

Corporate Risk Register – as at 12 November 2014 SMB Review

Corporate Risks

Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level H/M/L	Current Treatment	RAG	Comments / Further Treatment Proposed
			P	I	Σ				
CRR 007 Lapse or breach of Information Security	Dir. Legal & Gov.	1. Fine of up to £500,000 per breach from the Information Commissioner’s Office (ICO) 2.Reputational damage 3. Reduced opportunities for joint working	3	3	9	M	Various, see sample below: •Specialist information roles •Information Governance Strategy •Training package for information security/data protection •Retention & Disposal Schedules •External archive for physical assets •ICT Strategy •EDMS for Policies and procedures. • Reminders to staff not to open suspicious e-mail attachments.	A	<ul style="list-style-type: none"> There are a wide range of information security issues and treatments to reduce the likelihood of lapses and breaches. These are identified in a separate information risk register and risk owners identified so that treatments are managed at directorate level. <p><u>2 September 14 SMB</u></p> <ul style="list-style-type: none"> The recent increase in the threat of international terrorism, from substantial to severe, means that there is a stronger likelihood of cyber terrorist attacks. Even though the Authority’s anti-virus system helps to prevent malicious activity on its computer network and staff are periodically reminded not to open suspicious email (to help prevent the organisation becoming a victim of cyber espionage or cyber exploitation) 'lone actors' continue to pose a threat to UK organisations (a lone actor is someone who has not received training from terrorist organisations but is inspired and motivated by extremist ideological materials available online and has developed the capability to carry out attacks and select targets completely independently of established terrorist groups). Therefore the risk should remain at 3 x 3.

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CRR 007 Lapse or breach of Information Security (continued...)								<p>12 November SMB</p> <p>Further to September’s update, regarding the increased threat of cyber terrorist attacks: In a recent spate of attacks Shropshire and Wrekin’s Fire Authority’s website was taken over by a group of reputedly pro-Palestinian hackers, based in Morocco, calling themselves “AnonGhost”. The BMKFA website is hosted externally and, although the providers are confident their systems would repel such an attack, an internet security expert at Nottingham Trent University has advised that hacking a site is fairly straightforward. Although in the event of our website being hacked we could block access to it, until the external provider is able to resolve the issue, denial of service attacks such as this are both disruptive and may cause concern to our service users whose data we may hold.</p>	

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CRR 014.4 Staff Availability Emerging risks of 1/ industrial action due to pension change or pay dispute; 2/ Staff inability to get to work due to external factors e.g. Pandemic Flu, disruption to fuel supplies etc. 3/ Retirements proceeding more quickly than anticipated.	COO / POD Dir.	Potential detrimental effects on service delivery to the community and our reputation. Failure to discharge statutory duties. Loss of critical knowledge / skills / capacity.	(2)	(5)	(10)	(M)	<ul style="list-style-type: none"> • Full business continuity plan in place • Peer review of the business continuity arrangements • Bank System • Flexi-Duty System Pilot • Staff Transfer Procedure 	A	<p>18 February 14 SMB SMB approved the changes to the risk rating recommended by PMB and also agreed a change to the RAG status from red to amber to reflect the effectiveness of the risk controls.</p> <p>27 May 14 SMB The impact of future strike action was discussed and it was agreed that this would continue to be monitored. SMB agreed to leave risk CRR 014.4 Staff Availability as amber.</p> <p>17 July 14 PMB Risk to contingency resourcing in the event of further industrial action during the August holiday period due to leave arrangements. Review of risk score and mitigation recommended at 29 July 14 SMB in light of any further developments between the Government and FBU and any indications of further industrial action.</p> <p>2 September 14 SMB Probability score for further industrial action raised to 5 (Extremely Likely).</p>
			(5)	(5)	(25)	(H)			
			(3)	(5)	(15)	(H)			
			(4)	(5)	(20)	(H)			
			(3)	(5)	(15)	(H)			
			(5)	(4)	(20)	(H)			
(4)	(3)	(12)	(M)						
	5	3	15	H					
CRR 017 Fit for purpose restructure / organisational change programme	POD Dir.	Change programme impacting on our ability to maintain day to day service. The possibility of employee relations issues arising from the organisation restructure, and the potential performance management difficulties. Other consequences potentially include legal challenge, loss of experience/resilience/ corporate knowledge, reputation etc.	(5)	(5)	(25)	(H)	<ul style="list-style-type: none"> • SMT owned & reviewed change programme in place • Communication & consultation plans in place supported by management training • Phased delivery of change prog. • Pre- and post-change EIA • Leadership and first-line management training • Processes and procedures well documented • HR, Finance, ICT resources • External communications / PR Scenario planning 	G	<p>Each element of the organisational change programme includes a people impact risk assessment and learns from initial programmes are built into current procedures.</p> <p>Some aspects of the change programme will have significantly lower risk scores and levels.</p> <p>18 February 14 SMB SMB agreed a reduction to the impact score associated with this risk from 5 to 3, and RAG status to green, to reflect improvements to the controls associated with this risk arising from the experience of implementing significant organisational changes / re-structures.</p> <p>21 October 14 SMB: Risk to revert to POD Directorate risk register given green status.</p>
			(2)	(5)	(10)	M			
			2	3	6	L			

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							• BCP & negotiation strategy in place.		
Fin 14 – Funding	Director Finance & Assets	<ul style="list-style-type: none"> If funding settlements for 2015/16+ follow the two-year trend and not the four-year trend, we would need to find an additional £2million worth of savings over and above the current MTFP between 2015/16-2017/18 	(4) 3	(4) 4	(16) 12	H M	<ul style="list-style-type: none"> A funding pressures reserve (approx. £2million by 31.03.2013) has been created, but this would be quickly exhausted without a dramatic altering of service provision and/or an increase in alternative funding to offset the reduction in Government funding 	<p>A</p> <p>30 July 13 SMT: Reduce RAG rating to amber following announcement of government funding settlement.</p> <p>6 February 14 PMB: Reduction in risk score to 12 recommended in light of:</p> <ul style="list-style-type: none"> robust MTFP process and CFA in a position to approve a balanced budget at the 19 February meeting; Initiation of reviews and planning activities to address savings requirements in future years. <p>18 February 14 SMB: SMB approved the reduction to the probability score associated with this risk from 4 to 3 as recommended by PMB.</p> <p>21 October 14 SMB: Agreed that wording should be amended as current explanation not broad enough. Wording to be amended from 'Council Tax' to an increase in 'alternative funding'.</p>	

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Emerging Risks

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Control Room continuity of service following delay to Thames Valley Control implementation	COO / Head Service Dev.	<ul style="list-style-type: none"> Potential for delay in receiving and handling of calls locally, therefore affecting response times of appliances 			TBC	HML		<ul style="list-style-type: none"> Risk under evaluation – score to be determined. All options being explored with existing staff and other FRS's is underway and on-going with options being considered. 	

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