

Annex C - Corporate Risk Register – as at 13 February 2018 SMB

Corporate Risks

Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	R A G	Comments / Further Treatment Proposed
			P	I	Σ				
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/Impact of transformation at pace on attraction of new staff, retention and overall workforce stability.	COO / POD Dir.	Potential detrimental effects on service delivery to the community and our reputation.	(2)	(5)	(10)	(M)	<ul style="list-style-type: none"> • Full business continuity plans in place & uploaded to Resilience Direct. • Peer review of the business continuity arrangements • Bank System • Flexi-Duty System Pilot • Staff Transfer Procedure • Employee assistance and welfare support • Training Needs Assessment process • Monitoring of staff 'stability ratio' relative to best practice and sector norms • Review of Resourcing and Retention strategies • Wider range of contracts offering more flexible ways of working • A variety of approaches are being adopted to replenish the workforce. These include more operational apprentices, transferees, and re-engagement options • Workforce planning data is regularly reviewed with Service delivery, HR and Finance. • Project on Strategic Review of Operational Resourcing is underway with a number of work-streams, including On-Call and Geographic station reviews • Growth bids to be considered to support future resourcing demands. 	A	<p><u>27 April 2017 PMB:</u> Recommended that potential impact of ongoing firefighter recruitment activities by neighbouring FRS on operational capacity and capability be considered for potential inclusion on Corporate Risk Register.</p> <p><u>13 June 2017 SMB:</u> Following de-escalation of ageing workforce risk to POD risk register it was agreed that the scope of the staff availability risk should be expanded to include consideration of the impact of transformation at pace coupled with ongoing recruitment activities by neighbouring FRS on overall workforce stability.</p> <p><u>4 July 2017 SMB</u> Agreed that the probability score for this risk should be increased to 4 (4 x 3 = 12) in view of risks to our ability to retain operational staff arising from impact of workforce change coupled with ongoing recruitment by neighbouring FRS.</p> <p><u>19 September 2017 SMB</u> The risk has eased in the short term following take on of transferees and a new batch of apprentices. However, risk score to remain unchanged due to imminent London Fire Brigade recruitment campaign which is aiming to recruit 400 firefighters.</p>
		(5)	(5)	(25)	(H)				
		(3)	(5)	(15)	(H)				
		(4)	(5)	(20)	(H)				
		(3)	(5)	(15)	(H)				
		Failure to discharge statutory duties.	(5)	(4)	(20)	(H)			
		(4)	(3)	(12)	(M)				
		(5)	(3)	(15)	(H)				
		Loss of critical knowledge / skills / capacity /competency levels.	(4)	(3)	(12)	(M)			
		(5)	(3)	(15)	(H)				
(3)	(3)	(9)	(M)						
4	3	12	M						

