. Managing key projects in the PMO Dependencies analysis and risks Further development of quarterly reporting. Carrying out Projects health checks with PMs Reviewing Boards Operations. Terms of References for a Portfolio Change Board 	<p>April 2020</p>	<p>DCFO</p>
<p>12 Uncertainty about the UK's exit from the EU and it's short term impacts</p>	<ul style="list-style-type: none"> Economic shock and impact on funding Supply chain problems Disruption around ports and port access routes Civil unrest Increased risk to vulnerable groups 	<ul style="list-style-type: none"> Strategic & Tactical Coordinating Groups established and ESFRS decision log and concept of operations in place Multi-agency table top exercise and risk review process established. Engaged with Sussex Resilience Forum which is leading local planning Brexit Gold Group established then suspended following delay to exit timetable Existing Business Continuity plans being reviewed Linking with work being carried out nationally through NFCC Risk / impact assessment developed Assessment of supply chain risk 	<p>Impact = 2 Likelihood = 4</p> <p>Score = 8 Moderate</p>	<ul style="list-style-type: none"> Staff awareness and communications plan in place Key staff training and workshops completed and necessary actions included within risk assessment Member and Corporate briefing completed Gold Group to be reconvened at appropriate time 	<p>September 2019</p>	<p>ACFO</p>

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13 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 	<p>Impact = 3 Likelihood = 2</p> <p>Score = 6 Moderate</p>	<ul style="list-style-type: none"> • Regular review of collaborative activities through SLT and S&A Panel 	September 2019	AD HR&OD
14 Security and safety of staff and visitors on ESFRS sites	<ul style="list-style-type: none"> • Damage to buildings and assets • 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 	<p>Impact =3 Likelihood = 3</p> <p>Score = 9 Moderate</p>	<ul style="list-style-type: none"> • 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. • Independent Air Quality Testing Report to be undertaken • Project long term review of live fire training facilities • Business case being developed for a clean burn strategy 	September 2019	AD Training & Assurance