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						<ul style="list-style-type: none"> • Head of Service delivery is working with SC's to review reward options • HR are reviewing the future promotion and career development options • Competent temporary SC's substantiated without full IFE (December 2017) and a review of impact on Watch and Crew will be taking place December 2107. • Full suite of appointments planned for 2018 	<p><u>14 November 2017 SMB</u> Due to neighbouring services advertising for transferees at different levels there is an increased risk of operational staff transferring with only a month's notice. In particular LFB have advertised for Station Commanders and several staff have applied. The border services have less stringent promotion standards without the need for IFE, so staff are attracted by the future potential opportunities</p> <p><u>13 February 2018</u> A review of the extant Career Development procedure, is currently being undertaken. Whilst it is anticipated some amendments will be necessary, these will not in any way be detrimental in continuing to raise standards.</p>
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Fin 14 – Funding and Savings Requirement	Director Finance & Assets	The funding settlement now assumes that a council tax increase is required each year in line with the prevailing capping limit, currently 3% for the Fire Authority, and that local growth meets expectations. If either or both did not come to fruition there is a risk the Authority will not meet its commitment to the PSP 2015-20 and that a fundamental re-think of service provision would be required.	(4)	(4)	(16)	H	Proactive management of the MTFP is in force and is very closely aligned to workforce planning. For the present, USAR (S31) grant funding is assumed to continue, though notification now seems to be year on year and often after budget setting. If removed, the Authority will need to cope with a circa £800k cut in funding. The Authority has responded to consultations and lobbied MPs to increase the referendum threshold for fire authorities to £10.	R	<p><u>25th October 2016 SMB</u></p> <p>In the 4 months since the outcome of the Referendum on the UK’s Membership of the EU, a number of external factors have combined to create an unstable environment that could adversely affect the Authority’s funding position the future. On top of ‘Brexit’ there is increasing inflation, the downturn in value of the £, proposed changes to business rates funding and an uncertain outlook for USAR funding post 17/18. These create a volatile combination and therefore no change is proposed to the risk assessment on funding or savings requirement at this stage.</p> <p><u>17 January 2017 SMB</u></p> <p>Given the weak position regarding any long term stability (or notification) for S31 USAR funding, it was determined to leave the risk unchanged. Additionally there is expected to be some pressure on the capital programme resources as the effects of external factors such as BREXIT and the fall in value of the pound put pressure on contract prices.</p> <p><u>18 April 2017 SMB</u></p> <p>Finance to review risk score in light of more secure outlook for USAR funding.</p> <p><u>13 June 2017 SMB</u></p> <p>Finance to review score following outcome of UK General Election.</p> <p><u>4 July 2017 SMB</u></p> <p>There remains no long term S31 funding for USAR and whilst the Government continues to provide</p>
			(3)	(4)	(12)	M			
			(3)	(4)	(12)	M			
			4	4	16	H			

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									<p>only an annual settlement the risk of removal of that funding must remain high.</p> <p>In addition there is now considerable pressure on public sector pay with a NJC offer of 2% to firefighters for 2017 already higher than the 1% cap for which the Authority is funded. Therefore until the long term revenue funding for both USAR and for Firefighter Pay Settlements is assured, the risk score will remain unchanged.</p> <p><u>19 September 2017 SMB</u></p> <p>Risk to remain at red pending outcome of proposal to Central Government to relax Council Tax referendum threshold & outcome of national Firefighter pay negotiations.</p> <p><u>13 February 2018 SMB</u></p> <p>The Council Tax referendum threshold was raised from 2% to 3% in the provisional settlement, but growth in the base for 2018-19 was only 1.4% (compared to a forecast of 2%). The final settlement has not yet been announced.</p> <p>The USAR grant has been confirmed for 2018-19 but will be paid upfront in 2017-18, which raises further concerns about its long term viability.</p> <p>Outcomes of national Firefighter pay negotiations are still unknown and present a significant risk to our budgetary position.</p>
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Paging:- closure of Vodafone's Vodapage service & transfer of service to Page One (Capita Service)	ICT Manager	The only alternative paging system (Page One) does not have the coverage in Buckinghamshire that Vodaphone has. Inability to contact / call out key staff for incidents / support.	3	3	9	M	Testing Page One devices. Investigating alternatives to paging. Reviewing pagers with additional capabilities (Wireless etc.) Collaborating on replacement solution with Thames Valley partners.	A	<p>Pagers used for On Call, Appliances, Officers, Workshops, RMT and ICT. Previous usage of Page One was considered ineffectual due to coverage issues.</p> <p>Initial indications were that Vodapage will be turned off on November 30th 2017. However, Vodafone are now evaluating an App service and have also informed us that they have decided to move the hard closure date to 31st March 2018 providing additional time to pursue alternatives.</p> <p>The tender process is now close to completion. Indications are that the cost of the new contract will be similar to the previous arrangements so no significant financial implications are envisaged.</p> <p><u>1 February 2018 PMB Update</u> Work is underway to develop the new Mobilising Application and build the link with Capita Vison. There are 2 Go/No Go meetings planned for 5th February (integration testing) and 23rd February (UAT) with go live planned for late March.</p> <p><u>13 February 2018 Update</u> The initial testing has taken place and has proven the technology is</p>

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											functioning. We have experienced an unforeseen technicality over the Code of Connection authorisation for TVFCS. This is delaying the project for up to 12 weeks as the paperwork has to be submitted to an external verification body via the Home Office. There is a robust Plan B which has now been put into action which will deliver an alternative temporary alerting system via SMS.	13 February 2018 SMB: Maintain at amber RAG status pending resolution of Code of Conduct issue.
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Risk Description	Resp.	Consequences if Untreated Risk Occurs	Risk Score (Former) / New			Risk Level	Current Treatment	RAG	Comments / Further Treatment Proposed	
			P	I	Σ					HML
<p>Information security failure to -</p> <p>a) comply with statutory or regulatory requirements</p> <p>b) manage technology</p> <p>c) manage organisational resources</p> <p>Deliberate: unauthorised access and theft or encryption of data. Accidental: loss,</p>	Senior Information Risk Owner (SIRO) Director Legal & Governance	<ul style="list-style-type: none"> Inability to access/use our e-information systems. Severe financial penalties from the Information Commissioner Lawsuits from the public whose sensitive personal information is accessed causing damage and distress. 	4	4	16	H	<p>1. Appropriate roles:</p> <ul style="list-style-type: none"> SIRO has overall responsibility for the management of risk Information and information systems assigned to relevant Information Asset Owners (IAO's) Department Security Officer (DSO) the Information Governance & Compliance Manager has day-to-day responsibility for the identification of information risks and their treatments 'Stewards' assigned by IAO's with day-to-day responsibility for relevant information. <p>2. Virus detection/avoidance: Anti-Malware report – no significant adverse trends identified which indicates that improved security measures such as new email and web filters are being successful in intercepting infected emails and links;</p>	R	<p>Some experts predict that by 2020 there will be 200 billion connected devices. Cars, planes, homes, cities - software is becoming ubiquitous. This is changing the way we live and how we behave and interact with the world around us. As technology becomes more and more deeply integrated into our lives, we become more dependent on it. This dependence makes us vulnerable if technology fails. For example, what happens when you're on the road and your smartphone runs out of battery - you cannot access your GPS, your contacts, or anything else. In such moments, you realize how dependent you are on technology. In today's world, it's important that technology is available, protected and secure. If not, we suffer consequences in our daily lives.</p>	<p>15 Aug 17 SMB: Agreed for inclusion in Corporate Risk Register.</p> <p>24 Oct 17 SMB Updates to treatments and comments noted. However, it was agreed that the risk score should remain at its present</p>

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<p>damage or destruction of data</p>							<p>3. Policies / procedure: Comprehensive review and amendment of the retention and disposal schedules / Information Asset Registers, - current and tested business continuity plans / disaster recovery plans - employee training/education - tested data/systems protection clauses in contracts and data-sharing agreements - Integrated Impact Assessments (IIA) - disincentives to unauthorised access e.g. disciplinary action</p> <p>4. Premises security: - Preventative maintenance schedule - Frequent audits at Stations and inventory aligned to asset management system. - Reduction in the number of CCTV requests following improved education and guidance in relation to the use of the same; - Premises Security Group re-established to meet on a three monthly basis aligned to the PMB meeting schedule.</p>	<p>Due to the constant evolution of cyber- attacks there is no single way of defending our systems: o Ensure best affordable systems defence is procured periodically o Compliance to General Data Protection Regulation o Ensure sub risks and treatments are assigned to most appropriate IAO. o Investigate options for e-archiving and back-up tools o Periodic information audits o New email monitoring system currently under evaluation. o Investing in ICT systems that allow faster, post attack, recovery.</p> <p><u>1 February PMB Update</u> The business impact of cyber-attacks is increasing. As organisations implement new technologies they face disruption from an ever-changing threat landscape. Many organisations don't know how many attacks they've suffered or how these occurred. Breaching an organisation by targeting its employees continues to be the most common cause of attack. Although the average total financial cost of incidents decreased this year to £857,000, the impact of breaches was felt more widely with an average of 19 hours of down-time following an attack¹.</p> <p>¹ PWC UK conducted its "Global State of Information Security® Survey 2018" based on interviews</p>	<p>level for the time being but kept under active review.</p> <p>13 Feb 18 SMB Maintain RAG status at Red.</p>
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